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**THE ROLE OF CIVIL SOCIETY IN THE  
IMPLEMENTATION OF POVERTY ALLEVIATION  
PROGRAMMES: A CASE FOR SOCIAL DEVELOPMENT  
IN SOUTH AFRICA**

**By**

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Public Affairs in the Faculty of Economic and Management Sciences

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## **DECLARATION**

I, Vuyelwa Nhlapo, hereby declare that this research entitled "The role of civil society in the implementation of poverty alleviation programmes: A case for Social Development in South Africa", is my own original work and has, as far as I am aware, not previously in its entirety or in part, been submitted at any university in order to obtain an academic qualification and that any references included herein have been duly acknowledged.



## **DEDICATION**

To my late mother who taught me to put God first, to be humble and to persevere.



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2010





## ABSTRACT

The dawn of democracy in 1994 brought hope to South Africans particularly those who had been previously disadvantaged as a result of apartheid policies. This new hope was premised on a vision of creating a people-centred society and a better life for all expressed in the Reconstruction and Development Programme (RDP) whose goals were to eliminate poverty and inequalities of the decades of apartheid. In order to meet this vision the RDP made explicit reference to building the capacity of civil society through extensive development of human resource. It provided a central role for nonprofit organizations. A vibrant and diverse civil society is important in consolidating and sustaining democracy as well as in holding government accountable. Since 1994 government has involved civil society in various stages of policy development aimed at alleviating poverty. This study therefore evaluates the extent to which programmes implemented by civil society, particularly in partnership with Social Development, are participative, empowering, effective and sustainable.

This research indicates that civil society, have succeeded in mobilizing communities to take charge of their own development. This has been achieved through activities like needs and beneficiary identification, project implementation and fund raising. Despite this success the study shows that civil society experience challenges in ensuring that their programmes are effective and sustainable. These challenges include limited funding, lack of various skills including management skills, organizational skills, resource mobilization and accountability.

The study contends that civil society has a critical role in implementing poverty alleviation programmes and in occupying space between the state and the community. In order to ensure long lasting impact of programmes, there is a



great need for strengthening the organizational, management and administrative capacity of civil society. It is generally accepted that local organization capacity is recognized as key for development effectiveness and empowerment of the poor.



## ACRONYMNS

ABET	Adult Basic Education and Training
AIDS	Acquired Immune Deficiency Syndrome
ANC	African National Congress
BPA	Beijing Platform for Action
CBO	Community Based Organization
CDBs	Community Development Boards
CEDAW	Convention on the Elimination of Discrimination against Women
CSOs	Civil Society Organizations
EPWP	Expanded Public Works Programme
FBO	Faith Based Organization
GDP	Gross Domestic Price
HCBC	Home and Community Based Care
HIV	Human Immune Virus
HRDP	Ha Tinh Rural Development Project
ICDP	International Conference on Population and Development
IDP	Integrated Development Plan
IFAD	International Fund for Agricultural Development
IISD	International Institute for Sustainable Development
ILO	International Labour Organization
MDGs	Millennium Development Goals
NEPAD	New Partnership for Africa's Development
NDA	National Development Agency
NGO	Nongovernmental Organization
NPO	Nonprofit Organization
NSP	National Strategic Plan
PCAS	President's Coordinating Advisory Structure
PSC	Public Service Commission



RDP	Reconstruction and Development Programme
RECs	Regional Economic Communities
RISDP	Regional Indicative Strategic Development
SADC	Southern African Development Community
SADCC	Southern African Development Coordination Conference
SA-PPA	South Africa Participatory Poverty Assessment
UNDP	United Nations Development Programme
UNFPA	United Nations Population Fund
UNICEF	United Nations Children's Fund
WSSD	World Summit on Sustainable Development



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## **CHAPTER ONE**

### **GENERAL INTRODUCTION AND OVERVIEW**

#### **1.1 INTRODUCTION**

The history of South Africa has been a bitter one – dominated by the imbalances of the past – which were created by the apartheid policies of the previous government. These imbalances were characterized by social and economic exclusion, which was distinguished in terms of race. Those classified as non-whites were systematically excluded from accessing land, employment, education, health and other basic services such as water, sanitation and electricity, which were enjoyed by those classified as whites. This demarcation between whites and non-whites exacerbated the plight of poverty and inequality as well as underdevelopment among non-white groups. This view is supported by Zegeye and Maxted (2002:1) who indicate that apartheid policies have left the majority of South Africans living in a highly unequal society in which poverty and social dislocation have had profound and traumatic effects on the social fabric.

The continued existence of poverty reflected not the intrinsic nature of the human condition, but the failure of the social system and the political regime. According to the World Development Report (2006:1) the legacy of apartheid's unequal opportunities and political power will remain for some time to come. It is a long road from such a (fundamental) political change to changes in economic and social conditions. It is for this reason that South Africa is considered a medium human development country and is characterized by extreme levels of inequality. Despite the state's attempts to address inequality, its prevalence is still marked and largely defined along gender, age, race and spatial dimensions. For example, in as late as 2005, poverty was still virtually non-existent among whites (Roux and Adams: 2009:1).

This chapter presents a general overview of the study. Firstly, the context for addressing poverty and underdevelopment in South Africa, post-democracy, is

provided by reviewing global, continental and regional commitments made by the South African government. At national (country) level, the legislative framework, including policy that forms the basis for addressing poverty, is reviewed. Secondly, the motivation for the study, the formulation of the problem and the hypothesis are provided. Thirdly, the purpose and objectives of the study are delineated. Fourthly, concepts pertinent to this study are defined and lastly, the outline of chapters of the study is presented.

## **1.2 THE CONTEXT FOR POVERTY ALLEVIATION IN SOUTH AFRICA**

The dawn of the new South Africa in 1994 brought hope to South Africans, especially those who were classified as non-whites and thus previously disadvantaged. This new hope was brought by the commitment of government to a single vision of creating a people-centred society and a better life for all as expressed in its Reconstruction and Development Programme (RDP). The major goals of the Reconstruction and Development Programme, among others, were to eliminate poverty and inequalities generated by decades of apartheid and to raise living standards. These goals were based on six basic principles, which, among others, include an integrated and sustainable programme and a people-driven process. The integrated and sustainable programme on the one hand emphasized that the legacy of apartheid cannot be overcome with piecemeal and uncoordinated policies, but rather with coherent, purposeful and sustained strategies implemented at all three government levels, parastatals and organizations within civil society. It is for this reason that, since the adoption of the RDP, the South African government has remained firmly committed to its vision of a better life for all, with extensive involvement not only in implementing international and national policies and institutions concerned with poverty alleviation, but also in spearheading the formation of these.

A people-driven process on the other hand emphasized focus on people's most immediate needs addressed through approaches driven by people themselves. These two key principles are important in evaluating strategies implemented to address poverty in South Africa, which is the key objective of this research, particularly



analyzing the role of key actors like civil society organizations in implementing public policies.

South Africa's approach to poverty is informed by national imperatives, including constitutional guarantees on socio-economic rights and the country's commitment to being a developmental state. It is also informed by relevant international agreements and conventions such as the International Conference on Population and Development (ICPD) of 1994, the World Summit on social development of 1995, ratification of the United Nations Convention on the Elimination of Discrimination against Women (CEDAW), the Beijing Platform for Action (BPA), the Copenhagen Declaration, the Millennium Development Goals, the World Summit on Sustainable Development, SADC Declaration on Gender and Development and the New Partnership for Africa's Development (NEPAD). Relevant programmes target previously disadvantaged groups and those groups whom the accumulated disadvantage renders particularly vulnerable to poverty.

The anti-poverty programme in South Africa is anchored to measures that seek to address income, human capital and asset poverty. The needs of diverse women, children, and people with disability, older persons and other historically disadvantaged groups have been given priority in the planning and implementation of the anti-poverty policies.

### **1.2.1 Global Context**

A significant step of South Africa after it attained its democracy was its participation in the World Summit for Social Development held in March 1995 in Copenhagen, Denmark, which saw various governments – including South Africa – adopting a Declaration and Programme of Action, which represented a new consensus on the need to put people at the centre of development (IISD, 2002: 3). According to the United Nations Department of Public Information (1995: vii) among the groundbreaking agreements made by the world's leaders in the declaration were ten commitments, namely to:

- eradicate absolute poverty by a target date to be set by each country;
- support full employment as a basic policy goal;
- promote social integration based on the enhancement and protection of all human rights;
- achieve equality and equity between men and women;
- accelerate the development of Africa and the least developed countries;
- ensure that structural adjustment programmes include social development goals;
- increase resources allocated to social development;
- create an economic, political, social, cultural and legal environment that will enable people to achieve social development;
- attain universal and equitable access to education and primary health care; and
- Strengthen cooperation for social development through the United Nations.

The issue of equity as cited in one of the Copenhagen commitments and later as the key principle in driving the transformation agenda of South Africa as enshrined in the Constitution of the Republic of South Africa (1996) is critical in addressing the challenges of development and poverty in South Africa. According to the World Development Report (2006:2) differences in life chances across nationality, race, gender and social groups are not only unfair, but also lead to missed development opportunities. By equity, the Report states, it means that individuals should have equal opportunities to pursue a life of their choosing and be spared from extreme deprivation in outcomes. The main message is that equity is complementary in some fundamental respects to the pursuance of long- term prosperity. Institutions and policies that promote a level playing field – where all members of society have similar chances of becoming socially active, politically influential, and economically productive – contribute to sustainable growth and development and are therefore undoubtedly good for poverty alleviation (2006:2). Three considerations drawn from this statement are that differences in outcomes may result due to the effects of inequity. Secondly, public action should therefore focus on aspects like the distribution of assets, economic opportunities and a political voice rather than

directly on inequality in incomes; and lastly, there may be various short-run policy-level tradeoffs between equity and efficiency.

The Fourth World Conference on Women, held in Beijing, China in 1995, put the concerns of women firmly on the international agenda, and placed gender issues at the centre of the debate on development. The conference focused on the advancement and empowerment of women in relation to human rights, women and poverty, women and decision-making, the girl child, violence against women and other areas of concern.

The Fancourt Declaration on Globalisation and People-Centred Development, which was an outcome of the Commonwealth Summit held in Durban, South Africa in 1999, reinforced the commitment to people-centred development among Commonwealth leaders and governments.

In 2000, the United Nations Millennium Summit formulated the Millennium Declaration, which outlined a wide range of commitments in human rights, good governance and democracy. As a member of the UN, South Africa also adopted this declaration, which resulted in the Millennium Development Goals that have been commonly accepted as a policy framework for measuring development progress. The goals focus the efforts of the world community on achieving significant measurable improvements in people's lives. They establish yardsticks for measuring results not just for developing countries, but for the rich countries that help to fund development programmes and for the multilateral institutions that help countries implement them. South Africa has committed itself to achieving the following goals:

1. Eradication of extreme poverty and hunger. The targets set here are halving the numbers of people who live on less than \$1 a day as well as those who suffer from hunger between 1990 and 2015;
2. Achieving universal primary education. All children should be able to complete primary schooling by 2015;

3. Promoting gender equality and women. Gender disparities across all levels of education should be eliminated by 2015;
4. Reducing child mortality. The under-five mortality rate should be reduced by three quarters between 1990 and 2015;
5. Improving maternal health. The maternal mortality rate should be reduced by three quarters between 1990 and 2015;
6. Combating HIV and Aids, malaria and other diseases. The spread of major diseases should be halted and reversed by 2015;
7. Ensuring environmental sustainability. Targets include promoting environmentally-friendly policy, halving the proportion of people without sustainable access to safe drinking water by 2015, and achieving a significant improvement of at least 100 million slum dwellers' lives by 2020; and
8. Developing a global partnership for development. Targets include developing sound and equitable international trading and financial systems, addressing the needs of vulnerable countries, dealing with youth unemployment, and providing the benefits of pharmaceutical and technological advance to all.

A critical aspect of the MDGs is the recognition that governments and international development organizations share collective responsibility for their achievement. Of specific importance to Africa is Chapter VII of the Millennium Declaration, 'Meeting the Special Needs of Africa' in which the United Nations effectively responded to the call of the then President Mbeki and other African leaders to make the 21<sup>st</sup> century an African century. Achievement of the MDGs by Africa requires taking decisive action to substantially accelerate progress being made on the continent, hence the importance of continuously evaluating the progress of African countries made in meeting these goals.

The South African government has since pledged to half poverty by 2014. To this effect the South African government has undertaken a number of policy decisions and interventions to address South Africa's historical, deep-seated inequalities and poverty. Meth & Dias (2004:60), however, argue that without an official poverty line it will be difficult for South Africa to measure achievements towards this goal.



In 2002, the United Nations community met in Johannesburg, South Africa, for the World Summit on Sustainable Development (WSSD). In many respects the WSSD concluded a decade of global summits and conferences, which had seen the UN system, go through an elaborate process of drawing up a global agenda for development.

Under the previous leadership of President Thabo Mbeki, South Africa has played a significant role not only in giving birth to NEPAD, but also in its promotion and achievements. The principles of NEPAD include good governance as a basic requirement for peace, security and sustainable political and socio-economic development. The principles also include African ownership and leadership as well as broad and deep participation by all sectors of society, anchoring the development of Africa on its resources and resourcefulness of its people. The NEPAD mission statement also highlights the promotion of partnerships between and among African peoples, the acceleration of regional and continental integration and the increasing global competitiveness of the African continent. In pursuing its mission, the NEPAD process entails promoting an accelerated transformation of the manner in which African institutions manage development through strengthening political leadership and the revitalization of key institutions including governments and Regional Economic Communities (RECs). This is supported by the following statement:

*“A vision alone will not change the lives of the African people; what will is more effective delivery through better leadership and capacitated institutions”* (NEPAD,2002:36). It can therefore be argued that for Africa to address the scourge of poverty, it needs institutions including civil society and communities that are capacitated to drive the process of change in order to ensure sustainability.

The Yaoundé Declaration on Community Development (IACD, 2005), which emerged from the conference that brought together government and civil society delegates from over thirty African countries, is another critical declaration that guides community development, which is critical for poverty eradication in Africa today. Its approach to community development is guided by the following principles:

- the provision of basic needs;
- determined work towards the eradication of poverty;
- the promotion of basic human rights and responsibilities within a framework of peace and social justice;
- the celebration and nurturing of the 'soul' of communities, and respect for local cultural contexts where these do not determine basic human rights;
- support for processes that enable collective participatory decision-making at all levels of society;
- the capacity building of all relevant actors and stakeholders in the development process; and
- Respect for the integrity of the natural environment (IACD 2005).

### **1.2.2 Regional Context**

South Africa joined SADC as a member state in 1994. This occurred at a time when South Africa not only had just attained democracy, but also two years after the Southern African Development Coordination Conference (SADCC) had taken a decision to transform from a coordination conference into SADC, the community, and had redefined the basis of cooperation among member states from a loose association into a legally binding arrangement. The purpose for transformation was to promote deeper economic cooperation and integration to help address many factors that make it difficult to sustain economic growth and socio-economic development.

While SADC has recorded some remarkable achievements, difficulties and constraints have also been encountered. These include, among others, a lack of institutional reforms for effective transformation, and a lack of appropriate mechanisms capable of translating the high degree of political commitments into concrete programmes of community-building and integration (see <http://www.sadc.int/english/documents/risdpc/chapter1.php>).

In order to address these challenges, SADC restructured in 2001 to increase the efficiency and effectiveness of its policies and programmes, and to implement a more coherent and better coordinated strategy to eliminate poverty in the region. It is for this reason that the Regional Indicative Strategic Development Plan (RISDP) was developed. The RISDP is guided by the vision of SADC, which charts the direction for the development of the region. It is also underpinned by the SADC mission, which states: *"To promote sustainable and equitable economic growth and socio-economic development through efficient productive systems, deeper cooperation and integration, good governance and durable peace and security so that the region emerges as a competitive and effective player in international relations and the world economy."*

Based on this mission, there are three key integration and development enablers RISDP seeks to achieve. First, peace, security, democracy and good political governance need to be achieved. In this regard SADC states that unless there are peace, security, democracy and good political governance, poverty thrives, instability and conflict continue, and the result is perpetuating underdevelopment and extreme deprivation. The second enabler is economic corporate governance, which, in the context of RISDP, includes sound macro-economic management, transparent public financial management, and accountability. Within this context SADC is committed to promoting the participation of civil society in community-building at both regional and national levels. Lastly, there are other prerequisites that will facilitate the move towards deeper integration and poverty eradication. These include, among others, intensifying the fight against HIV and Aids, gender mainstreaming and the empowerment of women, and the creation of an enabling institutional environment.

It is clear from these three enablers of integration and development cited above that the ultimate objective of RISDP is to deepen the integration agenda of SADC with a view to accelerating poverty eradication and the attainment of other economic and non-economic goals. It can therefore be concluded that the RISDP is an important instrument in guiding SADC towards the attainment of regional integration and development goals. It is not surprising, therefore, that the South African

government is committed to the achievement of this comprehensive development agenda, which agrees with both the global and continental development agenda South Africa seeks to achieve.

### **1.2.3 National Context**

The Constitution of the Republic of South Africa Act 108 of 1996 which is regarded as the most progressive Constitution in the world provided the basis for defining the role of the state in pursuing a transformation agenda. The goal of this agenda is improving the quality of life of every citizen, whilst ensuring that their rights are protected. The Constitution (1996) and the Reconstruction and Development Programme have played a critical role in defining the developmental agenda of South Africa.

The first decade of democracy epitomized tremendous strides of achievements that have been attained as indicated in the Ten Year Review (PCAS, 2003). Notwithstanding these developmental achievements, the Review, however, notes the gaps and backlogs that still exist. It argues that apart from the RDP, the government has not as yet developed a sufficiently detailed encompassing framework or broad vision for South Africa's socio-economic development objectives. South Africa is therefore still confronted with many challenges. Evidence seems to indicate that poverty is proving to be much more intractable than initially hoped (see Du Toit 2005; Van der Berg, 2005:3; UNDP, 2003; Meth & Dias, 2004; Myers, 1997; Zegeye & Maxted, 2002). Similarly, the Public Service Commission (PSC) in South Africa is of the view that the previous patterns of inequality remain largely unchanged in previously disadvantaged communities (Public Service Commission, 2003).

It can be concluded that despite the plethora of good policies developed post 1994 aimed at addressing poverty and development poverty still remains the biggest challenge facing South Africa, with rural areas being the poorest segments of society affected mostly, hence the President in his State-of-the-Nation Address in February 2004 spoke of the 'two economies' in South Africa – a phenomenon that raises



discourse. Whether the pronouncement of two economies by the President is what Szirmai (1997:24) refers to as one of the characteristics of developing countries, which include pronounced dualism in economic structure, is a discourse that needs to be pursued, but not in this study.

The continued challenge of poverty raises a number of questions on the quality of participation of various actors in the policy process, challenges in the implementation of public policy and the approaches used in particular the extent to which such approaches empower the poor. Furthermore, the continued challenge of poverty raises a question on the extent to which strategies and interventions aimed at addressing the extremity of poverty are sustainable in order to achieve long-term benefits and remove the poorest of the poor from the cycle-of-poverty trap.

The central premise of this study is that government alone cannot achieve poverty alleviation, but needs a partnership with various stakeholders like civil society organizations to ensure that strategies aimed at addressing poverty are not only sustainable, but indeed empower those who have to implement these strategies. The aim of this research therefore is to evaluate the role played by civil society organizations in implementing poverty alleviation programmes and the extent to which these programmes are empowering and sustainable.

### **1.3. MOTIVATION OF THE STUDY**

The Department of Social Development is most directly involved with poverty alleviation in South Africa. It provides social safety nets to the poor, vulnerable and marginalized through:

- Social grants, including the old age pension, child support grant, foster care grant and disability grant;
- Developmental welfare services in the form of prevention, treatment, care and support and counselling programmes;
- Development programmes targeting youth, families and communities in the form of sustainable livelihoods programmes and poverty relief, including food relief and community development initiatives and interventions.

Research has shown that welfare policy in the form of social grants has been proactive in the efforts to alleviate poverty. However, many poor people in South African society do not qualify for social grants, underscoring the importance of private income earning capacity for economic upliftment (Van der Berg 2005:5). The critical question, therefore, is what alternatives are there to assist the poor to improve their living conditions particularly those who do not qualify for social grants, and what could also complement income that may not be sufficient, that is received by those who access grants?

The role of the South African government and its agencies in efforts to initiate, implement, monitor and evaluate policy change is now increasingly recognized and accepted as necessary in view of the inherited social inequalities. While it is important to strengthen present-state capacity in relation to social delivery imperatives, government is also taking further steps in strengthening partnerships with various stakeholders as a way of improving delivery mechanisms. The CSOs are central to the delivery of community based services in South Africa. NGOs delivering welfare services have a long tradition of service delivery in partnership with government, dating back to the 1930s, when the first public welfare department was established in response to the “poor white problem” (Patel, Hochfeld, Graham and Selipsky: 2008:2). It is important to note that prior to 1994 the civil society saw themselves as competitors in dealing with developmental issues like poverty alleviation. They were occupying the space which the state could not occupy and were advocating for the rights of those disadvantaged by apartheid policies. However, with the emergence of a democratic government, the role of civil society has shifted enormously beyond the narrow role of social watchdog with emphasis on good governance and partnerships in achieving developmental goals. This is reflected in CIVICUS’s view that civil society is an important factor in consolidating and sustaining democracy, fostering pro-poor development policies, achieving gender equality and fighting corruption (CIVICUS, 2004:1). The role of civil society in partnership with government is therefore critical for the realization of a better life for all. It is for this reason, therefore, that the State provides financial

support to the civil society organizations. However, Patel et al. (2008:2) argue that while the new welfare policy acknowledges this collaborative partnership between the state and voluntary organizations, numerous challenges of a fiscal nature remain, including increasing governmental control and a lack of recognition of the efficacy of the voluntary initiative - hence the interest of the researcher in the present study.

Long-term success of democratic pluralism is believed to increase government accountability. Good governance is not the sole responsibility of governments. A vibrant and diverse civil society is also needed to hold governments accountable. It is for this reason that, in the South African context democratization and empowerment of civil society have been advocated as prerequisites to an effective social contract. Greater political pluralism will improve economic and social management and provide an impetus for reform where necessary. As far as social development is concerned, greater participation by non-governmental agents enriches the policy process, creates opportunities for private-public partnerships on social delivery, increases the sense of ownership over policy outcomes, and lends greater legitimacy to government decisions (CIVICUS, 2004:3).

Since the 1997/1998 to 2003/2004 financial years, the national Department of Social Development and its provincial counterparts have developed and implemented a Poverty Relief Programme for seven years. This programme has played a critical role in addressing poverty - not only for those who qualify for social grants, but also for those who do not qualify for them.

One of the key objectives of this programme was to establish local institutions that would be able to identify, own and manage the ongoing implementation of development initiatives in each community with a view to ensuring the sustainability of projects beyond the initial grant period. Critical to such a development strategy was the creation of capacity through local partnerships. Such partnerships from civil society would become the means through which communities would drive their own initiatives.

While valuable lessons have been learnt in the implementation of this programme, from the researcher's experience as the senior manager in the Department of Social Development, poverty is still the biggest challenge facing communities despite some interventions government has initiated. Within Social Development the Poverty Relief Programme initiated since 1998 indicates that some of the projects have not yielded the results as was expected, particularly not as regards their sustainability. As a result, these projects are either at the stage where they need to be terminated, or serious interventions of support are required to ensure their continuity. It is therefore important for the researcher of this study to understand how civil society organizations implement poverty alleviation programmes. How do they ensure that communities are empowered during the implementation process? What aspects are critical in ensuring sustainability of these programmes to ensure they achieve the outcomes they are intended to achieve and have lasting impact? By 2009, government was spending over R80 billion on social grants and the Minister of Finance was greatly concerned about the pressure this amount of spending, which was expected to increase, placed on the country's GDP. While social grants are critical in addressing income poverty, it is the researcher's view that if the Department of Social Development's mission is: *To ensure the provision of comprehensive, integrated, sustainable and quality social development services against vulnerability and poverty and (to) create an enabling environment for sustainable development in partnership with those committed to building a caring society.* Then it is critical to evaluate the role of civil society in poverty alleviation as important partners in building a caring society, particularly the extent of sustainability of programmes as a key indicator in ensuring long-term impact. Also important, as indicated in the mission statement, is the fact that the Department of Social Development bears primary responsibility for relationships with the civil society organizations.

The fight towards poverty alleviation requires a comprehensive, integrated, multifaceted and multidimensional approach which involves participation by all stakeholders to achieve sustainability as indicated in the mission statement of the

Department of Social Development. Experience, research and, most importantly, the poor themselves emphasize that issues such as inclusion and the environment, among others, are fundamental to lasting development and sustainable poverty alleviation. Research also suggests that where civil society organizations participate more fully, service delivery gaps are better identified. In such cases, the prioritization of service delivery needs is also more appropriate to the needs of communities (2003:14). This participation and the role of civil society also support the notion of decentralization, which is seen as a way to improve service delivery and increase popular participation in governance. Civil society organizations operate at community level and are best positioned to respond to the immediate needs of community. However, Du Toit, Van der Walt, Bayat and Cheminais (1998:266) warn that the fact that the market and the state have not succeeded in reducing poverty does not mean that NGOs will do any better. However, an assessment of NGOs' distinctive competence and role in the development process shows that because NGOs work closely with the poor, for example, they may enhance the access of the poor to public services and augment their political power through organization. The involvement of civil society in poverty alleviation therefore cannot be overemphasized given their local knowledge, which can be used as a basis for development; hence the researcher was motivated to undertake this study.

Furthermore, the researcher as a senior manager developing and monitoring the implementation of various policies aimed at alleviating poverty, has come across some deeply rooted poverty that still confront communities. These levels of poverty and misery are ethically unacceptable. The democratic government has committed itself to realize the dreams of many South Africans who have lost hope of a better life. Zegeye and Maxted (2002: IV), state:

*What happens to a dream deferred?*

*Does it dry up?*

*Like a raisin in the sun?*

*Or fester like a sore –*

*And then run?*

*Does it stink like rotten meat?*

*Or crust and sugar over –*

*Like a syrup sweet?*

*Maybe it just sags*

*Like a heavy load*

*Or does it explode?*

## **1.4 PURPOSE AND OBJECTIVES OF THE STUDY**

### **1.4.1 Purpose**

The purpose of this research is to evaluate how civil society organizations implement poverty alleviation programmes within the context of Social Development.

### **1.4.2 Objectives**

The objectives of the study are the following:

- To describe the context of addressing poverty in South Africa post-1994 within the global, regional and national frameworks;
- To review literature on theoretical constructs of public policy with a view to understand public policy process in South Africa and the challenges in policy implementation;
- To analyse and understand the capacity challenges of civil society organizations in implementing poverty alleviation programmes;
- To evaluate the extent to which civil society organizations involve and empower communities in implementing programmes;
- To analyse the extent to which programmes implemented by civil society organizations are sustainable;
- To make conclusions and recommendations regarding future implementation of poverty alleviation programmes;

## **1.5 THE HYPOTHESIS OF THE RESEARCH**

In light of the above objectives the hypothesis of this research is **“poverty alleviation programmes implemented by civil society organizations in collaboration and partnership with government are empowering and**



**sustainable**". Since 1994 the South African government as part of its transformation agenda has committed to a people-centred society and a better life for all expressed in its RDP. Subsequently, poverty alleviation in South Africa must be driven by the poor themselves who understand better their circumstances and their needs. Furthermore, poverty alleviation must be sustainable to ensure that the poor do not find themselves going back to the cycle of poverty trap. Participation of civil society in the implementation of poverty alleviation therefore provides an opportunity for the realization of the two principles of RDP – a people-driven approach and sustainable programmes. Civil society organizations are associated with the ability to control the circumstances in which individuals live and the substantive empowerment of citizens. Participation of civil society organizations therefore creates opportunities for private public partnerships on social delivery, increases the sense of ownership over policy outcomes and lends greater legitimacy to governmental decisions. The sense of ownership is a critical aspect in ensuring sustainability of programmes. Civil society organizations take responsibility for improving the collective circumstances and thus select from a range of options in bringing change to their circumstances. Hence the hypothesis of this study is **"poverty alleviation programmes implemented by civil society organizations in collaboration and partnership with government are empowering and sustainable"**

## **1.5 DEFINITION OF TERMS**

### **1.5.1 Poverty**

Poverty is the most complex phenomenon and is not always easy to define without conveying its diverse facets, which include its nature, its causes, its geography and social groups, which are usually vulnerable to poverty. Adding to this complexity is the fact that poverty means different things to those people who are affected by it. This is evident in the following definitions, which come from various poor people from different countries:

*“Poverty is like heat: you cannot see it; you can only feel it. To know poverty you have to go through it.”* – A poor man, Adaboya, Ghana

*“Women are beaten at the house for any reason...They may also be beaten if the husband comes home drunk or if he simply feels like it.”* – A researcher from Ethiopia

*“Poverty is not knowing where your next meal is going to come from and always wondering when the council is going to put your furniture out and always praying that your husband must not lose his job. To me that is poverty.”* – Mrs Witbooi, Phillipstown, Karoo, South Africa

Adding to this in the South African Participatory Poverty Assessment (SA-PPA 1998), the poor characterized their poverty as including:

- isolation from family and community institutions;
- the inability to provide food in sufficient quantity or of a good quality;
- living in overcrowded or poorly maintained homes;
- lack of access to safe and efficient sources of energy;
- a lack of adequately paid or secure jobs;
- fragmentation of the family; and
- Vulnerability to shocks and stresses such as the death of a main income earner or environmental hazards such as flooding.

Given these various dimensions of poverty, it can be concluded that poverty is multidimensional and that any policies and strategies aimed at addressing poverty should take into account this multidimensional nature. This study however will focus on those dimensions of poverty which fall within the context of social development.

### **1.5.2 Development**

According to Liebenberg and Steward (1997:89) the concept “development” has been defined in many ways over the years. Each new theory has borrowed from the

past in order to build for the future, resulting in an evolutionary development of this concept. It is therefore often argued that, to improve theory (and thus development), note must be taken of the past, so that lessons can be learnt from past mistakes and knowledge gained from past successes. As such, Szirmai's (1997) view is that Amartya Sen's work has been central to the broadening of perspective in the meaning of development and poverty alleviation. His book *Development as Freedom* (1999) embodies the key idea of development as the enhancement of individuals' abilities to shape their own lives (1997:1).

Liebenberg & Steward (1997:91) argue that on the basis of humanistic perceptions it must be stated that people create their own social reality and, within this social reality, also their specific definition of development as perceived by them. Hence they emphasize that development must be defined by those whose lives are to be improved, and their need for empowerment must be recognized. Korten (1990:67), however, succinctly describes development as ... a process by which the members of society increase their personal and institutional capacities to mobilize and manage resources to reproduce sustainable and justly distributed improvements in their quality of life, consistent with their own aspirations. This is the kind of approach on which the Reconstruction and Development Programme (RDP) philosophy is built. The following RDP quotation drives home the point: "*Development is not about the delivery of goods to a passive citizenry. It is about active involvement and growing empowerment. In taking this approach we are building on the many forums, peace structures and negotiations that our people are involved in throughout the land*" (ANC 1994:5).

From the above description of development it could be concluded that development is about improving the capacity of people and their capabilities, empowerment of people to improve participation, a fairer distribution of the fruits of development. For the purpose of this study the term development will therefore be broadly used to describe the improvement of people's quality of life. The emphasis will be on the principles of participation, empowerment and sustainability.

### **1.5.3 Sustainability**

Defining sustainability in a broader sense is not easy – but there have been many attempts. Trzyna (1995:17) states that sustainability is not a technical problem to be solved, but a vision of the future that provides us with a road map and helps us to focus our attention on a set of values and ethical and moral principles by which to guide our actions.

According to the World Development Report (2003:14) the most commonly used definition is the one provided by the World Commission on Environment and Development (Brundtland Commission 1987): “progress that meets the needs of the present without compromising the ability of future generations to meet their own needs”. Recent definitions have focused more explicitly on the three pillars of sustainability: economic, environmental and social. The thinking about social sustainability is not yet as advanced as for the other two pillars. Societies do, and will continue to, transform over time. But it seems clear that significant social stress – and, at the extreme, social conflict – is likely to lead to a breakdown in the accumulation or preservation of all assets, thereby jeopardizing intergenerational well-being (2003:14).

According to Liebenberg and Steward (1997:126) sustainable development deals with the continuous flow of benefits. The second dimension of sustainable development is time, and within this dimension emphasis is placed on the fact that the process of sustainable development should be viewed as long-term. Liebenberg and Steward further stress that popular participation and empowerment constitute a central component of sustainable development in that sustainable development should be based on the beneficial attainment of access to and the mobilization of resources by the poor in order to address their basic needs (1997:126). Khosa (2000:3) argues that at the heart of any infrastructure and service delivery programme there should be a deliberate effort to empower relevant beneficiaries, curtail excessive powers of global and corporate stakeholders and establish meaningful institutional arrangements and resources to ensure sustainability and service affordability. It is therefore clear that sustainability involves long-term

benefits that are responsive to the basic needs, hence emphasis on participation and empowerment.

#### **1.5.4 Participation**

Participation is defined as a process whereby stakeholders exercise influence over public policy decisions, and share control over resources and institutions that affect their lives, thereby providing a check on power of government. In the context of governance, participation is focused on the empowerment of citizens, including women, and addressing the interplay between the broad range of civil societies, actors and actions (Agere, 2000:9).

Kotze (1997:38), however, argues that the nature and content of the concept of participation cannot be reduced to a single description or definition. The concept may, therefore, according to Kotze, be discussed by referring to the following aspects:

- Participation implies involvement. In this a distinction is made between participation and involvement, where participation implies “to share in” while involvement implies that there is a feeling of belonging and that people become involved on the basis of this feeling. They therefore feel that they belong to the various projects or programmes and vice versa.
- Communication must be established. If participation is put into effect, communication is created and a situation is achieved where the local communities are in a position to identify and analyse a development problem for them.
- A new attitude on the part of government officials is required. In many Third World countries bureaucracy creates the impression of inaccessibility, while it should be geared to creating a positive relationship with the people and, at the same time, to promoting an image of professionalism and efficiency (Bryant & White, 1982:212).
- Participation must lead to reciprocal influence between development agencies and people. Participation therefore is not a passive participation in goodwill,

but an active influencing of the behaviour and output of development agencies.

Within this study, participation will refer to the voice and influence civil society and local people/communities have on public policy including programmes aimed at alleviating poverty. Notwithstanding the fact that this study focuses on policy implementation the study may reflect on the influence of CSOs in all phases of public policy-making, that is, planning and decision-making, implementation, evaluation and the phase in which benefits are derived.

### **1.5.5 Empowerment**

Empowerment can be defined in various ways, depending on the context in which it is used. According to Liebenberg & Stewart (1997:125) empowerment can be viewed as a process that makes power available so that it can be used for the manipulation of access and the use of resources to achieve certain development goals. Within this study, empowerment therefore entails strengthening of communities or local capacities so that they can sustain development.

### **1.5.6 Governance**

Good governance is a concept that has recently come into regular use in political science, public administration and, more particularly, development management. It appears alongside such concepts and terms as democracy, civil society, popular participation, human rights and social and sustainable development. The emerging perspectives regarding governance structures are, among others, the relationship between governments and citizens and the relationship between governments and the voluntary or private sector, hence it is important to define this concept in this study.

Better governance is a development imperative for most African countries. The following quotation states the crucial need of governance for development: *"It is ...important to establish from the outset that the conventional development models have failed miserably in Africa and that the solutions for Africa's problems must*



*emphasize strategies that promote democracy, self-reliance, accountability and sustainability” (Cheru, 1989:1).*

In light of this, the World Bank (2000:64) states that good governance should aim to achieve the three E’s:

- Empower citizens to hold governments accountable through participation and decentralization;
- Enable governments to respond to new demands by building capacity; and
- Enforce compliance with the rule of law and greater transparency.

### **1.5.7 Civil Society**

Civil society is a broad term encompassing individuals and non-governmental forms of association. Its development is considered by many in the West to be a prerequisite for democracy and an expression of grassroots political pluralism. Members of civil society participate voluntarily in public or community affairs. The term “civil society” is often associated with the ability to control the circumstances in which individuals live and the substantive empowerment of citizens. Within the South African context the term “civil society” has been commonly used to exclusively denote three key actors, namely non- governmental organisations (NGOs), community-based organisations (CBOs) and faith-based organisations (FBOs). According to Du Toit et al. (1998:264) non-governmental organizations are voluntary organizations promoting development, covering a wide spectrum of development-related activities, and are responsible to their donors and to the communities for which they work. Du Toit further stresses that NGOs are not for profit and are often committed to the idea of popular participation human (resource) development and community (social) education. This study will use the term “civil society” organizations to include all three actors, otherwise, where a distinction is necessary, specific reference will be made to each actor.

## **1.6 CHAPTER OUTLINE**

### **1.6.1 Chapter 1: Introduction and general overview**

This chapter presents a general overview of the context for poverty alleviation and addressing underdevelopment in South Africa. This is achieved by providing a brief historical perspective of the apartheid regime which resulted in poverty, inequality and underdevelopment in South Africa. This is followed by highlighting various key obligations and commitments at global, continental, regional and national levels made by South Africa - post democracy - in alleviating poverty and addressing underdevelopment. The chapter also provides the motivation for the study and formulates the hypothesis. The purpose and objectives of the study are delineated and the key concepts used in the study are defined. Finally, the chapter concludes with an outline of each chapter.

### **1.6.2 Chapter 2: Research Methodology**

Chapter two discusses the research methodology of the study. The significance of the study including the purpose and objectives of the study are outlined. Delineations and limitations are highlighted and the research problem and the research questions are stated. Reasons for selecting qualitative research with semi-quantitative research are provided. The research design and its phases are elaborated on, focusing on various methodological approaches that will allow the research to present a coherent case. In this, focus will be on methodologies to be used to collect data and sources of these data, target population and sampling and an analysis of data.

### **1.6.3 Chapter 3: Literature Review**

This chapter will explore available literature on public policy, examining theoretical frameworks of public policy. Policy agenda that has influenced the involvement of civil society organization in public policy will be reviewed. Lastly, policy implementation approaches will also be examined.

#### **1.6.4 Chapter 4: Poverty Alleviation: Empirical Studies**

This chapter will review progress in alleviating poverty worldwide, continentally and nationally. Specifically progress towards the achievement of millennium development goals will be reviewed. Cases from selected countries will be analysed to understand variables that have contributed to success in poverty alleviation. The chapter will conclude by reviewing empowerment approaches.

#### **1.6.5 Chapter 5: Research findings and analysis**

Chapter 5 represents findings emanating from data and provides analysis of the findings.

#### **1.6.6 Chapter 6: Conclusions and Recommendations**

This will be a summary of research design, summarizing findings in Chapter 5 and providing recommendations on the implementation of poverty alleviation programmes by civil society organizations. Implications for further research will be highlighted.

## **CHAPTER TWO**

### **METHODOLOGY**

#### **2.1 INTRODUCTION**

Methodology is the most important aspect in any research because it provides direction to be followed in addressing the research problem and the research question. The aim of this chapter is to outline the research design that will be followed in undertaking this study. Strategies or designs refer to those decisions a researcher makes in planning the study. Other authors use the term to refer to those groups of small, worked-out formulas from which prospective (quantitatively oriented) researchers can select or develop one (or more) that may be suitable to their specific research goal.

This chapter will thus focus on the significance of the study, its purpose and objectives, delineations and limitations of the study, the research problem and the research question as well as the methodology that will be used to undertake this study. The reasons for selecting qualitative research method combining it with semi-quantitative research will be discussed. Approaches to qualitative research will be explored. Various methodological approaches, specifically data collection and analysis methods, sampling and ethical considerations will be outlined.

#### **2.2 THE PURPOSE OF THE STUDY**

The purpose of this research is to analyse the role of civil society organizations in the implementation of poverty alleviation programmes in South Africa post democracy. The research will describe the importance of partnerships and collaboration between government and civil society in implementing public policy focussing on how civil society organizations implement poverty alleviation programmes and the extent to which this partnership and collaboration ensures empowerment and sustainability of programmes.

### **2.3 OBJECTIVES OF THE STUDY**

The objectives of the study are the following:

- To describe the context of addressing poverty in South Africa post-1994 within the global, regional and national frameworks;
- To review literature on theoretical constructs of public policy with a view to understand public policy process in South Africa and the challenges in policy implementation;
- To analyse and understand the capacity challenges of civil society organizations in implementing poverty alleviation programmes;
- To evaluate the extent to which civil society organizations involve and empower communities in implementing poverty alleviation programmes;
- To analyse the extent to which programmes implemented by civil society organizations in partnership with government are sustainable and
- To make conclusions and recommendations regarding future implementation of poverty alleviation programmes.

### **2.4 SIGNIFICANCE OF THE STUDY**

The significance of this study is as follows:

- The results of the research will contribute towards better insight on the role of civil society as key role players in implementing poverty alleviation programmes and should assist in directing policy on this aspect, particularly, in strengthening capacity for effective implementation and long lasting effect.
- This study will also assist in addressing the challenge to contemporary orthodoxy and new insight that a more critical understanding of the role of civil society in improving the quality of life is needed. The study will thus contribute to the knowledge by reviewing the issues of public accountability, empowerment and sustainability as they relate to the civil society organizations in implementing public policy in partnership with government.
- The study will highlight challenges and constraints experienced by civil society organizations in the implementation of public policy and bring about possible solutions to such challenges for effective implementation.

- The study will further contribute to the effective management of civil society organizations. The ability of the South African government in alleviating poverty lies in the effective implementation of its policies. Poverty alleviation cannot be achieved by government alone but requires effective partnerships with civil society organizations which remain closer to the people and communities. Thus government's commitment to effective partnerships is critical to address the persistence of poverty, hence the importance of this study.
- The study will also be used by administrators to guide the implementation of policies aimed at poverty alleviation.
- The study will thus contribute to the academic knowledge in the field of Public Administration and specifically in the implementation of public policies.

## **2.5 DELINEATIONS OF THE STUDY**

This study will focus on analysing the role played by civil society organizations in the implementation of poverty alleviation programmes within the social development perspective post 1994. Poverty is multidimensional and therefore poverty alleviation programmes address the multidimensional aspect of poverty. However, this study will focus on poverty alleviation within the social development perspective. Social development in this context will be limited to the process of organizing human energies and activities to improve the lives of the people. It will be limited to the programmes implemented by what the South African government refers to as the 'social cluster departments' which include the departments of Social Development, Education and Health. Furthermore, within the context of Social Development there are various programmes aimed at alleviating poverty. These programmes include HIV and Aids programmes, income generation programmes, and food security. The study will therefore analyse these programmes with the view to understand issues that concern CSOs as an institutional structure, in the implementation of programmes.

In analysing the role of civil society organizations the study will evaluate the extent to which poverty alleviation programmes are empowering and sustainable. To this

effect challenges experienced by civil society organizations in implementing poverty alleviation programmes will be analysed to establish the effect of the challenges in the implementation process. The study will therefore focus on the process of implementation but also capture aspects of empowerment and sustainability of programmes. The role of civil society will be analysed based on the commitment of government, as a developmental state, to effective partnerships in addressing development challenges in a democratic society. It is not the intention of the study to look at the nature and causes of poverty given the fact that extensive research on these aspects has been conducted.

## **2.6 LIMITATIONS OF THE STUDY**

There are limitations that could undermine the quality of this study. First, this study does not intend to cover aspects that relate to civil society organizations experienced in any study. It is intended to address the current analysis of civil society organizations working in partnership with government to address poverty alleviation in South Africa. The study is therefore a longitudinal study which could be explored beyond the current analysis.

The second limitation is that civil society organizations by their nature are a diverse population with different ideologies, sizes, visions, roles and capacities, particularly in different geographic areas. This then poses a challenge particularly in generalization of findings. Thirdly, the study focused on those civil society organizations that implement Social Development (including the social sector departments like education, health) poverty alleviation programmes, and yet there are various civil society organizations working with different government departments and donor communities in implementing poverty alleviation programmes. This limitation might have impact on the generalizations and conclusions made – which will be based on the cases studied.

Fourthly, the findings on the effectiveness (in this context empowerment and sustainability) of programmes implemented by the civil society organizations are based on the responses of the civil society organizations implementing poverty



alleviation programmes. The researcher did not have time to interview and solicit the views of the recipients of services provided by the civil society. This could affect the reliability of responses. Fifthly, poverty is a multidimensional phenomenon and therefore civil society organizations participated in various dimensions of poverty that were not the same, even within the cases that were studied. Sixthly, civil society organizations are always very cautious in providing information that could be viewed as assessing their ability to spend funds provided to them by government or to assess sources of funding. Therefore, this might compromise the quality of data collected on funding.

Finally, the researcher has chosen to use questionnaires for collecting data from CSOs. Questionnaires have limitations by their nature and therefore this data collection method is likely to impact negatively on the response rate. Furthermore, in view of the fact that this is a qualitative study aimed at understanding how civil society organizations implement poverty alleviation programmes the questionnaire by its nature does not allow engagement with the respondent in order to understand responses, although piloting of the questionnaire ensures that such weaknesses are managed. This might nevertheless be a limitation. The researcher however has deliberately used triangulation in terms of data sources. The researcher experienced challenges in receiving back all the completed questionnaires from the cases selected. Because of the time factor, other provinces did not respond or responded late.

## **2.7 STATEMENT OF THE PROBLEM**

Since the political transition in 1994, policies to address South Africa's poverty and inequalities have been pursued. However, the government's ability to address social problems and in particular poverty alleviation has been questioned. This questioning has been attributed to the challenges faced by the public administration in the implementation of policies and programmes. Some of the implementation challenges relate to the approaches used during the implementation process. Bottom approaches assume that the poor are active participants in the implementation process and they have the requisite skills and capacity required to effectively

implement poverty alleviation programmes. Khosa (2003:49) notes that the discrepancies between policy and implementation are largely caused by unrealistic policies and a lack of managerial expertise. Research indicates that policy implementation has suffered from the absence of a people-driven process as well as lack of requisite capabilities and capacities to effectively implement policies and programmes.

Notwithstanding the fact that government has recognised the importance of partnerships with CSOs, in implementing public policy, such partnerships have been characterised by challenges of fiscal nature, government control and a lack of recognition of the efficacy of the voluntary initiative. Furthermore, partnerships between government and civil society organizations have been characterized by a lack of trust impacting negatively on the sustainability of the programmes hence the interest of the researcher in understanding these challenges and finding solutions to address them with a view to improve the implementation process.

The Department of Social Development implements its various policies in addressing the plight of poverty and underdevelopment in partnership with various civil society organizations. These programmes are intended to be developmental by nature. Frimpong (2000:9) states that development projects seek to combine the delivery of the project outputs with the mobilization of local people to take advantage of their own development. Projects of this nature focus on “softer” outputs, i.e. capacity building and empowerment of involved community members, and sustainability through a participative and social learning through the management of projects (Bryant & White, 1982; Brinkerhoff, 1991). Poverty is still the biggest problem facing South Africa and this problem cannot be addressed by government alone, but requires poor people and communities to participate and take ownership of the poverty alleviation process hence, the need for this study. Notwithstanding the fact that CSOs are regarded as more responsive to the poor, their efforts are often not sustainable. Despite government’s recognition of the importance of CSOs in the implementation of poverty alleviation programmes, government views CSOs with suspicion which then place impediments in the implementation process. If South

Africa has to meet the MDGs by 2014, the role of CSOs in the implementation of poverty alleviation needs to be analysed with a view to find solutions to the various challenges they experience.

## 2.8 RESEARCH QUESTION

The research question that guides this study is:

**“To what extent has government’s collaboration and partnership with the civil society organizations in the implementation of poverty alleviation programmes ensured empowerment and sustainability? ”**

The challenge of poverty continues to be the biggest challenge facing the South African government. Since 1994, the South African government introduced a series of pro poor policies, acts and poverty alleviation programmes directing the process of development and empowerment of previously disadvantaged communities and people. It is important therefore to understand public policy process and in particular the challenges in policy implementation that have characterised the South African public administration. Research indicates that there is very slow progress towards alleviating poverty and in particular meeting the MDGs targets. This slow progress is as a result of challenges in the implementation of programmes. Policy implementation is the key feature of the policy process, and learning from implementation challenges can foster learning about better ways to structure policies and programmes to ensure that they have the effects that designers of these policies and programmes seek. As guided by the principles of Reconstruction and Development Programme policy alleviation and development programmes must empower the poor and ensure sustainability for lasting effect.

Civil society has been widely recognised as an essential third sector. Its strength can have a positive influence on the state and the market. In fact governments are now increasingly viewing civil society organizations as an integral part of the institutional structure particularly for addressing the problem of rising poverty. Subsequently, post democracy, the role of civil society organizations has shifted enormously with the civil society organizations assisting government in the

implementation of poverty alleviation programmes. This shift in the role of civil society organizations has been based on the perception that civil society organizations are more flexible, targeting pockets of poverty better, participatory and responsive to local needs of the poor – all prerequisites for sustained development. This shift has also come at a time globally when there are attempts to achieve efficient government. Modern public administration is not just about efficiency, it also involves ideas of democratic participation, accountability and empowerment hence the research question of this study:

**To what extent has government’s collaboration and partnership with the civil society organizations in the implementation of poverty alleviation programmes ensured empowerment and sustainability?** This research question will thus guide this study in analysing the implementation of poverty alleviation programmes by civil society organizations within the social development context. Such analysis will contribute in understanding challenges faced by civil society organizations in implementing poverty alleviation programmes. The analysis will thus elucidate how civil society organizations manage the implementation process. This will include analysing the planning process and whether civil society organizations integrate their programmes with other implementers/actors for maximum impact and sustainable development. Furthermore, the research question will guide the study in analysing the implementation process with a view to understand how the beneficiaries of poverty alleviation programmes are empowered and whether these programmes are sustainable. To this effect those aspects that are critical for sustainability will be identified.

## **2.9 RESEARCH METHODOLOGY**

A qualitative method will be the key method used for this study because, according to the researcher, this method will enable the researcher to understand the processes involved in implementing poverty alleviation by civil society organizations from their perspectives - particularly their challenges. It will also indicate uniqueness in the implementation of public policy by this institution of non-profit organizations. Qualitative research will thus best elucidate how civil society

organizations participate in poverty alleviation programmes, and how they ensure the programmes' sustainability, which is critical in ensuring long-lasting effects in alleviating poverty. Marshall and Rossman (1995) describe qualitative research as relying on methods that maximize possibilities for the researcher to respond to questions thoroughly and thoughtfully because it gives information that is more nuanced and textured. A semi-quantitative method will also be used during analysis to quantify the frequency and percentage of responses.

There often is a presumption among many researchers that choosing qualitative methods will enhance the potential for the participants' own voices and values to inform the research process and thus illuminate in a grounded fashion the evaluation of a project or policy. Underpinning this presumption is a view that qualitative research can provide a more informative picture of culturally-based processes, outcomes and ultimately future policy and practice (May, 2002:261). Hence the researcher of this study has adopted this design.

### **2.9.1 Distinction between quantitative and qualitative paradigms**

The distinction between quantitative and qualitative research has had wide-spread currency in the social sciences for many years. According to Henning, Van Rensburg and Smit (2004:3) the distinction between the qualitative paradigm and the better-known quantitative paradigm lies in the quest for understanding and for in-depth inquiry. What is significant about the growing use of the distinction between quantitative and qualitative research is that each can be seen as having a distinctive cluster of concerns and preoccupations. Those associated with quantitative research can be viewed in the following terms according to Becker and Bryman (2004:89-90):

#### **2.9.1.1 Measurement**

Quantitative researchers seek to provide rigorous measures of the concepts that drive their research. Thus, there is often a great deal of concern in texts on quantitative research about how to operationalize concepts. The quantitative researcher searches for indicators to act as measures that can stand for or point towards the underlying concept. The very idea of a variable – an attribute on which

people vary – which is so central to quantitative research, is distinctive of this preoccupation with measurement. The emphasis on the measurement of prior concepts reflects a deductive approach to the relationship between theory and research.

### **2.9.1.2 Causality**

There is a concern to demonstrate causal relationships between variables, in other words, to show what factors influence people's behaviour, attitudes and beliefs. This preoccupation with causality can be seen in the widespread use of the terms "independent variable" and "dependant variable" to describe variables which, respectively, influence and are influenced by other variables. Henning, Van Rensburg and Smit (2004:3) assert that in a quantitative study the focus will be on control of all the components in the actions and representations of the participants – the variables will be controlled and the study will be guided with an acute focus on how variables are related.

### **2.9.1.3 Generalizations**

Quantitative researchers invariably seek to establish that the findings apply more widely than the confines of their specific research context. Thus, there tends to be a concern to show that the findings are representative of a wider population and this is responsible for the preoccupation in many research methods texts with sampling procedures that maximize the possibility of generating a representative sample.

### **2.9.1.4 Replication**

One of the main ways in which the scientific orientation of quantitative research is most apparent is the frequent reference to the suggestion that the researcher should follow clearly explicated procedures so that a study is reproducible. As in the natural sciences, it is believed to be important for a study to be capable of being checked by someone else, in case it was poorly conducted or the biases of the researcher were allowed to intrude into the results of the investigation. By contrast, qualitative research is seen as distinctive in the following respects, according to Becker and Bryman (2004:92):

### **2.9.1.5 Focus on actors' meanings**

Qualitative researchers aim to understand the behaviour, values and beliefs and so on of the people they study from the perspectives of the subjects themselves. This tendency reflects a commitment that researchers should not impose their own understandings of what is going on. This study analyses the participation of civil society organizations in the implementation of poverty alleviation programmes in collaboration with government, with specific emphasis on variables of empowerment and sustainability. Empowering an individual or group means to grant them the right and ability to act within a specified domain. Essama-Nssah (2004:509), discusses a conception of empowerment based on three aspects: perception of self-efficacy and control; acquisition of resources, knowledge and skills; and participation in collective action. It is these aspects that will enable the researcher of this study to focus on meanings attached by civil society organisations with regards to their participation and empowerment in implementing poverty alleviation programmes, and particularly in the sustainability of their programmes.

### **2.9.1.6 Description and emphasis on context**

Becker and Bryman (2004:92) emphasize that if you read an article or monograph based on qualitative research, it is difficult not to be struck by the attention to detail that is often revealed. There is frequently a rich account of the people and the environment. This is not to say that the qualitative researchers are unconcerned with explanation, but that they provide detailed descriptions of the research setting. One of the chief reasons for the detailed descriptions of research settings is that behaviour and beliefs can be understood in the specific context of the research setting. The meaning of events is therefore to be sought in the prevailing value system and structures that are possibly unique to the setting being studied. Poverty alleviation programmes need to address and respond to the local needs of the communities. Understanding the context within which poverty alleviation programme is implemented becomes necessary in evaluating the lasting effect (empowerment and sustainability) of the programme.



### **2.9.1.7 Process**

Another key aspect in qualitative research is the issue of process. There is a tendency for social life to be viewed in terms of unfolding processes so that events are depicted as interconnected over time and not as disparate. This is important in analysing whether poverty alleviation programmes implemented by civil society are sustainable. What processes are critical for sustainability? Hence the choice of qualitative research for this study.

### **2.9.1.8 Flexibility**

Much qualitative research is relatively unstructured so that the researcher is more likely to uncover actors' meanings and interpretations rather than impose his or her own understandings. The lack of structure has the additional advantage that the general strategy is flexible, so that if the researcher encounters unexpected events that offer a promising line of enquiry, a new direction can be absorbed and pursued. This is important for the current study that is analysing civil society organizations that exist under a particular combination of ideological, political, social and economic conditions, which are, in turn, the product of unique experiences.

### **2.9.1.9 Emergent theory and concepts**

Typically, concepts and the development of theory emerge out of the process of data collection rather than appearing at the outset of an investigation, which is what, occurs in quantitative research. This preference for an inductive approach reflects the predilection among qualitative researchers for interpretation to take in subjects' own terms. This study generalizes through induction. It looks at specific civil society organizations, showing how they have implemented poverty alleviation programmes and then draws conclusions on whether programmes implemented by civil society organizations are empowering and sustainable. McNabb (2002:267) states that qualitative research studies typically involve what have been described as inductive, theory-generating, subjective and non-positivist processes, in contrast to quantitative research, which involves deductive, theory testing, objective and positivist processes.

According to De Vos; Strydom; Fouche and Delport (2002:272) the qualitative research strategy differs inherently from the quantitative research design in that it does not usually provide the researcher with a step-by-step plan or a fixed recipe to follow. In quantitative research the design determines the researcher's choices and actions, while in qualitative research the researcher's choices and actions will determine the design or strategy. Put more simply, qualitative researchers will, during the research process, create the research strategy best suited to their research, or even design their own whole research project around the strategy selected.

Marshall and Rossman, (1995) describe qualitative research as relying on methods that maximize possibilities for the researcher to respond to questions thoroughly and thoughtfully, because it gives information that is more nuanced and textured. McNabb (2002:267) argues that qualitative research describes a set of non-statistical inquiry techniques and processes used to gather data about social phenomenon. Qualitative researchers stress the socially-constructed nature of reality, the intimate relationship between the researcher and those whom the researcher seeks to study. They seek answers to questions that stress how social experiences are created and given meaning, and it is multi-method in focus. This makes it a strategy that adds rigour, breadth and depth to any investigation (Denzin and Lincoln, 1994). Strauss and Cobin (1990) support this view by indicating that qualitative methods can also be used to gain new perspectives on things about which much is already known, or gain more in-depth information that may be difficult to convey quantitatively. The researcher feels strongly that this method will best elucidate how civil society organizations implement poverty alleviation programmes, and the extent to which these programmes are empowering and sustainable.

McNabb (2002:267) identifies five differences between qualitative and quantitative approaches, based on five philosophical foundations: ontology (researchers' perceptions of reality); epistemology (the role or roles taken by researchers); axiological assumptions (researchers' values); rhetorical traditions (the style of language used by researchers); and methodological approaches (approaches taken

by researchers). A key difference lies in the epistemology of the two approaches. In qualitative research designs, the researcher must often interact with individuals in the groups they are studying. In this study the researcher will interact with individual members of the civil society organizations through the questionnaire that is structured in such a way that individual CSOs elaborate on certain issues pertaining to the implementation process. Researchers record not only what they see, but also their interpretations of the meaning inherent in the interactions that take place in the groups. Understanding the role of civil society in poverty alleviation therefore requires that the researcher not only record what the individual members of these organizations say about their role, but also interpret the meaning inherent in their responses, the values that guide and inform the functions of these organizations, and their visions. Quantitative researchers, on the other hand, maintain a deliberate distance and objectivity from the study group. They are careful to avoid making judgments about attitudes, perceptions, values, interactions, or predispositions.

Qualitative research has three broad strategic classes: explanatory research studies, interpretive research studies and critical research studies. This study will follow the explanatory research class. McNabb (2002:269) defines explanatory research as studies that are conducted to develop a causal explanation for some social phenomenon. The researcher identifies a specific social event he or she wants to investigate, such as poverty and civil society in this study, and then seeks to identify the social, economic, climate, practice, or other such characteristics (variable) in the social environment that can be explained as a cause of the consequence of interest. McNabb (2002:270) states that one of the major objectives of explanatory research is to build theories that researchers can then use to explain a phenomenon and then to predict future behaviour or events in similar circumstances. The ability to predict responses allows investigators a measure of control over events. In this study the researcher is interested in evaluating the effectiveness of poverty alleviation programmes implemented by civil society organizations in collaboration with government. In assessing and evaluating poverty alleviation effectiveness, the concept of empowerment must be understood in relation to that of the living standard. Indeed, it is commonly accepted that maintaining and improving the living

standard of the population is the ultimate goal of public policy and a fundamental expectation of the governed. Hence it is important in this study to investigate what is unique about the participation of civil society organizations in implementing poverty alleviation programmes. Are there variables in policy implementation that contribute to the achievement of policy goals and outcomes (like the goal of alleviating poverty in this study)? What is unique about the civil society organizations as the non formal actors in the implementation process? Are there any implementation approaches that are unique to these actors? What are the challenges with approaches? Does the collaboration and partnership of civil society organizations with government in the implementation of poverty alleviation result in the empowerment of people and sustainability of programmes? What are the factors that contribute to sustainability of programmes? The answers to these questions will be used to explain civil society organizations and their role in poverty alleviation, and to predict future outcomes of poverty alleviation programmes where civil society organizations are active participants. Most importantly, the answers to these questions will indicate how non-state actors participate in policy implementation. As indicated in Chapter 1, the Constitution (1996) and the RDP both emphasize empowerment and participation and therefore the researcher of this study is interested in understanding how the civil society organizations participate in policy implementation, how do they implement poverty alleviation programmes in collaboration with government and how are they empowered and in return empower the communities they work with.

Explanatory research is also seen by many as the fastest way to produce a cumulative stream of knowledge in a field or discipline. Possibly because of this trait and the aspect of control, studies that are designed to explain a phenomenon are the most common in public administration research. The explanatory strategies fulfil much the same role in qualitative research that exploratory research does in quantitative research - they are used as a means of gathering fundamental information about the topic, its contributing factors, and the influences a phenomenon might have on various outcomes (McNabb, 2002:270).

Possibly because it is often considered the easiest of the three strategies to carry out, by far most public administration research studies follow an explanatory design. However, according to McNabb (2002:274), there is a strong movement among researchers in all the social and administrative sciences to go beyond a simple description explanation of a phenomenon to also explore whatever meaning underlies the behaviour, or event, or circumstance.

A smaller number of researchers are extending the range of research even further by designing studies that begin with a critique of a social phenomenon and end with the design and introduction of subject-sponsored new ways of addressing old problems.

## **2.10 APPROACHES TO QUALITATIVE RESEARCH**

There are many different types of research approaches or strategies of inquiry that could be used to design qualitative research. In the research literature, six types of qualitative research designs are often discussed: conceptual studies, historical research, action research, ethnography, grounded theory and case study research. These designs represent broad categories that could be further refined, but they should not be seen as watertight compartments as there is a great deal of over-lap and borrowing between the research designs, hence the following: phenomenology, hermeneutics, ethno methodology, atmospherics, systems theory, chaos theory, non-linear dynamics, grounded theory, symbolic interactionism, ecological psychology, cognitive anthropology, human ethnology, and holistic ethnography (Patton 1990; Denzin and Lincoln 1994; Morse 1994; Marshall and Rossman 1999 cited in McNabb 2002:276). A brief description of various qualitative approaches will be provided to understand why the researcher chose to use the case study approach as opposed to the others.

### **2.10.1 Ethnography**

Ethnography as a term has traditionally been associated with anthropology, and more specifically social and cultural anthropology. In the field of anthropology, ethnography has come to mean the description of a community or group that

focuses on social systems and cultural heritage (Maree, 2007:76). Ethnography assumes that all human behaviour is intentional and observable, and research should therefore be orientated towards understanding the reasoning behind people's actions. One of the key features of ethnography is naturalism, or leaving natural phenomenon alone.

### **2.10.2 Grounded Theory**

Grounded theory was developed by Glaser and Struass back in 1967 as an alternative approach within the positivist tradition. Since then multiple versions of grounded theory have been documented, but it would seem that the one developed by Struass and Corbin (1990) is most commonly referenced. Strauss and Corbin (1990:23) define a grounded theory as a theory that is

*...inductively derived from the study of the phenomenon it presents. That is, it is discovered, developed and provisionally verified through systematic data collection and analysis of data pertaining to that phenomenon. Therefore, data collection, analysis and theory stand in reciprocal relationship with each other.*

The major difference between grounded theory and other research methods is its specific approach to theory development – grounded theory seeks to develop theory that is grounded in data systematically gathered and analysed (Maree,2007:77). The approach therefore inverts traditional quantitative approaches by grounding theory in accounts and observations of everyday life. The grounded theory approach therefore claims to be inductive rather than deductive.

### **2.10.3 Action Research**

Initially, action research was viewed with caution, partly because of its lack of focus on the positivist standards for research and partly because of its limitations in the number of sites used to conduct the research. Currently, action research is accepted as a valid research method in applied fields such as organization development and education (Maree, 2007:74). Definitions of action research draw attention to its collaborative or participative dimension and to focus on a practical problem experienced by participants for which a practical solution is sought. What makes

action research a qualitative research design type is the strong focus on understanding the problem and developing an intervention with the people involved – it deals with the ‘why’ and the ‘how’ questions. Very often action research is based on the use of mixed methods.

#### **2.10.4 Historical Research**

Historical research which is sometimes called comparative research is a systemic process of describing, analysing and interpreting the past, based on information from selected sources as they relate to the topic under study. Historical research is descriptive, and attempts to construct a map of the past or the developmental trajectory of an education system, curriculum or concept.

#### **2.10.5 Conceptual studies**

The defining characteristics of a conceptual study, according to Maree (2007:70) are that it is largely based on secondary sources, that it critically engages with the understanding of concepts, and that it aims to add to our existing body of knowledge and understanding – it generates knowledge. In conceptual studies the data with which the researcher works is concepts. By and large, concepts are central to the quest for knowledge since they are the building blocks from which theories are constructed. Conceptual studies therefore tend to be abstract, philosophical and rich in their theoretical underpinning (Maree, 2007:72).

#### **2.10.6 Case Study Approach**

For this research the case study approach will be used. The term “case study” refers to research that investigates a small number of cases, possibly even just one, in considerable depth. The term “case study” is also often taken to carry implications for the kind of data that are collected, and perhaps also for how these are analyzed. According to Henning et al. (2004:41) case studies are distinguished from other types of qualitative research in that they are intensive descriptions and analysis of a single unit or a bounded system such as an individual, a program, event, group, interventions or community. In the social and administrative sciences the case study approach focuses on the agency, organization, person, or group under study, rather



than dealing with variables. De Vos et al. (2002:275) argue that a case study can be regarded as an exploration or in-depth analysis of a bounded system (bounded by time and/or place) or a single or multiple cases over a period of time. The case being studied can refer to a process, activity, event, programme or individual or multiple individuals. It might even refer to a period of time rather than a particular group of people. The sole criterion for selecting cases for a case study should be the opportunity to learn. Becker and Bryman (2004:255) argue that the aim of case study research should be to capture cases in their uniqueness, rather than to use them as a basis for wider empirical or theoretical conclusions. This, however, does not rule out an interest in coming to general conclusions, but it does imply that these are to be reached by means of inferences from what is found in particular cases, rather than through the cases being selected in order to test a hypothesis. In line with this, it is frequently argued that a case study adopts an inductive orientation.

A case study as a format for design is thus characterized by the focus on a phenomenon that has identifiable boundaries. Data that are not applicable to the case are not utilized unless they indirectly reflect the nature of the case. Henning et al. (2004:3) state that the process is more important than the outcome. By this they mean that a description of how, where, when and why things happen in the case are noted and form an essential part of the study. The process is thus part of the outcome. The context is also more than part of the case – it is the case and the interaction between context and action that is usually the unit of analysis.

The question that arises in relation to case study concerns its objectivity. Becker and Bryman (2004:255) question whether the aim to produce an account of each case from an external or research point of view is one that may contradict the views of the people involved? Or is it solely to portray the character of each case on its own terms? They argue that this contrast is most obvious where the cases are people, so that the aim may be to “give voice” to them rather than to use them as respondents or even as informants. However, while this distinction may seem to be clear-cut, in practices it is more complicated. Where multiple participants are

involved in a case, they may have different views. And even the same person may present different views on different occasions. Furthermore, there are complexities involved in determining whether what is presented can ever capture participant views rather than presenting an external gloss on them. This assertion may be true in this study which will be analysing a number of cases selected from civil society organizations implementing poverty alleviation programmes in partnership with the Department of Social Development in various provinces of South Africa. In South Africa democracy has created a space and opened opportunities for CSOs to make meaningful contribution to poverty alleviation and development. They play an important role in helping government carry out its social functions. Lewis (2007:7) argues that these organizations constitute vehicles for people to participate in development and social change in ways that would not be possible through government programmes. Hence the research question of this study **“To what extent has government’s collaboration and partnership with the civil society organizations in the implementation of poverty alleviation programmes ensured empowerment and sustainability?”** This research question will therefore guide this study to understand how CSOs implement poverty alleviation programmes. In particular this study will use the type of case study that is called a collective case study method. The collective case study is where a number of cases are studied in order to investigate some general phenomenon. The collective case study furthers the understanding of the researcher of a social issue or population being studied. The interest in the individual case is secondary to the researcher’s interest in a group of cases. Cases are chosen so that comparisons can be made between cases and concepts and so that theories can be extended and validated. The study will therefore indicate the uniqueness of these organizations as a collective in implementing poverty alleviation programmes.

The choice of the case study method in this study is based on the fact that the case study method allows an investigation to retain the holistic and meaningful characteristics of CSOs and the processes they follow in implementing poverty alleviation programmes. This method is therefore useful in situations where contextual conditions of the events being studied are critical. Given the qualitative

approach adopted in this research and the nature of the research question: **To what extent has government's collaboration and partnership with the civil society organizations in the implementation of poverty alleviation programmes ensured empowerment and sustainability?** It is believed that the case study approach is the appropriate research strategy for this research. Notwithstanding the strengths of the case study method case study research has been a subject for criticism on the grounds of non representativeness and a lack of statistical generalisation. Moreover, the values and complexity of the data collected mean that the data is often open to different interpretations and potential researcher's bias (Conford and Smithson, 1996). Furthermore, the limitation of this type of research is access and coverage of implementation sites, timing of study, particularly if implementation has already commenced, as in the case of these programmes.

## **2.11 DATA COLLECTION**

The primary building block of all research is data. There are different ways in which data can be gathered. For this study data will be gathered in two ways – through questionnaires that will be completed by members of civil society organizations and through document study which will include secondary data from reports and other documents. This method of gathering data from different sources is called "triangulation". By this method, Erlandson et al. (1993:115) write, the researcher seeks out several different types of sources that can provide insights into the same events or relationships. Triangulation will therefore be used to increase reliability of data collected, thus increasing the chance of making a creative synthesis. Triangulation will further assist the researcher of this study in generating a deeper understanding and a holistic view of how civil society organizations implement poverty alleviation programmes. De Vos et.al (2002:342) discuss the following opportunities or advantages for using triangulation in qualitative research:

- It allows researchers to be more confident of their results. This is the overall strength of the multi-method design. Triangulation can play many other constructive roles as well. It can stimulate the creation of inventive methods

and new ways of capturing a problem to balance with conventional data collection methods.

- It may also help to uncover the deviant or off-quadrant dimension of a phenomenon. Different viewpoints are likely to produce some elements that do not fit a theory or model. Thus, old theories are refashioned or new theories developed. Moreover, divergent results from multi-methods can lead to an enriched explanation of the research problem.
- The use of multi-methods can also lead to synthesis or the integration of theories. In this sense, methodological triangulation closely parallels theoretical triangulation, i.e. efforts to bring diverse theories to bear on a common problem.

### **2.11.1 Questionnaires**

First, a questionnaire will be developed to solicit responses from various civil society organizations working in partnership with the Department of Social Development in implementing poverty alleviation programmes. A questionnaire can be defined as a set of questions on a form which is completed by the respondent in respect of a research project (Vos et. al. 2002:172). In view of the geographical location of the civil society organizations that are being studied, covering various provinces, as well as time and cost, the researcher of this study will use provincial officials of the Department of Social Development to distribute the questionnaires to the civil society organizations in their locality. Depending on the distance between the local office (known as an area office) of the Department of Social Development and the relevant civil society organization, the questionnaires will either be mailed by fax or hand-delivered. A mailed questionnaire is, according to De Vos et al. (2002:172), a questionnaire that is sent off by mail in the hope that the respondent will complete and return it. However, this does not always happen, as such a response rate of 50% is considered adequate, 60% as good and 70% as excellent. The advantages of the mailed questionnaire are that the costs are relatively low and that extension of the geographical area to be covered by the researcher does not increase the cost level. The respondent enjoys a high degree of freedom in completing the

questionnaire, and information can be obtained from a large number of respondents within a brief period of time.

De Vos et al. (2002:172) indicate that what is most important is that in mailed questionnaires the same stimuli are offered to all respondents and that the possible contaminatory influence of a fieldworker is eliminated. Given that there will be no fieldworker to assist the respondents; the researcher of this study will carefully organize the questionnaire. This will also facilitate the processing of the data.

However, the mailed questionnaire also has certain limitations. The non-response rate may be very high, especially with regard to long questionnaires and unclear or open questions. Complex questionnaires requiring in-depth thought will also show a low response rate. Some questions in mailed questionnaires are often left unanswered or are wrongly interpreted, and this is difficult to deal with. There is also no control to ensure that the right person completes the questionnaire. For example, in this study the questionnaire has been compiled in such a way that its completion has to be a person at management level. Any person at a lower level would find it difficult to deal with some questions, hence the researcher has requested the designation of the person completing the questionnaire. The questionnaire will be pilot-tested before it is utilized in the main investigation. This will ensure that errors of whatever nature can be rectified immediately at little cost. It should be emphasized that the researcher of this study has chosen to use a questionnaire instead of interviews and focus groups which are usually used in qualitative research. The questionnaire was chosen as a method that would assist the researcher in reaching out to as many CSOs as possible from various geographical areas in various provinces. Using other methods other than the questionnaire could have been costly for the researcher. The questionnaire, therefore, has been structured in such a way that it has open ended questions that stimulate comprehensive responses.

### **2.11.2 Document Study**

The second data gathering method that will be used is document study. Various documents that contain information that specifically addresses the implementation of poverty alleviation programmes by civil society will be studied. These documents will include reports compiled by the Department of Social Development and the National Development Agency which is a public entity reporting to Parliament through the Minister of Social Development. The National Development Agency's primary mandate is to contribute towards the eradication of poverty and its causes by granting funds to civil society organizations for the purpose of implementing development projects of poor communities and strengthening the institutional capacity of other civil society organizations that provide services to poor communities. A document study will be undertaken to validate primary data collected from civil society organizations through the questionnaire.

De Vos et al. (2002:322) argue that if any document is studied and analyzed for the purpose of scientific research, the method of document study as a data collection method becomes operative. Sources can be classified into primary and secondary sources. Primary sources are seen as the original written material of the author's own experiences and observations, while secondary sources consist of material that is derived from someone else as the original source. De Vos et al. (2002:322) observe that although there may be some grey areas in the primary-secondary distinction, the differences between the two is generally clear. A primary source should therefore be more reliable than the secondary source. Given the fact that some of the documents that will be studied and analyzed in this research are secondary documents, these documents will be thoroughly scrutinized for accuracy, hence the importance of triangulation.

### **2.11.3 Advantages of document study**

De Vos et al. (2002:325) cite some advantages of document study:

- Relatively low cost. Although the cost of document study is influenced by factors such as the dispersion and availability of documents, the type of document that is being studied and the distance that needs to be covered in

order to obtain the documents, document study is relatively more affordable than, for instance, a comprehensive survey.

- Non-reactivity. Unlike surveys or experiments where respondents are aware of the fact that they are being studied, producers of documents do not necessarily anticipate the analysis of their documents at a later stage. The contents of the documents are thus not affected by the activities of the researcher.
- Inaccessible subjects. One of the basic advantages of document study is the fact that it is the only method where the researcher does not need to make personal contact with the respondents.

#### **2.11.4 Disadvantages of document study**

As with all data collection techniques, document study also has disadvantages of which the most important, are the following:

- Incompleteness. Reports, statistical records and historical documents are often incomplete, which means that there are gaps in the database that cannot be filled in any other way.
- Bias. Since documents were not intended for research purposes, there are factors that can influence their objectivity.
- Preservation of documents. Written documents may be destroyed by elements such as fires, floods or storms, and ordinary letters, diaries or reports may become illegible over time.
- Lack of availability. In some fields of study, documents are simply not available because records were never kept. In other cases records were kept, but are classified or inaccessible for security reasons.
- Lack of linguistic skills. In a documentary study the researcher is dependent on the ability of respondents to write and to formulate clearly and meaningfully since these are the only data available to him. Lack of linguistic skill may thus negatively influence the contents of documents and their researchability.



- Lack of standard format. Documents differ quite widely as regards their format. Some documents, such as newspapers, appear in a standard format and such standardization facilitates comparison over time for the same newspaper, and comparison between different newspapers at any one point in time. However, many other documents, particularly personal documents, have no standard format. Comparison is then difficult or impossible, since valuable information contained in the document at a particular point in time may be entirely lacking in an earlier or later document.
- Origins of documents. It is often impossible to ascertain critical factors such as the origin or the date of documents.
- Bulk of documents. It often happens, especially with official documents, that they are stored in great volumes over a period of time in a particular place. Such documents are often incomplete, disorganized and in various stages of deterioration – a situation that encumbers research or even makes it impossible (De Vos et al. 2002: 325-326).

## **2.12 SAMPLING AND SAMPLING METHODS**

According to De Vos et al. (2002:198) sampling means taking any portion of a population or universe as representative of that population or universe. This definition does not say that the sample taken – or drawn, as researchers say – is in fact representative. Rather, the sample taken is considered to be representative. The concept of representativeness needs to be understood in relation to generalization of the findings. Researchers can only generalize the findings of a study when they can assume that what they observed in the sample of subjects would also be observed in any other group of subjects from the population. Sampling, therefore, is utilized in both quantitative and qualitative research, albeit less structure, less quantitative and less strictly applied in qualitative research than in the case of quantitative research (De Vos et al. 2002:333).

In the case of selecting research participants (sampling), the driving consideration is thus not the setting as in ethnographic research; the main motivation is the people. The researcher needs people who can travel with the researcher on the journey

towards more knowledge about the topic. Henning; van Rensburg and Smit (2004:71) mention three approaches to sampling:

- Theoretical sampling
- Snowball sampling
- Convenience sampling

In these three approaches mentioned above, Henning et al. (2004:71) add purposive sampling which, according to them, has elements of theoretical sampling. Both theoretical sampling and purposive sampling look towards the people who fit the criteria of desirable participants. These criteria come from the researcher's knowledge of the topic and also from the way in which the theorizing on the ground is developing during the research. De Vos et al. (2002:207) indicate that purposive sampling is based entirely on the judgment of the researcher in that a sample is composed of elements that contain the most characteristic, representative or typical attributes of the population. The need for extra sampling may also arise during the process of interviewing and preliminary theorizing. In such an instance, theoretical sampling and purposive sampling may be adjusted to accommodate snowball sampling, a technique in which the data collected thus far indicate which other interviewees are needed.

These forms of sampling are related, with one common denominator: the people most suitable to "wander with" on the research journey are selected at the time they are needed. They represent a theoretical "population" in that they are spokespersons for the topic of inquiry, hence the notion of "theoretical" sampling. They are not representative of a population and the findings from the interviews cannot be generalized to a population. In view of the fact that this is a qualitative study, non-probability sampling will be utilized. Specifically, purposive and theoretical sampling will be used. Civil society organizations that implement social development poverty alleviation programmes will be sampled through purposive and theoretical sampling based on information provided by key informants from the Department of Social Development.

### **2.13 DATA ANALYSIS AND INTERPRETATION**

Analyzing data usually involves two steps: first, reducing to manageable proportions the wealth of data that one has collected or has available; and second, identifying patterns and themes in the data. In qualitative research, the investigator usually works with a wealth of rich descriptive data, collected through methods such as participant in-depth interviewing and document analysis. The researcher in this study however will use document study and questionnaire methods for collecting data. According to Mouton (1996:168) qualitative analysis focuses on:

- understanding rather than explaining social actions and events within their particular setting and contexts;
- remaining true to the natural setting of the actors and the concepts they use to describe and understand themselves;
- constructing, with regard to the social world, stories, accounts and theories that retain the internal meaning and coherence of the social phenomenon rather than breaking it up into its constituent 'components'; and
- Contextually valid accounts of social life rather than formally generalisable explanations.

Because of this emphasis on the integrated, meaningful and contextual nature of social phenomena, qualitative researchers have developed the following approaches for analyzing and interpreting the social world:

- Grounded theory
- Analytic induction
- Discourse analysis
- Conversation analysis
- Narrative analysis

Unlike content analysis, each of these approaches to analyzing qualitative data seeks to preserve the nature of the data, albeit in different ways and degrees. That is to say, they aim for an analytic approach that is consistent with the underlying principles of qualitative research. According to Becker & Bryman (2004:299) grounded theory and analytic induction are best thought of as general strategies

that can be applied to a wide range of qualitative data. Narrative analysis is typically employed as a means of unpacking the underlying themes that run through such sources of data as interview transcripts. Discourse analysis and conversation analysis take the detailed examination of language use as their point of departure.

McNabb (2004:369) states that data analysis involves three activities, namely data reduction, data display and drawing conclusions from the data. Data reduction is almost always a crucial stage in the interpretation process. It involves selecting the most salient themes and constructs that emerge from the data. In data display, graphic displays are used to present qualitative data. Finally, drawing conclusions forces the researcher to interpret the results of the study. It is not enough simply to present the data as they appear, even if they have been effectively organized, categorized and structured. The research must explain what the data mean in relation to the study design and objectives and in terms of their contribution to theory.

## **2.14 ETHICAL CONSIDERATIONS**

The fact that human beings are the objects of study in the social sciences brings unique ethical problems to the fore that would never be relevant in the natural sciences. Anyone involved in research needs to be aware of the general agreements about what is proper and improper in scientific research. This study is analysing the role of CSOs in poverty alleviation. The role of CSOs has shifted enormously since 1994. In the democratic dispensation they are regarded as the critical partners in the public policy process. They assist government in the implementation of social development programmes. Despite their importance and their role in the implementation of poverty alleviation they are only partially understood and there are preconceived biases on the ability of CSOs to implement poverty alleviation programmes. This emanates from the fact that their role had been primarily that of advocacy, holding government accountable and acting as a watchdog. They have been less in the implementation of poverty alleviation programmes. The partnership between government and CSOs as a result has been confronted with lack trust, scepticism, and challenges on credibility and accountability. Given the fact that the

researcher has been a senior manager in the Department of Social Development it is important to ensure that the perceptions about the role of CSOs do not subjectively influence the outcome of the study. Ethical considerations are therefore important in showing how the researcher minimized subjectivity. De Vos et al. (2002:63) state that ethics is a set of moral principles that are suggested by an individual or group, are subsequently widely accepted, and offer rules and behavioural expectations of the most correct conduct towards experimental subjects and respondents, employers, sponsors, other researchers, assistants and students. Research ethics therefore refers to the application of moral standards to decisions made in planning, conducting and reporting results of research studies (McNabb, 2002:36). The following ethical issues are important in this study: voluntary participation, confidentiality, deception of respondents, actions and competence of researcher, co-operation with contributors, release or publication of the findings and the debriefing of respondents. The researcher of this study has obtained approval from the Head of Department of Social Development to undertake this study and use departmental information available and relevant to the study. Participation of CSOs in this study will be voluntary. The researcher will further obtain consent from the relevant civil society organizations to participate in the research. This request for consent will also provide detailed information on the purpose of the study, the process to be followed in collecting data and aspects of confidentiality.

## **2.15 RELIABILITY AND VALIDITY OF DATA**

Silverman (2005:210) contends that validity is another word for truth and that it can be interpreted as the extent to which an account accurately represents the social phenomenon to which it refers. Reliability on the other hand refers to the degree of consistency with which instances are assigned to the same category by different observers or by the same observer on different occasions (Silverman 2005:210).

In view of the fact that this study will also use document study as a method of data collection, it is important that the researcher evaluates the authenticity, or validity and reliability of the documents. According to De Vos et al. (2002:324) the reason for this is that there is often a considerable time lag between the occurrence of the

event and the writing of the document, with the delay leading to lapses of memory and inaccuracies. Silverman (2005:209) maintains that deciding to do qualitative research is not a soft option. Such research demands theoretical sophistication and methodological rigour. Silverman (2005:209) identifies quality issues with what he calls “methodological awareness”. As he puts it: “*Methodological awareness involves a commitment to showing as much as possible to the audience of research studies... the procedures and evidence that have led to particular conclusions, always open to the possibility that conclusions may need to be revised in the light of new evidence* (Silverman, 2005:209).

There are different ways in which the validity and reliability of documents can be tested. De Vos et al., (2002:324) recommend among others the following:

- It is sometimes possible to compare the relevant document with other written documents or data collected in other ways.
- Another technique is to verify data by interviewing other informants, persons in the same roles or persons knowledgeable on the subject, or persons who were personally involved in the event. The content of the document is thus compared with an external source.
- According to De Vos et al. (2002:325), the reliability of documents may be checked either by similar documents at two or more points in time (instrument reliability).

## **2.16 CONCLUSION**

The overall aim of this chapter was to outline the research methodology applied in this study. The significance of the study and the research problem and the research question were highlighted. Reasons for adopting qualitative research were provided. The research design and its phases were elaborated on, focusing on various methodological approaches that allowed the researcher to present a coherent case. In this, methodologies used to collect data and sources of these data, target population and sampling and analysis of data were outlined. The chapter concluded by highlighting ethical considerations important for the study.

## **CHAPTER THREE**

### **LITERATURE REVIEW**

#### **3.1 INTRODUCTION**

Since the political transition in 1994, policies to address South Africa's poverty and inequalities have been pursued. These policies were set up in the Reconstruction and Development Programme and a variety of legislative initiatives. However, the government's ability to address social problems and particularly alleviate poverty has received much criticism. This criticism has been based on the ability of the public agencies to meet governmental objectives and the broader challenges on policy implementation. Policy failure for whatever reason is a concern of both the policy theorist and the policy practitioner, with the latter being more concerned to find ways of making policy succeed. This chapter will review literature on public policy. First, theoretical frameworks of public policy will be analyzed and assessed with a view to understand the policy making in South Africa. Second, policies that have laid the ground for the involvement and participation of societal actors in the policy process in a developmental state will be discussed. Third, policy implementation will be reviewed and lastly the role of civil society organizations will be analyzed.

#### **3.2 UNDERSTANDING PUBLIC POLICY**

##### **3.2.1 Definition of Public Policy**

In order to understand public policy it is important first to conceptualize public policy. Dye (1998:3) defines public policy as whatever government chooses to do or not to do. Basically what this means is that public policy is not just about government action but also about government inaction. On the other hand, Dunn (1981:46) defines public policy as a long series of more or less related choices including decisions not to act made by governments bodies and officials. Theodoulou (1995:2) supports this view and emphasizes that public policy should distinguish between what governments intend to do and what, in fact, they actually do; that governmental inactivity is as important as governmental activity. Theodolou (1995:2) further stresses other composite ideas to conceptualize public policy. She cites the notion that policy ideally involves all levels of government and is not



necessarily restricted to formal actors; informal actors are also extremely important. This is evident within the South African context where all three levels of government national, provincial and local levels are involved in the policy process. The Constitution spells out the functions of all the three levels of government. The involvement and participation of informal actors in policy has also become a defining factor of democracy in South Africa. The third idea as cited by Theodolou (1995:2) is that public policy is pervasive and is not solely limited to legislation, execution orders, rules, and regulations. Fourth, public policy is an intentional course of action with an accomplished end goal as its objectives. A fifth idea describes public policy as both long term and short term. It is clear that policy is an on-going process; it also involves not only the decision to enact a law but also the subsequent actions of implementation, enforcement and evaluation.

Theodoulou (1995:2) further draws a connection between politics and public policy. In this she stresses that public policy reconciles conflicting claims on scarce resources; it establishes incentives for cooperation and collective action that would be irrational without government influence; it prohibits morally unacceptable behaviour; it protects the activity of a group or an individual; promoting activities that are essential or important to government. Finally policy provides direct benefits to citizens. The implementation of policies aimed at alleviating poverty in South Africa post 1994 have not only been characterized by ensuring that those who were previously denied access to such services access them but that the role of civil society organizations became increasingly important in delivering these services in partnership with government.

### **3.2.2 Key Features of Public Policy**

What differentiates public policy from the private sector policy is that public policy is authoritative and can be enforced through instruments of coercion. Although policy is the key process in spelling out intentions and objectives, it cannot be viewed in isolation from other administrative processes such as financing, organizing, human resources management and control (Van Niekerk; van der Walt and Jonker, 2001:90). These administrative processes become critical in ensuring that the goal

of the policy – which is aimed at resolution of a perceived problem, is achieved. The administrative processes have a role to play in the public policy process particularly in the implementation of the policies. These aspects will be reviewed later in the chapter.

Fox, Bayat and Ferreira (2006:108) identify the following functions of public policy: Public policy is policy adopted by government role players, while non-government role players such as interest groups can also influence the formulation and development of policy. Public Policy is purposive or goal oriented therefore action directed rather than randomly selected. Public policy consists of a series of decisions taken jointly by politicians and/or officials rather than the individual. Public policy is what governments do. Policy can therefore be viewed in a number of perspectives as an output, as an outcome, as a programme and as a process.

### **3.2.3 Types of Public Policy**

Political scientists have developed several typologies to categorize public policy. Theodoulou and Cahn (1995:7) distinguish between the following types of public policy:

#### **a) The classic Typology**

According to this typology policies are classified according to whether they are regulatory, distributive or redistributive in nature. Theodoulou and Cahn (1995:7) suggest that all government policies may be considered redistributive, because in the long run some people pay in taxes more than they receive on services. Or all may be thought regulatory because in the long run, a governmental decision on the use of resources can only displace a private decision about the same resource or at least reduce private alternative about the resource. Notwithstanding this suggestion of Theodoulou and Cahn, there are times when government decisions have to be taken without regard to limited resources. Such policies are called distributive. They involve allocation of services or benefits to particular segments of the population – individuals, groups, corporations and communities. Distributive policies typically involve using public funds to assist group, communities or industries.

Redistributive policies involve deliberate efforts by the government to shift the allocation of wealth, income property or rights among broad classes or groups of the population such as haves and have nots.

**b) Material or symbolic policy**

Policies may also be viewed as material or symbolic. Material policies provide tangible resources or substantive power to their beneficiaries, and they may also impose costs on those who may be adversely affected. Symbolic policies on the other hand provide little material impact on individuals and no real tangible advantages or disadvantages. Rather, they appeal to the values held in common by individuals in society, values that could include social justice, equality and patriotism.

**c) Substantive or procedural policy**

Anderson (2003:5) argues that policies may also be classified as either substantive or procedural. Substantive policies involve what government is going to do. Substantive policies directly allocate advantages and disadvantages, benefits and costs to people. Procedural policies in contrast pertain to how something is going to be done and who is going to take action.

Within the South African context various policies fall into all the categories that have been outlined above. Of importance as indicated in the description of these categories of policies is the issue of what action the policy seeks to achieve in an environment that is confronted with a number of problems which the policy seeks to address. Given the fact that policy-making is closely associated with political paradigms, in which, as indicated by Cloete and Wissink (2000:26) political values play an important role, it is important to look at various theories of policy making in order to explain policy making processes particularly within the South African context post 1994.

**3.3 THEORIES OF POLICY MAKING**

Political paradigms or ideologies influence policy making. Some better-known ideologies influencing specific policy approaches and theories of public policy-making

according to Cloete, Wissink and de Coning (2000:26) include a liberal laissez-faire (or classical) approach, socialism and welfare statism. They argue that a liberal laissez-faire approach determines that the state should concern itself with the maintenance of law and order, the protection of society from attacks from outside, the protection of private property and the establishment of conditions conducive to the promotion of free enterprise, and should only interfere with the lives and activities of individuals on a limited basis. Socialism, especially the collectivistic approach, argue Cloete et al (2000:26) is an ideology according to which the state has to control the economy, through economic institutions which function as government institutions and by abolishing capitalism. Welfare statism claims that the promotion of the highest degree of material and spiritual public well-being is the task of the state which has to provide opportunities for competition so that citizens can obtain the good things in life. Authors have designed various theories to explain policy-making and these will be explained below. According to Cloete, Wissink and de Coning (2006:28-29) these theories include:

### **3.3.1 Classical Theory**

This theory which is also known as institutional theory emphasizes that the different concerns and interests of government should be given preference. This area of focus encompasses the classical doctrine of the separation of powers in terms of legislative, executive and judicial.

### **3.3.2 Liberal Democratic Theory**

In this theory political party assumes the position of primary force – policy making. The argument is that as the party represents the individual vote; it is thus superior to interest groups. In South Africa public policy has been influenced by the ruling party - the African National Congress – and the ideologies of a democratic developmental state.

### **3.3.3 Elite theory**

In elite theory usually small elite groups lead a large group of followers. Anderson (2003;17) argues that the essential argument of elite theory is that public policy is

not determined by the demands and actions of the people or the 'masters' but rather by a ruling elite whose preferences are carried into effect by public officials and agencies.

### **3.3.4 Systems theory**

Systems theory is best exemplified by the work of David Easton (1965) who views public policy as a political system's response to demands arising from the environment. Systems theory focuses on the contributions to policy making of interrelated forces. These forces include the environment as indicated which makes demands (inputs) to the political system. The political system is thus a mechanism by which popular demands and popular support for the state are combined to produce those policy outputs that best ensure the long term stability of the political system. Hence Anderson (2003:14) refers to the systems theory as the political systems theory. The inputs represent policy-relevant information such as perceptions, opinions, attitudes and demands. The inputs are then processed into outputs in the form of policies. The processing of inputs into outputs represents the consideration of decision-making of the policy input by the political system. The limitation of the system's theory is that it does not reflect the procedures and processes by which decisions are made and policy is developed. Procedures and processes particularly in a South African context are important in understanding the extent to which the public participates in the development, implementation and evaluation of policy that will benefit them.

### **3.3.5 Comprehensive Rationality**

The widely accepted theory is the comprehensive rationality approach to policy decision-making. The main characteristics of this theory as indicated by Ijeoma (2007:823) are that, it involves reasoned choices about desirability of adopting different courses of action to resolve public problems. Yet, any form of rational comprehensive theory is difficult to realize fully in most policy-making settings. For choices to be rational and comprehensive at the same time, they would have to meet the following conditions, which are described as the rational-comprehensive theory of decision-making:

- An individual or collective decision-maker must identify a policy problem on which there is consensus among all relevant stakeholders;
- An individual or collective decision-maker must define and consistently rank all goals and objectives whose attainment would represent a resolution of the problem;
- An individual or collective decision-maker must identify policy alternatives that may contribute to the attainment of each goal and objective;
- An individual or collective decision-maker must forecast all consequences that will result from the selection of each alternative;
- An individual or collective decision-maker must compare each alternative in terms of its consequences for the attainment of each goal and objective and
- An individual or collective decision-maker must choose that alternative which maximizes the attainment of objectives.

It is clear from the above conditions that there are various options to be weighed before a decision is made to address a problem. The rational comprehensive model therefore requires detailed knowledge of all the wants, demands, problems and objectives of society as well as resources available. Hence Dye (1998:24) contends that a rational policy is one that achieves maximum social gain. The benefits must exceed the cost. This should not be viewed in a narrow rand and cents framework but should involve calculation of all social, political and economic values achieved by a public policy. It could be argued that in some contexts particularly in a democratic developmental state like South Africa decision-making in a policy process may require comprehensive rationality given the Constitution that emphasizes rights on the one hand and the principles of efficiency, effectiveness and economy. Addressing poverty also may require rational decision-making. The rational comprehensive theory, according to Dunn (1994:274) may be characterized in several ways based on the reasons for which a specific or several choices are made and the goals they are likely to achieve in the decision-making process:

- Technical rationality is the characteristics of reasoned choices that involve the comparison of alternatives according to their capacity to promote effective solutions for public problems;
- Economic rationality is a characteristic of reasons choices that involve the comparison of alternatives according to their capacity to promote efficient solutions for public problems;
- Legal rationality is a characteristic of reasoned choices that involve the comparison of alternative according to their legal conformity to established rules and precedents;
- Social rationality is a characteristic of reasoned choices that involve the comparison of alternatives according to their capacity to maintain or improve valued social institutions, that is, to promote institutionalism;
- Substantive rationality is a characteristic of reasoned choices that involves the comparison of multiple forms of rationality-technical; economic, legal and social as described above in order to make the most appropriate choice under given circumstances.

### **3.3.6 Incremental Theory**

According to Dunn (1994:275-276), when allying the incremental theory, individual or collective decision-makers may:

- Consider only those objectives that differ incrementally, that is, by small amounts from the status quo;
- Limit the number of consequences forecast for each alternative;
- Make mutual adjustments in goals and objectives, on the one hand, and alternatives on the other;
- Continuously reformulate problems, hence goals, objectives, and alternative in the course of acquiring new information;
- Analyze and evaluate alternatives in a sequence of steps, such that choices are continuously amended over time, rather than made at a single point prior to action;
- Continuously remedying existing social problems, rather than solve problems completely at one point in time; and



- Finally, share responsibility for analysis and evaluation with many groups in society, so that the process of making policy choices is fragmented or disjointed.

The incremental theory regards public policy as the continuation of existing government activities with only small (incremental) adaptations to provide for changes that may occur.

### **3.3.7 Mixed Scanning theory**

The theory of mixed scanning can be viewed as an alternative to both comprehensive rationality and incrementalism. Mixed scanning may seem to distinguish between the requirement of strategic choices that set out basic policy directions and operational choices and contribute to the groundwork for strategic decisions and their implementation. In effect, mixed scanning seeks to adapt strategies of choices to the nature of the problems confronted by policy-makers. Ijeoma (2007:827) cites a number of advantages of the mixed scanning theory. Firstly, it permits taking advantage of both the incrementalism and comprehensive rationality approaches in different situations. Secondly, mixed scanning permits adjustments to a rapidly changing environment by providing the flexibility necessary to adapt decision making to specific circumstances. Thirdly, mixed scanning considers the capacity of the decision-maker. This is so because decision-makers have different capacity levels. Although a number of theories are available to guide and assist the decision-making in policy making, it is evident that the environment, values and ideologies will influence decision-making processes.

## **3.4 THE POLICY-PARADIGM SHIFT IN SOUTH AFRICA POST DEMOCRACY**

The theories outlined in the previous section provide a basis to explain policy-making processes in South Africa. It is clear that ideologies play a significant role in determining values that should not just influence what policies to be made but also what processes to be followed in policy making and who the actors should be in the policy making process. The ushering of democracy in 1994 changed the top-down

style of decision-making which characterized the policy process in the past. The impact of this paradigmatic change on the study and practice of public policy in this country is far reaching. Until 1990, successive government followed a largely traditional, Western, industrial world, colonial policy approach, consisting of incremental policy changes controlled by Western political and bureaucratic elites and aimed at preserving as much of the status quo as possible (Cloete and Wissink, 2000:90). The African National Congress (ANC) and the South African government recognized that addressing the developmental challenges facing the country – including growing the economy and reducing the high rates of poverty, inequality and unemployment as well as improving livelihoods of South Africans –requires a developmental state that is democratic and socially inclusive; a developmental state with the capacity to actively and purposefully intervene to achieve the aforementioned goals.

The adoption of the Constitution of the Republic of South Africa Act 108 of 1996 marked a new beginning for South Africa. Its goal was to heal the divisions of the past, and build a society based on democratic values, social justice and fundamental human rights (1996:1). The Constitution's intentions were multifold – to base government on the will of the people, to ensure that every citizen was equally protected by the law, to improve the quality of life of all people, and free the potential of every individual. Chapter 2 of the Constitution (1996:6) provides for the Bill of Rights, which is a cornerstone of democracy in South Africa. The Bill of Rights enshrines the rights of all people in South Africa and affirms the democratic values of human dignity, equality and freedom. Hence it is regarded as the most liberal Constitution in the world.

Chapters 3 and 10 of the Constitution (1996) make provision for an integrated, intersectoral, and cooperative approach to governance. These provisions commit all three spheres of government (national, provincial and local) to be transparent in policy-making and inclusive in its approach. The Constitution (1996) further emphasizes a developmental approach underpinned by principles of cooperative governance and poverty eradication as an imperative. The developmental approach

does not only characterize the democratic form of government, but also shifts the role of the state in addressing development and poverty. Fritz and Menocal (2007:533) argue that a developmental state exists when the state possesses the vision, leadership and capacity to bring about a positive transformation of society within a condensed period of time.

### **3.4.1 The Developmental State**

At its policy conference in June 2007 the African National Congress (ANC) endorsed a proposal for South Africa to become a developmental state. The original concept of a developmental state refers to a state which is interventionist in nature and which promotes socio-economic development.

The concept of the developmental state can be traced back to Friedrich List in 1885 when he contended that the less advanced nations first required artificial means to catch up with the advanced nations (Nzwei and Kuye 2007:198). This artificial means, they argue, sees the state as an agent of development, taking up the mandate to accomplish economic development. Looking at this artificial means it can be argued that this characteristic of a developmental state reflects the traditional top-down technocratic forms of development approaches imposed on diverse local realities which often were unsustainable and resulted in failure. Croucamp and van Dijk (2007:665) on the other hand, define the developmental state as a state where politics have assured that power, autonomy and capacity is centralized in order to achieve explicit developmental goals. They argue that the focus of the developmental state is to either direct or enable economic growth. This is evident in the case of South Africa where the state introduced the macro economic Growth Employment and Redistribution (GEAR) strategy in 1996 with the objectives of economic growth and full employment amongst others. This strategy was introduced following the Reconstruction and Development strategy which was also an economic strategy. It is clear that the transformation and development of the democratic South Africa was premised on economic performance. Mkandawira (1998:2) argues that there is a problem in defining a developmental state simply from its economic performance - not all countries with good growth rates are

developmental states. This definition of the developmental state runs the risk of being tautological since evidence that the state is developmental is often drawn deductively from the performance of the state. Referring to Africa specifically, Mkandawire goes on to add that definition of a developmental state is one whose ideological underpinnings are developmental and one that seriously attempts to deploy its administrative and political resources to the task of economic development. Chalmers Johnson, one of the main scholars of the Asian countries where developmental states arose, such as Japan, Taiwan, Singapore and South Korea, perceived it as a state that was determined to influence the direction and pace of socio-economic development by directly intervening in the developmental process, rather than relying on the uncoordinated influence of market forces in the allocation of resources. Leftwich (1995) has identified six major components that define the developmental state:

- A determined developmental elite;
- Relative autonomy
- A powerful, competent and insulated bureaucracy;
- A weak and subordinate civil society;
- The effective management of non-state economic interest; and
- Legitimacy and performance.

Zegeye and Maxted (2002:90) argue that South Africa is a developmental state that is not the classic interventionist, centrist state of the 1960s and 1970s with total control over resources and delivery. Neither is it the minimalist state of the 1970s and the 1980s, facilitating neo-liberal global interests through a default to market regulation of societal interests and needs. Rather, the developmental state that strategically intervenes to make the society to balance policies of redress, equity and economic growth. The ANC (ANC Website – undated) in discussing State Property Relations and Social Transformation and the Developmental State provides a fundamental base and thinking on the role of a developmental state. The ANC notes that:

*The 'developmental state' is charged to utilize the resources it commands to ensure redistribution of wealth in the interest of the poor and disadvantaged. It should also pursue a regulatory framework that affords the state to intervene in a proactive manner to facilitating growth and redistribution. It strives to correct the balance between state ownership of productive forces and private ownership, guided by the prerogative of the strategic interest, efficiency, technology-transfer, affordability of service and narrow cost-benefit considerations*

Arguments about what the developmental state is and the role of the state in a South African context comes at a time globally when there are attempts to achieve more efficient government. This change has been characterized by reshaping the boundaries and responsibilities of the state. Modern public administration is not just about efficiency, it also involves ideas of democratic participation, accountability and empowerment. Minogue, Polidano and Hulme (1998:13) argue that there is a constant tension between two main themes: making government efficient and keeping government accountable. There is a corresponding tension between the conception of people as consumers, in the context of relations between the state and the market; and the conception of people as citizens in the context of the relationship between the state and the society. The influential model of new public management (NPM) promises to integrate these themes linking efficiency and accountability together. It is these principles of efficiency and accountability which influence to a greater extent public policy implementation.

The debate about the need to develop an appropriate development paradigm with its requisite structures and systems has been the subject of public administration scholars, policy makers, managers and the consumers of services for many decades. The central question that has always been raised, according to Agere (2000:66), is the typology of quantity and quality of the relationship between various partners in the development process. The developmental approach therefore puts more emphasis on responsiveness, decentralization, accountability and public participation. Within the context of public participation, communities are encouraged to become active participants in the public policy process. Within the context of

decentralization it means the empowerment of the poor to direct the use of government resources. Many commentators agree that something akin to a paradigm shift has taken place in the last three decades with the older welfare assumptions about the state yielding to an entrepreneurial model of government and new public management driving out the devalued of old public administration. Osborne and Gaebler (1992) summarized the entrepreneurial model in terms of the following ten principles:

1. Steer the ship, rather than row it.
2. Empower communities, rather than simply deliver services.
3. Encourage competition rather than monopoly.
4. Be mission driven rather than rule driven.
5. Fund outcomes rather than inputs.
6. Meet the needs of customers rather than the bureaucracy.
7. Concentrate on earning resources, not just spending.
8. Invest in prevention of problems rather than cure.
9. Decentralize authority.
10. Solve problems by making use of the market place rather than by creating public programmes.

It is these principles that influence the transformation of public administration in South Africa post 1994. Minogue et al (1998:33) however, indicate that the NPM model is comprehensive, but oriented more to the cost cutting, tax reducing concerns of northern states than the southern states. Clearly, it is a model which should not be inflexibly applied, but adapted to different administrative and political contexts.

The RDP, which was drawn up by the ANC-led tripartite alliance in consultation with a broad range of mass democratic organizations, can be regarded as a blueprint for post-apartheid government. The RDP is an integrated, coherent socio-economic policy framework with a vision that emphasizes empowerment and participation. In order to meet this vision, the RDP made explicit reference to building the capacity of

civil society through the extensive development of human resources. It provided a central role for non-profit organizations (NPOs) in all spheres of government. The empowerment of institutions of civil society is a fundamental aim of the government's approach to building national consensus; hence this study attempts to respond to the research question that says:

**'To what extent has government's collaboration and partnership with the civil society organizations in the implementation of poverty alleviation programmes ensured empowerment and sustainability?**

### **3.4.2 The Policy Environment Post 1994**

It is important to look at some policies introduced in South Africa post 1994 which brought a paradigm shift in the public policy process and the role of the state in the transformation process.

The period from 1994 to 1999, which marked the first five years of democracy in South Africa, was spent on significant institutional transformation while introducing new policies in line with the Constitution (1996). Of significance was the proliferation of policy White Papers during the period 1995-1997. Hence in the White Paper on the Transformation of the Public Service (WPTPS) (1995) the government of South Africa outlined a broad policy framework for transforming the South African public service in line with the following vision: *The Government of National Unity is committed to continually improving the lives of the people of South Africa by a transformed public service which is representative, coherent, transparent, efficient, effective, accountable and responsive to the needs of all (WPTPS, paragraph 2.1).*

In pursuit of this vision, the Government developed the following mission statement: *The creation of a people centred and people driven public service which is characterized by equity, quality, timeousness and a strong code of ethics (WPTPS Para 2.1)*

The vision and the mission statements were premised on a fundamental re-definition of the role of the state. This new role of the state indicates that the state must guide and facilitate development as opposed to directly managing it. States should focus less on direct substantive support for and the organization of specific projects. They should rather organize, facilitate and support the interface between public, private and community-based developmental initiatives (De Visser 2005:19). The call of a new state is also reflected by van Dijk and Croucamp (2007: 666) who contend that modern society, and the involvement of civil society in South Africa calls for a state that is both democratic as well as developmental in both content and character. They maintain that the centrality of the state in nation-building and socio-economic development is reaffirmed, while also asserting participatory democracy and a culture of human rights as key features of the developmental state.

It can be argued therefore that the relationship between government and civil society, in a democratic South Africa is that which is premised on a partnership between them rather than the antagonistic relations that had prevailed in the past. Long term development requires multi-stakeholder approach whereby different actors work together towards a well defined goal and bring together added value and strength of the individual actors. It is therefore within this context that the role of civil society becomes important in addressing poverty

The White Paper on Transformation of Public Service Delivery (1997) brought a change in the way in which public services should be delivered. The change put the citizen as the centre of public service, emphasizing how the citizens should be treated, ensuring that citizens access services and information. The policy emphasized the accountability to the public especially if the services are not provided according to the set standards; the public must be given reasons for that. The policy further stressed that public services should be provided economically and efficiently in order to ensure that it expands the base of access to services without wastage of public resources (Batho Pele Handbook, DPSA, 2003). This change in the service delivery culture is underpinned by the eight 'Batho Pele' (Putting People First) principles which are aligned to the Constitutional ideals of:



- Promoting and maintaining high standard of professional ethics;
- Providing service impartially, fairly, equitably and without bias;
- Utilising resources efficiently and effectively;
- Responding to people's needs – citizens are encouraged to participate in policy-making and rendering an accountable transparent and development-oriented public administration.

The mere existence of good policies does not automatically result in successful implementation. Problems with policies often lie in the implementation thereof thus resulting in what Brynand (2007:357) calls policy gap. Despite the development of this policy framework to transform service delivery, South Africa is still confronted with challenges of service delivery.

Another policy that brought change in the new democratic South Africa is the Non-Profit Organisations Act, 1997 (Act 71 of 1997). This Act clearly defines a non-profit organization (NPO) and establishes a clear role for the non-profit sector in governance and service delivery.

The case for some form of complementarity and partnership between the state and civil society organizations in service delivery, particularly in poverty alleviation and development is widely accepted. Minogue et al (1988:95) contend that the potential for developing closer and more enduring forms of inter-institutional collaboration is founded on the creation of mutually reinforcing relationship between government and local citizens in the form of synergy. It is argued that the efficacy of public-civic collaboration in any given society depends on the extent of structural inequality, the nature of the political regime and their legal framework governing the voluntary sector in the one hand and institutional character and capacity of the civic and public realms on the other.

The NPO Act (1997) permits the registration of a whole range of NPOs established prior to the Act, including voluntary associations recognized by common law and not required to register with any authority. It provides clear accountability and

governance measures for the Non-profit sector. A study conducted by the Department of Social Development on the implementation of the NPO Act indicates that there have been gaps in the implementation of the Act particularly the noncompliance of non-profit organizations to the Act and the broader challenges on governance issues by the non-profit sector.

In 1997 The White Paper for Social Welfare (1997) was introduced. This policy framework was developed with a policy approach aimed at poverty eradication and based on social development. The policy approach is indicated in the mission of the White Paper for Social Welfare (1997:15) whose goal is: *"To serve and build a self-reliant nation in partnerships with all stakeholders through an integrated social welfare system, which maximizes its existing potential, and which is equitable, sustainable, accessible, people-centred and developmental"*.

From this mission, it is clear that the White Paper for Social Welfare (1997) emphasizes a transformation agenda of social development. This transformation agenda is based on the notion that people are the masters of their own destiny. The minister of social development advocates the development and empowerment of individuals, groups and communities. He states that this is the best way for the department and its partners to combat the socio-economic challenges facing the country (Skweyiya: 2005 foreword). The White Paper is therefore based on the following principles:

- creation of self-reliant communities as opposed to dependent communities;
- building partnerships with various stakeholders instead of a paternalistic approach in addressing the needs of the people;
- integrated system instead of a fragmented approach to development;
- equity;
- sustainability as opposed to short-term approach;
- accessibility;
- people-centeredness; and
- Developmental.

A notable feature of the White Paper on Social Welfare therefore is its shift to developmental social welfare, which, as indicated in the above principles, emphasizes helping people to help themselves and thereby becoming self-reliant in contrast to a conception of welfare as “handouts”. These principles, including the values and principles of RDP, the Constitution, as well as the commitments of the World Summit for Social Development held in Copenhagen in 1995, became critical in making policy decisions and in developing programmes to pursue the government’s transformation agenda.

A major milestone in 1998 was the formation of the National Development Agency through the National Development Act No 108, 1998. The primary object of the NDA was to contribute towards the eradication of poverty and its causes by granting funds to civil society organizations for the purposes of carrying out programmes and projects aimed at meeting development needs of poor communities, and strengthening the institutional capacity of other civil society organizations involved in direct service provision to poor communities. This was a significant step in addressing poverty at grassroots level. The creation of an institution with special focus on civil society organization during democracy in South Africa was an indication that the new democratic form of government was serious about partnerships and collaboration with the civil society in the public policy process. This further reflected transformation and change in the way in which civil society organizations were viewed during the previous regime.

It is clear that policy development in the first five years of democracy in South Africa created a basis for the transformation agenda in the delivery of services and improving the lives of the people of South Africa, particularly those who were previously denied access to such services. Bohlmann, Du Toit, Gupta and Schoeman (2007:1) assert that policy-making in South Africa has to find a new paradigm – one where employment creation and resultant poverty alleviation is not merely accepted as a by-product of economic growth, but where employment creation is viewed as a key accelerator of economic growth. Social development targeted at mobilizing and

empowering the unemployed needs to constitute the backbone of any growth, employment and redistribution policy.

The focus should be on designing and implementing policies that truly empower and mobilize this untapped potential of society towards spurring higher levels of future economic growth rather than merely awarding handouts. In reviewing the implementation of a number of policies developed including policies aimed at alleviating poverty, it seems South Africa, like other developing countries has experienced challenges.

### **3.5 POLICY IMPLEMENTATION**

The challenge of delivering services to South Africa's previously disadvantaged communities in the process of poverty alleviation remains the central challenge of the post-apartheid democratic government of South Africa. In his state of the nation address (2008) the state President said: *"...the entirety of our system of governance is therefore making the commitment that in the period ahead of us, it will do its best to live up to the imperative – Business Unusual! We speak of Business Unusual, not referring to any changes in our established policies, but with regard to the speedy, efficient and effective implementation of these policies and programmes, so that the lives of our people should change for the better sooner rather than later"*.

The goal of this study is fully captured in the latter views expressed by the State President. Since 1994, the South African government introduced a series of pro-poor policies, acts and poverty alleviation programmes, directing the process of development and empowerment of previously disadvantaged communities and people. It is important therefore to understand policy implementation because it is a key feature of the policy process, and learning from implementation problems can foster learning about better ways to structure policies to ensure that they have the effects that designers of these policies seek. When applied to public policy, implementation is a process of putting into effect or carrying out an authoritarian decision of government. This decision is most often enacted by a legislative body, but it can also be a directive of the executive branch or a ruling by a judiciary. The

implementation puts the objectives of policy adopters into action in an effort to accomplish desired results. Policy implementation is therefore critical in understanding the role played by civil society organizations in the implementation of poverty alleviation programmes in collaboration with government, which is the purpose of this study. The intention of public policy is to provide benefits to citizens. Policy makers take decisions to improve the well-being of its citizens. These policies are not self executing but require effective implementation to ensure that policy makers' decisions are carried out successfully. Cloete and Wissink (2000:118) however, argue that no government policy over time is ever complete in terms of its outcomes or effect on society. This is mainly due to the continually developmental and changing nature of the needs of the people or the beneficiaries of public policy.

The study of policy implementation is crucial for the study of public administration and public policy. Policy implementation is the stage of policy making between the establishment of a policy and the consequences of the policy for the people whom it affects. Hill (1997:129) defines the implementation process as those actions by public or private individuals (or groups) that are directed at the achievement of objectives set forth in prior policy decisions. In a similar vein Pressman and Wildavsky say: a verb like 'implement' must have an object like policy (1973: xiv). The pioneering implementation studies therefore argue that the process of putting policy into action is deserving of study, and that it is wrong to take it for granted that this process will be smooth and straight forward. Indeed, in many ways these studies are concerned with the discovery that many things may go wrong between policy formulation and output.

Policy implementation as a step in the policy process should not be thought of in mechanistic terms such as the view that politicians make policy and that officials merely implement such policy. Policy making is a continuous and interactive process that goes hand in hand with policy implementation and that requires co-operative partnership between politicians and officials who ideally, should always bear in mind the practical implications of any policy that is implemented. Such interaction is best seen in the development and formulation of executive policy at the practical

implementation level, bearing in mind its implications for society as a whole. Policy implementation is always linked to the realities of a specific and ever-changing environment.

### **3.5.1 Top – Down Approaches to Policy Implementation**

Some representative studies in the top –down research tradition include research by Carl Van Horn and Donald Van Meter, as well as Daniel Mazmanian and Paul Sabatier’s studies of the factors that condition successful implementation. According to Birkland (2005:182) the top-down approach is based on a set of important assumptions:

- Policies contain clearly defined goals against which performance can be measured. Top-down implementation strategies greatly depend on the capacity of policy objectives to be clearly and consistently defined.
- Policies contain clearly defined policy tools for the accomplishment of goals.
- The policy is characterized by the existence of a single statute or other authoritative statement of policy.
- There is an implementation chain that starts with a policy message at the top and sees implementation as occurring in a chain.
- Policy designers have good knowledge of the capacity and commitment of the implementers. Capacity encompasses the availability of resources for an implementing organization to carry out its tasks, including monetary and human resources, legal authority and autonomy and the knowledge needed to effectively implement policy. Commitment includes the desire of the implementer to carry out the goals of the top level policy designers; a high level of commitment means that the values and goals of the policy designers are shared by the lower-level implementers, particularly those at the “street level” such as teachers, police officers or social workers.

Brynard (2007:358) differentiates between inductive and deductive policy implementation. He regards top-down implementation as inductive and based more on predictions whilst bottom-up policy implementation is regarded as deductive and encourages a more generalized, explanatory role.

### **3.5.1.1 Weaknesses of the Top-Down Approach**

Birkland (2005:185) cites a number of weaknesses of the top down approach. These weaknesses include the following: The emphasis on clear objectives or goals- Unless there is consensus on what program goals are it is hard to set a benchmark for program success and failure. Another problem with top down models is the assumption that there is a single rational government that structures policy implementation and provides for direct delivery of services. This may also be true where implementation process is dependent on cooperation between the three spheres of government as in the South Africa context. This assumption of a strong central government also assumes a unitary method of decision-making that ignores competing overlapping agencies and their staffs, and interest groups within South Africa, there is multiplicity of actors in the implementation of process including civil society organizations.

Indeed legislators, bureaucrats, the courts, pressure groups and community organizations are all involved in policy implementation. Thus while the focus of implementation may be on one agency several other actors will have an influence on implementation success or failure. Top down approaches often ignore the relative ease with which implementers and interest groups can work to subvert the originally established goals. On the other hand, Birkland (2005:185) rejects the inevitability of adaptive implementation in which target groups and street level bureaucrats, subvert the original program goals. He argues that top policy designers do have choices about who implements a policy and what incentives and sanctions to impose for non compliance and can influence the expectations and needs of target groups so that adaptive compliance should be unnecessary or would be counterproductive (Birkland, 2005:185). Finally, top-down approaches assume that policy is contained in a single state statute or other authoritative statement.

### **3.5.2 Bottom-Up Approaches to Implementation**

Bottom-up approach refers to the approach to studying policy implementation in which one begins by understanding the goals, motivations, and capabilities of the lowest level implementers and then follows the policy design upward to the highest

level initiators of policy. Birkland (2005:185) calls this “backwards mapping” in which the implementation process and the relevant relationships are mapped backwards from the ultimate implementation to the top most policy designers.

The bottom-up approach recognizes that goals are ambiguous rather than explicit and may conflict not only with other goals in the same policy area, but also with the norms and motivations of the lower level implementers. Top-down models are more concerned with compliance, while bottom-up approaches value understanding how conflict can be alleviated by bargaining and sometimes compromises. The bottom-up approach does not require that there be a single defined “policy” in the form of a statute or other form. Rather, policy can be thought of as a set of laws, rules, practices, and norms that shape the ways in which government and interest groups address these problems. Thus implementation can be viewed as a continuation of the conflicts and compromises that occur throughout the policy process not just before and at the point of enactment.

### **3.5.2.1 Shortcomings of Bottom-Up Approach**

First, Birkland (2005:186) argues that the bottom-up approach over emphasizes the ability of the street-level bureaucrats to frustrate the goals of the top policy makers. Second, bottom up models of implementation assume that groups are active participants in the implementation process. Experience and research has shown that in South Africa not all groups are active participants in the implementation of policies. Even those that are active participants they face various challenges in the implementation of policy (see Department of Social Development Annual Reports and The National Development Agency Reports).

### **3.5.3 Synthesis: A third Generation of Implementation Research**

The strengths and weaknesses of the top-down and bottom-up approaches, has led to researchers combining the benefits of these approaches into one model or synthesis that can address both the structuring of policy from the top and the likelihood of its subversion or at least its alteration at the ultimate point of implementation. This approach characterises theoretical orientations perceiving



implementation as a process of constituting coalition, structuration, networking, learning or institutionalization within which various parties in a specific policy domain or area strive to realize a policy, programme or project. This approach allows for changing some aspects which create problems during implementation.

In looking at the three approaches of policy implementation it can be concluded that some of the problems related to policy implementation can be attributed to the weaknesses of these approaches. Brynand (2007:359-360) indicates other problems with policy implementation. The complexities of policy development could be one reason for the failure of implementation. However, in developing countries the failure of policy can largely be attributed to issues of poor implementation. This has been the biggest challenge that has affected South Africa, despite good policies developed during the first five years of its democracy. In supporting this view Brynand (2007:359) argues that the White Paper on Transforming Service Delivery developed in 1997 to address the challenges of service delivery failed to achieve its purpose, hence service delivery in South Africa still remains the challenge. A myriad of policies were developed since the emergence of democracy in South Africa. A majority of these policies were aimed at addressing poverty. Poverty still remains the biggest challenge facing the South African government. Hence this study seeks to understand how civil society organizations implement poverty alleviation programmes. What challenges do they experience? What is the effect of these challenges on the realization of the objectives of the programme or goals of the policy?

Khosa (2003:49) notes that the discrepancies between policy and implementation are largely caused by unrealistic policies and a lack of managerial expertise. Another key finding Khosa contends is that policy implementation has suffered from the absence of a people driven process. Insufficient coordination of policy implementation is cited in virtually all sectors, and has significantly hampered the implementation of policies. In addition, insufficient staffing and capacity of all three spheres of government as well as the linkages between them, have largely worked against the successful implementation of policies.

Other problems associated with policy implementation include ambitious targets which fall short of their desired outcomes. The lack of reliable data often hampers policy makers' ability to devise clear policy goals with well defined implementation plans and evaluation mechanisms. Political commitment could be another problem. In this, Brynand (2007:360) contends that leadership and political commitment are critical for the success of policy.

The issues of ineffective government and corruption have also been described as major obstacles to proper policy implementation. Developing countries including South Africa have high levels of corruption. Another recurring criticism of policy implementation is the orientation towards centralization. This means that policies and plans are developed in the national sphere with little consultation with the final implementers. For this reason, policy often fails to capture the subtleties of initiatives at grassroots level, and therefore appears to be alien to the managers and the very implementers of policy (Brynand, 2007:360). Finally, financial and technical resources, along with the quality of human resources, are key factors that contribute to successful policy implementation. Of importance is the also the problem with the management of resources. The problems in implementation discussed in this section will provide the basis for analyzing how civil society organizations implement poverty alleviation programmes.

#### **3.5.4 Critical Variables for Policy Implementation**

In order to understand implementation it is important to look at critical variables that can influence implementation. Brynand (2005:13) calls these variables the '5 C protocol'. He stresses that the variables are important causal factors for a multitude of scholars adhering to otherwise divergent perspectives (top-down or bottom-up; working on differing issues (environment, education and other issues) in different political systems (federal, unitary etc.) and in countries at various levels of economic development (industrialized or developing). He describes these variables as the following:

## **Content**

Policy content relates to what the intention of the policy is. It may either be distributory, regulatory or redistributory.

### **1. Context**

The focus in this variable is on the institutional context which will be shaped by the larger context of social, economic, political and legal realities of the system.

### **2. Capacity**

Capacity refers to the ability to deliver those public services aimed at raising the quality of life of citizens. It refers to availability of and access to concrete or tangible resources like human, financial, material, technological, logistical etc. It also includes intangible requirements of leadership, motivation, commitment, willingness, gut, endurance and other intangibles needed to transform rhetoric into action. It is important to note that capacity is not about what capacity is required, where but also how this capacity can be created and operationalized. Brynand (2005:20) concludes that the answer to the question what capacity is needed to achieve the policy implementation objectives for sustainable public service delivery seems therefore to be both the commitment and ability to implement in pragmatic ways these elements of accepted strategic management which are appropriate in a given context.

### **3. Commitment**

According to Brynand (2005:13) government may have logical policy, good benefits and resources to implement but if those responsible for carrying it are not committed, unwilling or unable to do so little will happen. Political commitment is also very important for policy implementation.

### **4. Clients and Coalitions**

It is important to identify key relevant stakeholders in the implementation process. Policy implementation in South Africa has been confronted with challenges of

fragmentation and lack of coordination. Research has indicated that coalition, collaboration and better coordination are critical in achieving policy outcomes.

The 5 C Protocol is critical in analysing the implementation of policy. In addition to the 5C Brynand (2005) adds communication which he regards as an integral part of all the 5Cs. These variables will be used to analyse the implementation of poverty alleviation programmes by civil society organizations which is the purpose of this study.

### **3.6 THE ROLE OF CIVIL SOCIETY ORGANISATIONS**

The 1990s witnessed an increased interest among policy makers, scholars and advocates in expanding and deepening citizen processes, particularly in community and economic development. This growing interest in citizen participation was seen as a requisite for democracy. According to Rabin (2003:355) the interest in citizen participation has been attributed to a concerted effort worldwide to devolve government as close to the people as possible; as part of reinventing government, which was initiated by David Osborne (1992) and as the way to promote anticorruption. This has resulted in the emergence and strengthening of civil society.

The debate about the direction of civil society has its roots in the historical tradition of Western political theory and social philosophy, but ironically now finds itself at the centre stage in the writings of contemporary observers. A more general theoretical approach is required to understand the existence of civil society. This approach should be able to explain the plurality of roles performed by these organizations, shifts from one role to the other, and especially the recent shift towards more productive and entrepreneurial behaviour and the coexistence of a variety of organizations and legal forms characterized by different goals and constraints.

It has been argued that the growth of civil society in Africa can be attributed to the lack of democratic governance on the continent, and the failure of states to deliver social services. Ajulu (2005:116) argues that African governments have generally

failed to raise rural standards of living, or deal with the natural calamities. As a result, some governments have increasingly ceded some of their social responsibilities to NGOs, which have worked diligently to discharge them – particularly in terms of poverty relief and social development. Thus NGOs have been universally accepted as viable conduits for development in Third World countries.

Because of their unique combination of private structure and public purpose, their generally smaller scale, their connections to citizens, their flexibility, and their capacity to tap private initiative in support of public purposes, these organizations are being looked to increasingly to perform a number of critical functions; to help deliver vital human services such as health, education, counselling and other services to the poor, often particularly with the state and the market; to empower the disadvantaged and bring unaddressed problems to public attention; to give expression to artistic, religious, cultural, ethnic, social and recreational impulses; to build community and foster those bonds of trust and reciprocity that are necessary for political stability and economic prosperity; and generally to mobilize individual initiation in the pursuit of common good.

In geographically isolated and marginalized areas in particular, local communities often depend on NGOs for their very survival. NGOs provide education and health care, as well as food and shelter. Kenya's Northern Province is one region where NGOs compensate for the absence of government services. They provide basic services and poverty relief, help communities to provide for themselves, and help shape the destiny of local communities. As a result, local people view these NGOs as their government, and the only one they have ever known (Ajulu, 2005:116). In South Africa the Department of Social Development relies on a number of NGOs and CBOs to deliver developmental welfare services in rural areas. As a result, the Department of Social Development both at national and provincial level puts aside some funding annually to assist these NGOs in delivering such services. Various expenditure reports by the National Treasury indicate that over 60% of the Department of Social Development's budget at provincial level is allocated to funding of civil society organizations. In addition the National Development Agency created

by the democratic government of South Africa grants funds to civil society organizations with a view to contribute towards poverty eradication and build capacity of these organizations in order to effectively participate in the development process.

Ajulu (2005) utilizes the notion of state penetrator or the lack of it when he discusses the ability of the state to address the needs of the people. Basically, he argues that, for a variety of reasons, states in Africa do not reach the grassroots. Because they are not embedded in the rural areas, their centrally-directed developmental efforts have no effect on the peasants living in those areas. He believes that this is one of the root causes of Africa's development crisis – hence the need for NGOs (civil society) to complement state developmental efforts. Reddy (1996:265), contends that NGOs lend themselves to effective development programmes because they can maintain a grassroots developmental approach that effectively empowers communities in the process; coordinate the different initiatives of the democratic movement to present a coherent response to the state and other initiatives; and launch, manage and control development programmes in a variety of sectors so that they combine into a coherent national strategy.

Ajulu (2005:116) argues that NGOs have risen out of the need for new developmental strategies besides those utilized by conventional development models. Third World countries were plagued by problems of underdevelopment, and the strategies used to resolve them were not very successful, thus necessitating the development of alternative approaches. The belief grew that this could only be done by NGOs, adhering to participatory models of development. Participation is an essential element of pro-poor governance and should be sought after by creating institutional mechanisms that favour and promote it.

Civil society therefore has often been viewed as vital for democracy because of their strong support at grassroots level and their capacity for development and empowerment of the poor. It can be argued, therefore, that civil society is a crucially-important factor at every stage of the democratization process. Reddy

(1996:257), points out that the focus is not on Western democracy, but rather on the institution of checks and balances to prevent the abuse of power, channels for the articulation of views that oppose dominant interests, and the increasing capacity to represent the interests of the poor. Civil society is a crucial entity in the conceptualization of democratic society. The strengthening of a vibrant civil society may be seen as a critical component towards preventing government statism, which is characterized by the centralization of power and linked public participation (Dangor 1994:16). In South Africa a major emphasis of NGOs in particular has been on politicization and conscientisation towards realizing structural transformation. This approach contrasts with the rest of Africa, where NGOs functioned within a convention negotiated with the government, focused on basic community needs and operated with more subtle political agendas.

Thus NGOs emerged to fill a gap in the provision of social services that the state had either vacated, or never filled in the first place. Before the 1980s, African governments had not given civil society much space in which to operate. Since then, however, they have gradually eased up on restrictive or repressive measures, thus creating the space for a huge proliferation of civil society organizations.

In South Africa the emergence of political democracy based on the popular will has opened new vistas of opportunity for civil society to make a meaningful contribution to the development of South African society, particularly at a local government level. This has been evident in the emergence of a host of local development forums and community development forums, which were intended to be included in state structures for delivering development programmes. The establishment of a constitutional democracy therefore has created some necessary conditions for the emergence of a strong civil society.

Reddy (1996:264) argues that a partnership that is constructive and dynamic can be ensured through NGOs that are enabled to participate in policy formulation and planning at local government level. Community involvement tends to secure greater sustainability in development. He further stresses that the emergence of effective

civil society is essential for negotiating development. Negotiated development planning could inject public participation and accountability into development. This would enable communities to identify their needs and develop strategies and action plans.

Regarding the role of civil society in South Africa, the RDP states: *"Many social movements (and community-based organizations) will be faced with the challenge of transforming their activities from a largely oppositional mode into a more developmental one. To play their full role, these formations will require capacity-building assistance. This should be developed with democratic government facilitation and funded through a variety of sources. A set of rigorous criteria must be established to ensure that the beneficiaries deserve the assistance and use it for the designated purposes. Every effort must be made to extend organizations into marginalized communities and sectors like rural black women"* (ANC 1994:131).

If the South African government wishes to uphold its promise that the RDP will be people-driven and sustainable, it would have to strengthen the policy and legal environment in which organs of civil society participate and actively build partnerships with NGOs in the planning and implementation of development initiatives. Civil society has an important role to play in the implementation of the RDP and other government policy aimed at making a better life for all.

What makes civil society significant globally and in Africa specifically, are the multiple functions they perform. Schmitter (1991:16) cites the following functions of the civil society organizations: They seek to promote not only their socio-economic interests, but also to define the rules for settling conflicting claims and interests in ways that are beneficial to themselves and society in general. Equally important, they seek to influence public policy-making and its implementation through a variety of formal and informal channels, including lobbying. As many social scientists have observed, historical and contemporary evidence strongly suggests that transition to the pluralist type of civil society is one of the critical factors facilitating the pluralist democracy and its consolidation.



Civil society organizations play an important role in helping government carry out its social functions. It can be argued, therefore, that the relationship that emerges between the state and civil society organizations is not of inherent conflict but of widespread cooperation and mutual support. In South Africa, for example, there generally is agreement on policy choices in addressing social issues like poverty, and also continued engagement and participation of civil society in public policy formulation and implementation. This is evident in the National Economic Development and Labour Council Act of 1994 and the Local Government Municipal Systems Act of 2000, which institutionalized a decision-making process involving a wide set of economic and development policy issues at both the national and local government levels (Salamon; Sokolowski; Wojciech, 2004: 116). Bratton (1989:418) agrees that emphasizing opposition and confrontation as the defining characteristic of the relation of civil society to the state, restricts associational life to activity that is at odds with the state.

Also important is the sectors' advocacy role, its role in identifying unaddressed problems and bringing them to public attention, in protecting basic human rights and in giving voice to a wide assortment of social, political, environmental, and ethnic and community interests and concerns (Salamon et al. 2004:23). Civil society organizations facilitate community-building. They create what scholars are increasingly coming to call "social capital" - those bonds of trust and reciprocity that seem to be crucial for a democratic polity and a market economy to function effectively. Lewis (2007:7) distinguishes non-governmental development organizations, whose presence is legitimized by the existence of poverty. He argues that these organizations constitute vehicles for people to participate in development and social change in ways that would not be possible through government programmes.

Civil society in developing countries has been more robust in recent years as a result of expanding communication technologies, frustrations with state-centred approaches to development and new efforts to empower the rural poor. Lewis (2007:55), states that the growth of civil society has the potential to make an

important contribution to building more democratic governance processes, because it shifts the balance of power between state and society in favour of the latter. It can also enforce standards of morality, performance and accountability in public life, and act as a channel for the demands of organized citizen groups by creating an alternative “space” – outside formal political structures, such as political parties, for political representation and action.

Salamon et al. (2004:27) argue that organizations engaged in development work absorb a significantly higher proportion of the civil society organizations’ workforce in the developing and transitional countries than in the developed countries with 9% versus 5%. In African countries, this figure reaches 18% of the civil society organization workforce. This is significant, because these development organizations often have a distinctive empowerment orientation that differentiates them from the more assistance-oriented service agencies in the field, such as education and health. Another distinguishing feature of the civil society in developing countries is the relatively low level of government support available to it. These organizations therefore have to depend more heavily on fees and private philanthropy than their counterpart elsewhere, with much of the latter coming from international sources of civil society organization income in these countries. The limited financial support to civil society organizations in Africa impacts negatively on the scale of this sector. Salamon et al. (2004”:50) state that only 21% of civil society organizations revenue comes from government on the African countries, with South African organizations recording over 40% of their funding from public sources and Kenyan recording 5%.

There is now greater acknowledgement that policy is best seen as a “process”, referring to the actions of public institutions, both governmental and non-governmental. It is clear that civil society should be understood as a realm of activity in which citizens participate in the public affairs of the state.

### **3.6.1 Challenges of Civil Society**

Despite the strengths in the roles performed by civil society, there are challenges and shortcomings in their functioning. These problems vary from organization to organization and context to context, some patterns emerge and there are quite predictable common problems. These challenges include organizational weaknesses, management capacity, and issues of basic visibility and legitimacy, sustainability, effectiveness, and of forging the workable partnership with other sectors that real progress on complex social and economic problems increasingly requires.

Lewis (2007:24) argues that for many NGOs management is not an explicit priority and NGOs may be preoccupied with a focus on short-term details rather than on longer-term horizons and strategy. There is often a wish for NGOs to respond immediately, with little time for learning or reflection, and NGO's responses are frequently over-committed and emotional rather than achievable. Frimpong (2003:190) refers to this as a problem of balancing long-term development needs and short-term crisis needs (financial sustainability).

The scale of the African civil society sector remains constrained by the limited financial support it has available. The challenge results from the failure to recognize that the provision of public services involves at least two very different activities: first, the generation of resources to support the service, and second, and the actual delivery of the service. An insecure funding climate inhibits planning and this ultimately impacts negatively on the achievement of objectives. Particularly notable as in other developing regions has been the limited availability of public sector funding, which has played so significant a role in the growth of civil society in the developed world. According to Salamon et al. (2004:50) only 21% of civil society organizations' revenue comes from government in the African countries, with South African organizations recording over 40% of their funding from the public sector and Kenyan organizations recording 5%. This is disappointing, particularly given that civil society helps government in carrying out its role.

The issue of funding is of crucial significance to civil society, especially in realizing not only their objectives, but, most importantly, governments' objectives of improving the lives of the people. The process by which NGOs (this includes all civil society organizations) obtain funding is complex, and has to take cognizance of the following issues:

- The question of sources (against the background of the political realities and ideological conflicts of the day;
- Institutional procedures, priorities and practices of donor agencies;
- The constraints of the short-term nature of most funding; and
- Problems of vulnerability and dependency for NGOs, whose main sources of finance are from external quarters in Reddy (1996:262).

Frimpong (2003:190) summarizes the problems identified by NGOs themselves as the following:

- Defining the organization's role within the dynamic and fluid context. This has resulted in several organizations redefining their role and niche within the current context;
- Inadequate internal organizational structures and resources to meet the new challenges and at the same time facilitate delivery;
- Inadequate systems and procedures to evaluate the organization's impact;
- Difficulties in ensuring the full participation of the client constituency in the planning process;
- Lack of dialogue with the funder around and sometimes imposition of inappropriate planning frameworks by the funder;
- The reluctance of donors to fund core expenses; and
- A failure of donors to view grants as a way of delivering financial infrastructure that will give the organization self-reliance.

It is clear that moving an organization towards greater financial sustainability is not an easy one. Hence the importance of stronger government funding of civil society

organizations, since donor funding is becoming less and less given the current global economic decline.

Ajulu (2005:120) argues that another problem among civil society, particularly in the East African Community, is a lack of networking – the forging of alliances and linkages in order to achieve common objectives, and learn from each others' experiences. This problem is attributed to rivalry between civil society organizations struggling for resources, especially funds and personal antipathies between civil society organizations leaders, reflecting a lack of vision, foresight and maturity. The lack of forging alliances to achieve common objectives is also evident in the South African context where NGOs, particularly those that operate in urban areas, tend to have more capacity in generating their own funding than the smaller community-based organizations, which tend to rely more on government funding. Experience from the Department of Social Development in South Africa has shown that unless there is much more concerted effort to support these small, emerging community-based organizations, they struggle to survive.

### **3.7 CONCLUSION**

The public policy process has ushered a significant change in the outlook of South Africa, laying a foundation for the transformation agenda. This chapter has provided analysis and assessment of theoretical constructs of public policy. The discussion and review of various theories of public policy has revealed that political paradigms, ideologies and values influence policy making. The existence of policies however does not automatically result in successful implementation. Various approaches of policy implementation have been discussed citing variables involved with failed policy implementation. The chapter concluded by reviewing literature on the role of civil society organizations in different political paradigms and the challenges they experience. This chapter has provided the basis for analyzing the role of civil society organizations in implementing poverty alleviation programmes in partnership with government.

## **CHAPTER FOUR**

### **POVERTY ALLEVIATION: IMPERICAL STUDIES**

#### **4.1 INTRODUCTION**

This chapter will review the empirical literature on the implementation of poverty alleviation programmes by civil society organizations in collaboration and partnership with government. In particular, the chapter will explore imperial literature on how poverty alleviation strategies and programmes have alleviated poverty levels worldwide, continentally and nationally. Variables that contribute to the effective implementation of poverty alleviation programmes and policies will be analysed. Specifically various policies, programmes, strategies, practices and models implemented by selected countries will be reviewed. Research findings in general show that community-driven approaches to poverty alleviation and concretized in partnerships between the state and civil society not only are effective, but also enhance the public sector's performance. Secondly, community-driven approaches strengthen the socio-economic structures and institutions of poor communities. It is for this reason that the researcher of the present study strongly believes that the partnership between the state and civil society organizations will contribute in poverty alleviation. Thus, this study specifically seeks to analyse how civil society organizations implement poverty alleviation programmes in partnership with government. In particular, the study will analyse challenges experienced by civil society organizations in implementing poverty alleviation programmes and the extent to which these programmes are empowering and sustainable.

#### **4.2 PROGRESS ON POVERTY ALLEVIATION IN THE WORLD**

A survey of progress made in poverty alleviation from 1990 to date worldwide indicates that the levels of extreme poverty, that is, people living on \$1.00 per day (approximately R8.00), fell from 28% to 21% for the developing countries. But it should be noted that during the same period under review, population in developing countries grew to five billion people, with 1.1 billion being extremely poor. The

latter implies that there is faster population growth, which is not equally matched by economic growth. Sachs (2005) has established that worldwide there are 850 million people who are destitute or poverty stricken. Furthermore, 800 million people die per year worldwide due to lack of food sustenance (Sachs, 2005). With the ever-escalating world food prices, fuel and raw materials it means that more poor people will continue to die. It is, however, sad to note that in 2005 the United States of America spent \$450 billion on purchasing military equipment, compared to \$15 billion spent on addressing the plight of the world's poorest of the poor, whose societies are destabilized by extreme poverty and thereby have become havens of unrest, violence, sickness and even global terrorism (Sachs, 2005:1).

The ever-increasing levels of poverty worldwide seem to be linked to structural policy factors and/or poor or low economic performance and growth. In support of the latter view, Sachs (2005) comments that modern economic growth has also contributed to phenomenal gaps between the richest and the poorest - gaps that were simply impossible when poverty gripped the entire world. Although in countries like China, India and to some extent Bangladesh poverty has been alleviated as a result of the rapid economic growth, many poor people have been left behind. There are still major pockets of poverty, for example across Asia. The persistence of poverty is a moral indictment of the modern times or society.

This chapter therefore reviews levels of poverty worldwide, in the African continent, and in selected countries with a view to establish poverty alleviation approaches that have been effective. Lessons learnt in these approaches will be analyzed with a view to make recommendations to improve the implementation of poverty alleviation programmes in South Africa. The International Labour Organization's Report (2003) contends that poverty is a complex, deep-seated, pervasive reality characterized by exclusion of the poor.

Consequently, poverty is still a worldwide phenomenon. Furthermore, it has been observed that even a greater challenge lies beyond what poverty figures can convey and measure namely: poverty breeds a growing sense of powerlessness,

helplessness, hopelessness, indignity and worthlessness, of being unable to think productively or creatively, plan or dream beyond the daily struggle to survive.

At an individual level, poverty is a nightmare. As to be expected, it is a vicious circle of poor health, reduced working capacity, low productivity and shortened life expectancy. For families poverty is a trap. It leads to inadequate schooling, low skills, insecure income, early parenthood, ill-health and a possible early death. Spicker, Leguizamon and Gordon (2006:160) use the term "poverty trap" to denote a geographical area in which poverty has become concentrated. The Sachs report (2005) uses the term "poverty trap" to refer to factors keeping developing countries in poverty. This is described as a vicious cycle where poverty leads to low savings and investment; low savings and investment imply poor economic growth; and poor economic growth deepens poverty. It should be emphasized that the ultimate aim of economic growth must be the betterment of the living conditions of the poor. Economic growth that does not lead to sharp and sustained alleviations in poverty may create more problems than it solves. Similarly, if rapid growth is achieved at the expense of a worsening in the distribution of resources, it ultimately becomes unsustainable since it engenders social tensions (Cornia 2004:297). Sachs broadens the list of self-reinforcing problems to include low tax revenues, low foreign investment, violent conflict, the "brain drain", rapid population growth, environmental degradation, and low innovation. For societies, poverty is a curse. It fuels instability, crime, violence and immobilizes poor countries from progressing on the path to sustainable development and poverty alleviation. With worldwide escalation competition for limited or scarce resources, e.g. fuel, food, money, machinery and equipments hardships will become the order of the day.

It is against this worrying worldwide poverty scenario that the researcher of the present study proposes a paradigm shift as far as the implementation of programmes, strategies and models for poverty alleviation are concerned. Thus, the hypothesis for this study states that:

**"Poverty alleviation programmes implemented by civil society organizations in collaboration and partnership with government are**



**empowering and sustainable”**. Hence, the researcher’s strong belief that the participation of civil society organizations in the implementation of poverty alleviation programmes is critical in securing greater sustainability in development and poverty alleviation. Partnership between the state and civil society organizations will go a long way in enabling the poor to influence public policy. Participation of the civil society organizations in the implementation of poverty alleviation programmes is critical in ensuring that the poor are empowered and that those who are intended to benefit from interventions to fight poverty are active participants and have a voice in the process.

The preliminary results of the literature review on the implementation of poverty alleviation policies and programmes suggest that traditionally world government’s approach was mainly the distribution of food, clothing, medication items, and in some cases educational aid. It was a top-down approach with the lack of consultation about the needs of those countries that were receiving aid. Approaches used were not always empowering, particularly the project approach, which was not based on evidence but was fund-driven. Most of these projects were not able to sustain themselves and were largely dependent on government funding. As soon as funds planned for the project were depleted, the project immediately collapsed. Aided countries were not involved in the design and implementation of poverty alleviation projects. It is important, therefore, to acknowledge that common approaches of throwing money at poverty alleviation have done very little to correct injustices that condition the lives of the poor. These approaches have rather perpetuated poverty in many developing countries. Progressive developing countries, however, indicate greater involvement of the poor themselves including civil society organizations within these poor communities in poverty alleviation strategies. Such strategies put emphasis on community-driven development approaches. These countries use bottom-up policy implementation approaches. Community-driven development is an approach to development that has been used quite widely by the World Bank. The approach is premised on placing the community at the heart of the development process. The main principles of community-driven development are:

- placing control and resources in the hands of the community;
- viewing poor people themselves as assets and partners in development; and
- Building on existing institutions.

Progressive developing countries therefore spend large sums of money developing business and markets, infrastructure, and invest in education and development programmes. Thus they support their social and economic development policies with concrete practical poverty alleviation programmes that have great ownership of communities and are responsive to the needs of the community.

It has been observed that the United Nations' development group has adopted a dynamic participative approach that seeks to align its planning mechanisms with the poverty alleviation strategies set by developing countries. This new approach is based on the partnership and participative practice in which governments consult regularly and widely with business, trade unions, civil society organizations and local authorities in developing poverty alleviation programmes. The direct result of such a participative development strategy is the high commitment by the poor to ensure its success. The poor experience a deep sense of ownership and meaningful involvement with the poverty alleviation programme (ILO Report, 2003).

A similar participative poverty alleviation programme has been initiated by the World Bank. It encourages international agencies and donor countries worldwide, to change the traditional 'welfare' or food, clothing and education-aid distribution approach, to a more facilitative or developmental strategy. The latter strategy is more empowering, sustainable and effective since it allows the poor developing countries to assume the responsibility for policy design and implementation, monitoring and evaluation of the impact of public policy.

Research indicates that poverty affects women most. It is for this reason that since 1995 the United Nations community has progressively and increasingly re-aligned its development approach to focus on poverty alleviation, paying particular attention to the feminization of the poverty dilemma. According to UNICEF (2005:4) the world is

falling short in its promise and commitment to ensure that every child enjoys a safe and nurturing childhood. Over half of the children in the developing world live in poverty. Children are deprived of access to the most basic goods or services and as such one in six children is underweight or suffering from stunting; one in seven children has no health care at all; one in five has no safe water and one in three has no toilet or sanitation facilities at home. Over 640 million children live in dwellings with mud floors or extreme overcrowding; and over 300 million children have no television, radio, telephone or newspaper. Over 120 million children are shut out of primary schools, the majority of them girls. More than 30 000 children die of preventable causes worldwide every day. Child poverty is therefore affecting the lives of millions of children worldwide. It is a problem present in both poor and rich countries. In essence, children living in poverty become adults living in poverty (UNICEF, 2005).

During the United Nations Millennium Summit in 2000, the world governments of the United Nations, through their political leaders, committed the community of nations to a collaborative, concerted, coordinated relentless drive to reduce and eventually eliminate extreme poverty by 2015. The latter gave birth to the popular eight chapters of the Millennium Development Goals (MDGs), which constitute common evaluation benchmarks globally. It should be noted that all 189 member states of the United Nations signed the declaration, which was history in its kind. The declaration committed its signatories to promote a series of goals for poverty alleviation to be achieved by 2015 (UN Millennium Declaration 2000). These Millennium Development Goals (MDGs) are time-bound, quantified targets for addressing the many dimensions of extreme poverty (such as income, shelter, health and education) while promoting gender equality and environmental sustainability. Similarly, worldwide, the structures of civil society are expected and/or directed to operate their service delivery to poor communities and families along the priorities of the MDGs (see ILO, 2003; World Development Report, 2003; World Development Report, 2008; Civil Society-Wikipedia, the free encyclopaedia, 2007:1-4; Sachs, 2005; Prahalad, 2006).

Prahalad (2006) argues vehemently in support of an inclusive business strategy for empowerment of the poor as follows:

*"...The world's most exciting, fastest-growing new market is located where you least expect it, namely at the bottom of the pyramid. Collectively, the world's billions of poor people have immense entrepreneurial capabilities and buying power. You can learn how to serve them and help millions of the world's poorest people escape poverty" (preface page).*

The latter view strongly suggests that to help the poor people and communities, development agencies need to apply a turnaround strategy reflected by the MDGs. This strategy must add value economically and financially in the process of empowering and developing poor countries or societies. Given the broad spectrum of civil society organizations, any poverty alleviation programme enjoying such pervasive and inclusive input/effort is bound to be effective and successful by any measure.

#### **4.3 PROGRESS MADE ON MILLENNIUM DEVELOPMENT GOALS (2000 TO 2008)**

As already stated, the adoption and recognition of MDGs by the United Nations community in 2000 represent a turning point for the whole world to alleviate poverty based on a uniform operational strategy. In 2005, which marked the first five years after the signing of the MDGs Declaration, government leaders reaffirmed their commitment to the goals. Research, however, indicates that there has been limited progress towards achieving MDGs despite the fact that one third of the journey to 2015 had been travelled by world governments. The Millennium Development Report (2005) provides overall figures of progress worldwide, such as the average income increase by about 21%, a declined number of people living in extreme poverty, declined child mortality rates and a rise in the average life expectancy from 63 to 65 years (United Nations Millennium Project 2005:8). This progress is not uniform across the world. Sub-Saharan Africa in particular is experiencing the brunt of the development crisis with food insecurity, a rising HIV prevalence rate, rising numbers of people living in abject poverty, a rising child mortality rate and a decline in life expectancy (Schoeman and Van Rooyen, 2006:281).

The report identifies a number of reasons for the underperformance in achieving the MDGs. One of the reasons that delays development is the failure of governance - when governments do not uphold the rule of law, manage sound public administration, respect human rights and follow good economic policy (The Millennium Development Report 2005:22).

The Millennium Development Goals Report of 2007 however indicates that there has been some improvement in poverty alleviation since 2005. The number of extremely poor people in Sub-Saharan Africa has levelled off, and the poverty rate has declined by nearly six percentage points since 2000. However, in spite of some improvement, the poverty gap ratio in Sub-Saharan Africa remains the highest in the world, indicating that the poor in this region are the most economically disadvantaged in the world. The report stresses that the region is not on track to reach the goal of reducing poverty by half by 2015. More generally, the lack of employment opportunities for young people, gender inequalities, rapid and unplanned urbanization, deforestation, increasing water scarcity, and high HIV prevalence are pervasive obstacles (2007:5)

General observations show that population growth is faster than economic growth. It seems that even in those cases where economic growth has been recorded, it has not translated to benefits to the poor as indicated earlier on. The ultimate aim of economic growth must be the betterment of the living conditions of the poor. Economic growth that does not lead to sharp and sustained reductions in poverty may create more problems than it solves (Cornia, 2004:297). Furthermore, owing to decreased levels of investment by First World countries, employment opportunities have been compromised on a large scale in the developing countries. Preliminary literature survey findings, about progress made on poverty alleviation, indicate that most of the First World countries have alleviated poverty. A substantial number of developing countries have also made remarkable progress towards meeting the 2015 target of halving poverty levels. East Asia, for example, and Pacific countries, which represent a total population of 1.9 billion people, has achieved rapid economic

growth and high levels of human capital development. This region is comprised of ten countries including China. It is the fastest-growing region socio-economically among the developing countries in the world. Over 200 million people have climbed out of extreme poverty since 1990 to 2008. The proportion of people living under \$1 a day has decreased by half - from 30% to 15%. The formula used to achieve these phenomenal results was extensive participation of civil society organizations and the implementation of progressive public policies. In particular, education and an intensive campaign of skills development among the poor proved to be the panacea for poverty alleviation.

#### **4.3.1 South Asia**

South Asia is a paradoxical constituency that has talent, creativity, and leadership located in the midst of acute poverty and inequality (UNFPA, 2003:81). The whole of Asia as a region has had a higher and steadier economic growth rate than other continents. Progress made towards achieving the Millennium Development Goals by South Asia countries, with a total population of 1.4 billion, has been uneven. South Asia generates an income per capita of \$590 a year, but it still has high levels of poverty. For example, more than 40% of the world's extremely poor are found in this region. The region's economic growth has averaged more than 5% annual growth, which has contributed to a decrease of 10%, - , that is from 41% to 31% - a net reduction of 31 million people. Furthermore, child mortality rates in South Asia have decreased sharply from 130 per thousand births in 1990 to 92 per thousand births in 2003 in Bangladesh. Education and expansion of employment opportunities have been used consistently to fight poverty. Some of the most successful model projects, where the poor have pulled themselves out of poverty, have been led by women in South Asia, including the Grameen Bank in Bangladesh and the Self-Employed Women's Association in India. It is important to note that these programmes have been implemented by communities including civil society organizations using bottom-up approach to policy implementation. This approach has encouraged ownership by communities themselves and the state's role has been that of facilitator.

Challenges still remain in the areas of child malnutrition, primary and secondary school completion rates, maternal mortality and gender balance in education and health. Almost half of all children under five years old are malnourished and youth illiteracy is still high at 23% for males and 38% for females. Tuberculosis and HIV and Aids are the most serious health threats in South Asia (United Nations: Millennium Development Goals: 2005).

#### **4.3.2 Europe and Central Asia**

This region represents 27 countries with a total population of 472 million. It has moved from command to mixed economies in order to reduce its elevated poverty levels. Recently, there has been a major turnaround in economic growth. However, the \$1 a day universal measure is at 5%, which is reasonably lower compared to other poverty--stricken countries. As is the case in South Asia, the health MDG faces its greatest challenge in the escalating incidence of HIV and Aids and tuberculosis cases. There is still a big need for health education to combat HIV and Aids, since most of the people are in denial, stigma and indifferent to enlightenment about health-related issues (ILO: 2005; World Bank: 2005).

#### **4.3.3 Middle East and North Africa**

The Middle East and North Africa have a rapid or fast population growth rate. It is the second fastest rate in the world after Sub-Saharan Africa. As observed early in other poor countries of the world, high or fast population growth with low productivity and economic growth result in high levels of poverty. Hence, since 1990, the proportion of people living below \$1 a day has remained the same, while the % age of people living below \$2 a day rose from 21% to 23%, an increase from 51 to 70 million people.

Comparatively the region has a reasonable or well-developed infrastructure of services, but lacks a sustainable water management facility. It remains a serious challenge for the region. This region is still struggling to develop a comprehensive education system that will be more relevant to current economic activities.



The Middle East and North Africa's unprecedented challenge is low employment opportunities against an ever-rising labour-force, currently totalling 112 million, which is expected to rise to 146 million in 2010, and 185 million in 2020. Thus, millions of new job seekers are flooding the labour market and some of these are young, educated citizens. About 63% of university enrolment is female students. There seems to be no well-planned strategy or programme of poverty alleviation similar to East Asia.

#### **4.3.4 Africa**

Africa is a continent plagued with underdevelopment and poverty, notably outside the cities. Villages exhibit many marks of neglect, even exploitation. More than two thirds of African countries are classified in the low-income of Gross National Income of \$825 or less. In addition to the latter scenario, more than 400 million people have no access to clean water and electricity in their homes. Furthermore, over 300 million people live on less than the universally accepted daily income of \$1 a day, with more than 150 million living in informal settlement housing structures (see World Bank Reports: 2005, 2006, 2007; World Bank Millennium Chart, 2005; Prahalad, 2006; World Development Reports, 2003, 2005, 2006, 2008).

Despite conservative growth in economic performance in the past five years, Africa still lags behind in the alleviation of poverty levels. This is possibly due to accelerated population growth, which is a generally observed phenomenon throughout the African continent. Health remains a huge challenge evidenced by a decline in life expectancy across the Sub-Saharan region - from 50 years in 1990 to 46 years in 2003. Planned campaigns to create healthy lifestyles and raise awareness have been unsuccessful due to severe shortages of qualified health workers. Furthermore, diseases of lifestyle, for example HIV and Aids, tuberculosis, diabetes, cholera, malaria, malnutrition and others are on the increase. HIV/AIDS is potentially one of the most serious threats to sustainable development in Africa. Sub-Saharan Africa is especially hard hit with approximately 25, 4 million people living with HIV, which represent 60% of all HIV positive people worldwide (UNAIDS, 2005, Fact Sheet). HIV and Aids-related health problems claim the lives of more



than two million Africans per year. Irrespective of which tool or method is used to measure success of poverty alleviation programmes in Africa, all results indicate very little progress made in the past 16 years. The environment in which public administration functions in sub-Saharan African countries is affected by internal problems and challenges such as national debt, corruption in governments, human rights violations, poverty, conflict, HIV/AIDS and other infectious diseases, and famine (Schoeman and van Rooyen, 2006:291). Ijeoma (2009:585) contends that Sub-Saharan Africa are known as countries which suffer from public governing problems: low decentralization, corruption, weak public administration, low accountability and transparency, unfair elections, poor delivery of public services and lack of real freedom of press and mass media. It is clear that unless governments address these challenges, the African continent's poverty-related problems will not decrease

Comparatively, Africa rates very low in terms of infrastructure, good governance, accountable leadership, democratization levels, and income and prosperity levels when compared to other developing and developed countries. This notwithstanding, Africa is home to large supplies of minerals, for example, South Africa alone supplies in excess of 75% of the world's mineral demands. Yet it has high levels of poverty and unemployment.

Hence the researcher of this study seeks to find answers to the question: "Why South Africa in particular, after 16 years of democratic rule and progressive social development policies aimed at poverty alleviation and addressing underdevelopment, is still in the severest grip of poverty? Could this be attributed to the challenges in the implementation of poverty alleviation programmes? What has been the role of civil society organizations in the implementation of poverty alleviation programmes? **"To what extent has government's collaboration and partnership with the civil society organizations in the implementation of poverty alleviation programmes ensured empowerment and sustainability?"**

Perhaps a general or common observation of the majority of countries in Africa is that there is accelerated population growth, but slow and little economic growth.

The latter seems to be the main reason for high levels of poor socio-economic environments in Africa. In addition, Africa has high levels of unemployment, civil conflicts, crime, low incomes, low literacy rates, low democratization practices, in some cases despotic rule, poor infrastructure - especially roads, telecommunication systems, electricity networks, factories, etc. The latter negative factors all combine and arrest the development pace of Africa. The MDG Report of 2008 contends that unless additional strengthened or corrective action is taken the proportion of people in Sub-saharan Africa living on less than \$1 per day is unlikely to be reduced by the target of one half (2008:3). These factors also create a serious psychological dependency syndrome on external assistance expectation.

#### **4.4 POVERTY ALLEVIATION IN SELECTED COUNTRIES**

A short list of selected countries will be sampled with a view to understand their poverty alleviation programmes and factors that have contributed to their success or failures. More emphasis will be placed on the following: to what extent does the poverty alleviation programme or strategy encourage partnership between government and civil society organizations? What were the effects of the programmes in alleviating poverty?

##### **4.4.1 Poverty alleviation in China**

According to Sachs (2005), China has been recorded as the country that has achieved highest levels of poverty alleviation. The proportion of poor people decreased from 33% to 18% of the population. Sachs (2005) refers to the economic position of China during its revolution of 1949 as the most devastated economy and poorest country in the world, with a virtually collapsed socio-economic infrastructure. But through harnessing socially and economically-inclusive development and poverty alleviation programmes, which were participative, sustainable, focusing on partnership with communities and villages, it succeeded in creating a marvellous economic boom. Since 1978 to date, China has empowered more than 400 million of its previously poor citizens. China has further recognized the important role for civil society to play in addressing the issues of poverty alleviation, population, reproductive health and gender. Over the last ten years, for

example, more than 200 000 rural impoverished households have received technical and financial assistance from the “Happiness Project”, which is aimed at particularly mothers in poverty rural areas of the western region, and these households have benefited from the initiation of income-generating activities to eradicate poverty (UNFPA, 2003:76). The successes in China were therefore made possible by major socio-economic policies, public administration policies, development and infrastructure improvement and expansion and, most importantly, the role played by civil society. Lifespan expectancy has increased from forty-one years during the revolution to the modern figure of sixty-five years. Thus, China has been the most successful growing economy, growing at an average per capita rate of almost 8 % per year. The average income per person has doubled every nine years, posting a remarkably higher standard of living for citizens. The success of China can also be attributed to a paradigm shift, that is, decentralization approach. The UNFPA (2003:77) contends that in the transformation towards a market-driven economy and the streamlining of the government structure, there is a high probability that civil society will play an increasingly pivotal role in addressing issues on population, reproductive health, and gender and poverty alleviation in China.

#### **4.4.2 Poverty alleviation in Vietnam**

Vietnam has also achieved reasonable poverty alleviation. An example of some of the approaches implemented, which contributed to poverty alleviation, include Ha Tinh Rural Development Project (HRDP), which helped many households in Ha Tinh province to escape from poverty, but which also generated a number of innovative poverty alleviation approaches that have been widely replicated by the government and donors in other provinces. For example, the project successfully introduced the new approach of community self-implementation of infrastructure schemes. Another impressive model of community empowerment demonstrated by the HRDP is the development of community-based organizations (CBOs). Water use associations, introduced by the International Fund for Agricultural Development (IFAD) in Tuyen Quang Province and replicated under HRDP, have also been institutionalized by the Government’s National Strategic Framework for Participatory Irrigation Management in 2004 UNDP (2008:162). The project contributed significantly to enhancing the

participatory management capacity at the community level through capacity building of community development boards (CDBs) elected by the community, with representatives from the villages and mass organizations to oversee implementation of the community development plans. The project also developed various CBOs, such as water users' associations, market management boards and school management committees established to manage the operations and maintenance of the specific schemes.

Similarly, the transition economies of Eastern Europe and Central Asia have also made remarkable progress in poverty alleviation, using inclusive community development strategies.

There are many factors that contribute to the mixed results on poverty alleviation worldwide, for example social, political, exclusive policies, high unemployment, lack of access to basic education, poor health states – HIV and Aids, lack of enforcement of legal rights, and/or limited or no involvement of civil society organizations in the implementation of poverty alleviation programmes. In support of the latter assertions, Sachs (2005) lists the following economic factors that undermine or act as obstacles to poverty alleviation: high unemployment, heavy external debt, trade system barriers, and high levels of income inequality and commodity dependency. Lack of coherence between national and international policies and an inadequate international enabling environment that works to the disadvantage of developing countries exacerbate the poverty dilemma.

The researcher of this study proposes participatory strategies and programmes driven by the poor themselves as a way of alleviating poverty. Thus, for long-term, sustainable poverty alleviation programmes, the involvement and participation of civil society organizations is absolutely essential in ensuring that the implementation is driven by the poor themselves as a way of taking ownership for the improvements in their lives. The latter must be based on and guided by an inclusive well-planned, broad-based and coordinated strategy.

#### **4.4.3 Poverty alleviation Programmes in Selected Countries in Africa**

Historically, Africa has been subjected to unprecedented levels and intensities by Western imperialistic or colonial governments for decades. During this period of colonial rule, the African public administration was characterized by compliance to rules and regulations without focusing on the needs of the people. Structures were hierarchical, prohibiting lower-level participation, particularly at community level. The culture was suppressive with no development. Primarily the motives and interests of colonial governments were to extract the minerals and other raw materials, ship them abroad, and resell them as finished products in Africa again. The latter approach opened a huge market for the world's imperialists, without any deep-seated motive or intention to develop the indigenous population of Africa. For this practice, the imperial Western governments - Britain, Germany, France, Portugal, Spain, etc were rightly called "the rape of Africa" by some liberal historians. This laid the foundations for the impoverishment of the African continent, and the flourishing slave trade.

As a way of soothing their probably tortured conscience, they adopted policies that pumped a lot of food, clothing and education materials back into Africa. To a large extent, even during the 21<sup>st</sup> century, the practice of rich First World countries is to donate some large sums of money to poverty-stricken Third World countries, and also food parcels. Consequently, the high reliance on welfare-model practice by Western rich governments has not succeeded in alleviating levels of poverty, illiteracy, poor health, nor assisted in increasing economic growth, productivity levels and prosperity levels.

African countries are searching for better ways to deal with the economic crisis they are facing. As they continue to find better ways to deal with this crisis, there is growing concern whether their public administration systems have the potential to contribute to recovery and development. A review of public administration systems in most African countries reveals that they are as much in crisis as the economic crises they are trying to rectify. The preliminary results of poverty alleviation policies, programmes and strategies implemented in these African countries also indicate that

they were neither developmental nor participative in enabling involvement of civil society organizations in the implementation process. Visibly, they were palliative and welfare-focused. There was very little influence of public policy by the poor. As such policies were not responsive to the needs of the poor. There was very little empowerment of the poor with development programmes driven by donor agenda or the state. Seemingly, this finding explains why poverty levels are still on the increase despite liberal foreign aid donations by First World countries.

The attainment of independence ushered in great development expectations as well as new and increased responsibilities. Except for Morocco, Egypt, Ethiopia, Liberia, Sudan and Ghana, the rest of African countries have only been independent for less than twenty years. This very short time has been a time of tremendous, rapid and often traumatic changes. These countries have experienced a change from an inward-looking approach to an outward-looking approach. Emphasis has been on responsiveness to the needs of the people as opposed to a rule-bound approach. If Africa has to reach the MDGs goal of halving poverty by 2015, new poverty alleviation policies, programmes, strategies and models that are holistic, inclusive, empowering, sustainable and driven by the poor should be considered.

#### **4.4.3.1 Ghana's Poverty alleviation Programme**

The International Poverty Centre and World Development Reports (2005, 2006 and 2002, 2003, 2005 respectively) indicate that poverty levels in Ghana are at a moderate level compared to extremely poor economies like Ethiopia, Sudan, Zimbabwe, Swaziland, etc.

The success of Ghana in implementing poverty alleviation programmes could be attributed to the approach they took in developing policy options to address poverty. Community consultations that were made clearly indicated that poverty, particularly in the rural areas required actions that were directly focussed on the fundamental causes of poverty and the inequitable distribution of the benefits of society. There was therefore priority action to redress the exclusion of the poor, particularly those in the rural environment. Clear guidelines were developed with a focus in decision-

making and the application of participatory planning at all levels. The Participatory Poverty Analysis conducted clearly showed that local communities had an important part to play in development decision-making and had a commonsensical approach (GPRS, February 19, 2003)

In Ghana 52% of the labour force, aged between 15 and 64 years, is self-employed in agriculture, 37.4% works in the non-agricultural informal economy and 13.7% works in the formal sector or private employment. Despite the reasonable record of per capita growth in current years, Ghana's economy has failed to provide new and better employment opportunities and also to fully utilize the total country labour force. Poverty levels comparatively with other developing countries have not declined or improved reasonably. The majority of employment opportunities continue to comprise of low-income agricultural and informal activities. Recently, formal and private sector jobs declined, resulting in persistent, unemployment, underemployment, and low growth, which fuelled structural and low income poverty (International Poverty Centre Report, no 2, 2006, ILO, 2003, 2005). Consequently, the persistence of informal and precarious, low-pay jobs has compromised Ghana's economy to translate economic growth into broad-based poverty alleviation (see Oduro and Osei-Akoto, 2008; Powell and Geoghegan, 2006, Barr, 2005; Binns, Porter, Nel and Kyei, 2005; Agostino, 2005).

As stated earlier, Ghana's economic and poverty pattern are comparatively progressive, but there are still areas that can be described as pockets of poverty, characterized by extreme infrastructural deprivation, such as Tabe Ere and others. Currently, Ghana's economy is market-driven, and with promising activities managed by civil society structures. Across Ghana poor households use a wide diversity of livelihoods and coping strategies such as selling their cows in times of need, gathering and selling wood, supplying sand gravel to masons, making and selling kitchen fans, etc.

Special partnership programmes with civil society and private sector organizations were developed by mid 2003. These focussed on areas where non-governmental



and private sector organizations had historically been lead players for example, early childhood development, alternative education and vocational and technical training. Government stimulated direct service provision by the traditional providers, namely, non-governmental and private organizations through strengthening its own role in policy development, training of caregivers, regulation and co-funding through existing social investment projects. Like most poverty-stricken African countries, Ghana is experiencing sporadic poverty alleviation that needs to be more accelerated and increased, given sufficient funding and developmental direction by the government and the First World donors of development aid (The International Bank for Reconstruction and Development, 2002, World Bank Report, 2002; ILO's Reports 2003, 2005, 2007).

#### **4.4.3.2 Nigeria's Poverty-Alleviation Programme and its Effectiveness**

Nigeria is Africa's most populous country with over 132 million people. Since its independence in 1960, Nigeria has been subjected to decades of political turmoil and intense violence at times, which were related to civil war and successive military coups. Furthermore, Nigeria experienced frequent ethnic and religious rifts and disputes. In February 1999, former military ruler Olusegun Obasanjo won the first presidential election in more than fifteen years of a military government rule that had deep roots of corrupt, repressive and undemocratic leadership.

Nigeria, like Angola, has vast oil reserves and a reasonably well-developed infrastructure, but prolonged years of economic mismanagement, macro-economic instability and widespread corruption have arrested the country's socio-economic development prospects and fuelled sharp rises in poverty levels countrywide (see The International Bank for Reconstruction and Development, 2002; Lufumpa, 2005; ILO's Reports, 2000, 2002, 2004, 2005, 2006).

Although the Obasanjo-led government tried hard to introduce and implement reforms at an accelerated pace, the damage incurred from the previous corrupt public administration was too deep to be reversed in a short period of time. Consequently, poverty levels increased steadily over the years. For example, the



results of Nigeria's last poverty measurement in 1980 indicated a poverty rate of 27.2%, which translates to 18 million people classified as poor.

The poverty rate rose sharply again in a 1996 survey. It indicated that 67 million people were poor, with 30 million of these people being extremely poor with no food sustenance. About 35% of the Nigerian population is classified as the poor of the poorest, jobless, surviving on alms, and some are homeless. Poor governance, characterized by corruption and low economic performance, and inadequate involvement of civil society organizations seem to be common explanation for high levels of poverty in an oil-rich country (The World Bank, 2002; Adekola and Olajide, 2005).

A general overview of the existing poverty alleviation programmes in Nigeria shows that the government has introduced a wide variety of such programmes, with varying measures of success. Evidence shows that various economic empowerment programmes have been adopted to improve the socio-economic conditions of the people. Despite these programmes, poverty still exists mainly among Nigerian youth, especially in the urban communities.

Research indicates that the Nigerian government has established more than seventeen poverty alleviation institutions between 1986 and 2004. Such poverty alleviation programmes consisted of structural adjustment programmes, River Basin Authorities, Urban Mass Transit Scheme, Low Cost Housing, People's Bank, Community Bank, National Directorate of Employment, Family Support Programme, Family Economic Advancement Programme, National Poverty Alleviation Programme, Youth Empowerment Scheme and, most recently, National Economic Empowerment Development Strategies. Seemingly, government in Nigeria during the period 1999-2007 was highly committed to the socio-economic upliftment of its people. For example, Obasanjo's economic direction's pledge stated that: *"...the pursuit of poverty alleviation shall be a first priority and shall be adopted as a means and an end for the achievement of accelerated economic growth and the eventual elimination of poverty generally"* (Adekola and Olajide, 2006:124)".

To realize the goals of the latter pledge, the Nigerian government released N10 billion for use towards poverty alleviation. The government further created over 200 000 jobs in the 2000 fiscal year, with provision for an increase in the subsequent years. Provision was made for expanded training and the settlement of at least 50% of tertiary institution graduates, estimated at 130 000 per annum. While these programmes looked very impressive, it is important to note that poverty levels in Nigeria are still very high. The effects of debts from the IMF and the World Bank have a serious impact on the economy of Nigeria. Poverty alleviation is driven mostly by the government through policies and market-driven economic practices with less participation of community structures and institutions. The literature review indicates that more participative involvement of community structures in poverty alleviation are effective as in the case of China, India and Vietnam.

#### **4.5 EMPOWERMENT AS A VARIABLE FOR IMPLEMENTATION OF POVERTY ALLEVIATION**

Many researchers in the field of development believe strongly that the adoption of appropriate approaches that focus on the empowerment of communities lead to greater success (see Narayan, 2002; ANC – RDP, 2008; Barr, 2005; Bhorat, and Cassim, 2004; Callahan, 2007; Du Toit, 2005; Kroukamp, 2006; Nissanke & Thorbecke, 2008; Lufumpa, 2005; Prem- World Bank, 2002; De Janvry & Sadoulet, 1995; Africa, 2004).

The challenge faced by a researcher in this field is to identify key elements or strategies of empowerment that recur frequently, consistently across socio-economic and institutional context. The empirical review indicates that there are thousands of poverty-alleviation empowerment approaches that have been initiated by governments and poor people themselves, civil society, and the private sectors. However, it seems that these approaches have not been based on deliberate choice planning, participation and involvement of civil society organizations, hence the need to implement such approaches in alleviating poverty in South Africa.

According to Narayan (2002), successful inputs to empower poor people and their communities are based on four main key elements, namely: access to information, inclusion and participation, accountability, and local organizational capacity. These key elements will be discussed below:

#### **4.5.1 Access to information**

Researchers in the field of poverty alleviation worldwide support strategies that encourage access to useful information by the poor (see World Development Reports, 2000, 2001, 2003, ILO Reports, 2003, 2005; Sachs, 2005; Narayan, 2002; Prahalad, 2006). Similar trends are followed by South African development and poverty researchers and practitioners (see Du Toit, 2005; Lufumpa, 2005; ANC-RDP, 2008; Meth & Dias, 2004). Essentially, the partnership of civil society organizations and government seeks to create a two-way information flow from government to citizens and from citizens to governments in terms of socio-economic education, new business opportunities, financial resources, training, and development ventures. Hopefully, informed citizens are empowered citizens who can take advantage of developmental opportunities, access services, negotiate business opportunities, exercise their rights and hold government and civil society organizations leaders accountable for progress or lack of progress (Narayan, 2002; Van der Molen, Van Rooyen and Van Dyk, 2001).

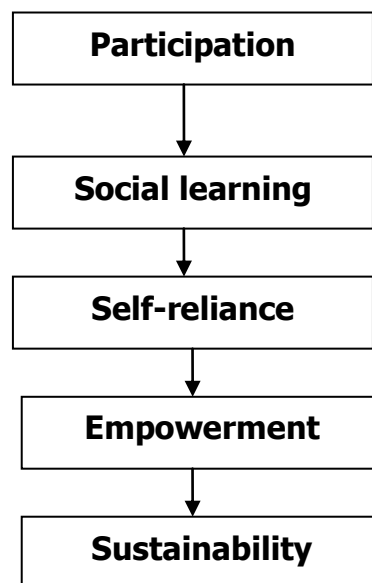
Consequently, without relevant information that is timely and presented in a meaningful way, it becomes difficult for the poor to be empowered to the extent that they are able to access opportunities that will have sustainable positive impact on their socio-economic conditions. It is for this reason, therefore, that the researcher of this study seeks to analyse the extent to which civil society organizations have participated in poverty alleviation and particularly information dissemination by leaders of civil society organizations as a way of empowering.

#### **4.5.2 Inclusion and Participation**

South Africa is one of the four countries in Africa that are classified in the upper income earning as indicated earlier. Despite this favourable rating, South Africa has

a long history of social exclusion and social stratification of its people during the apartheid regime. Consequently, it has skewed demographic patterns currently estimated as follows: 2% affluent or rich citizens, 10% middle class citizens, the well-earning group, and a marginalized 88% lower social strata, who eke out an existence.

According to Narayan (2002), the poor can benefit and be empowered effectively, provided that they participate and are part of every level of democratic and developmental government's activities, including development and implementation of policy, legislation and strategies aimed at empowering the poor themselves. Korten & Klaus, 1984, cited in Liebenberg and Steward, (1997:38), state that participation is both a means and an end in the process of development. Participation is also a social learning process through which participants in the development process learn to be effective, learn to be efficient, and learn to expand. This can be illustrated in this figure (Lienberg & Steward, 1997:38):



**Figure 1: Participation process and its outcomes (Re-configured 2010)**

To achieve participation, there is a need for a paradigm shift, that is, a completely non-bureaucratic and decentralized government decision-making approach. In support of the latter view, Narayan (2002:19-20) maintains that "... sustaining poor people's participation in societies with deeply entrenched norms of exclusion or in

multi-ethnic societies with a history of conflict is a complex process that requires new institutional mechanisms, resources, facilitation, sustained vigilance and experimentation". These observations are very relevant and valid for the South African society, with its long history of racial discrimination, conflicts, exclusion of the poor, particularly blacks, and great disparity in income levels and employment opportunities. Under such demanding and unfavourable social conditions, most governments or agencies revert to centralized decision-making and holding prolonged endless public meetings without any impact on implementation of poverty alleviation policies and programmes. Thus, participation then becomes yet another costly practice imposed on civil society organizations and the poor people without any positive outcomes or progress.

Research indicates that the inclusion of poor people and other traditionally excluded groups could be problematic and complex in terms of setting priorities, facilitating change and building capacity as a way of facilitating commitment to transformation and change. Group participation situations and decision-making are often accompanied by frequent disagreement, conflict and resistance to change. Evidently, there is a need to provide conflict resolution mechanisms, experiential learning and basic communication to manage disagreements and perceptions.

There is also the problem of choice of suitable participation mechanisms by the poor. Narayan (2002) indicates that participation can be in a wide variety of forms, for example direct participation, representational participation by selecting representatives from membership-based groups and associations, political through elected representatives, information-based participation, with data aggregated and reported directly or through intermediaries to local and national decision-makers, and, lastly, competitive market-based participation mechanisms, for example, by removing restrictions and other barriers, increasing choice about what people can grow or to whom they can sell or by payment for services selected and received.

Based on the literature reviewed, it is clear that South Africa's challenge to poverty alleviation is the apparent exclusion of the poor in many projects, processes and

practices designed to empower them. Government has spent billions of rand on a number of poverty-relief projects targeting the poor and the marginalized and implemented by civil society and communities themselves. However, there is little evidence of the impact of these poverty alleviation programmes, particularly the effect of participation and involvement of civil society organization in poverty alleviation programmes. More in-depth research needs to be conducted to evaluate and analyze how civil society organizations involved in development and poverty alleviation since 1997 are delivering vitally needed services to the jobless and poor citizens.

### **Accountability**

Success in poverty alleviation depends to a great extent on how responsible, committed and accountable both government and civil society organizations leaders are. Narayan (2002) explains the concept of accountability as referring to the ability to call public officials, private employers or service providers to account, requiring that they be answerable for their policies, actions and use of funds designated for poverty alleviation or development of the poor people. Unfortunately, the African continent, including South Africa, is characterized by corruption, involving government officials in many departments and abuse of office for private gain. The latter is a chronic problem and practice that cripples the poor people most and possibly leads to ever-escalating levels of poverty or, as commonly expressed, "...the rich get richer, while the poor get poorer".

Three main types of accountability mechanisms are proposed by Narayan (2002), namely political, administrative and public. In most cases, political accountability of political parties and representations is executed through elections. Administrative accountability of government agencies is carried out in internal accountability audits or mechanisms both horizontal and vertical within and between agencies, while public or social accountability mechanisms hold government agencies accountable to citizens. Social accountability can reinforce political and administrative accountability mechanisms.

Seemingly, a wide range of tools exists to drive greater accounting towards citizens' public actions and results. In general, access to information by citizens builds more pressure for an improved rate of service delivery, governance, transparency and accountability, such as setting priorities for national expenditure, providing access to quality houses, schools, hospitals, shopping centres, roads, clinics, job creation opportunities, medicines supplies, security and safety services, etc.

The poor also need access to legal protection, justice and quality education to improve their lifestyles. The latter can be speedily achieved through an active and healthy partnership between civil society organizations and government efforts at community and family interactions and service delivery levels. In South Africa, the local government's integrated planning and development strategy can ensure maximum citizens' participation in poverty alleviation. However, at present there is no satisfactory feedback on the effectiveness of civil society's role in poverty alleviation. Perhaps limited capacity, leadership and management practices could be provisionally advanced as reasons for lack of progress in poverty alleviation over the years.

### **Local Organizational Capacity**

Across the world, local organizational capacity is recognized and accepted as key for development effectiveness and empowerment of the poor. Practitioners in the field of human empowerment explain local organizational capacity as the ability of people to work together, organize themselves and mobilize resources to solve problems of common interest. For example, the poor and the jobless reach out to each other to co-operate to work jointly, outside formal systems, to solve common survival problems (Narayan, 2002; Sachs, 2005; Binns et al.).

Many informal organizations in South Africa are working collaboratively to alleviate poverty or to render financial support, for example, stokvels, megodiso (savings schemes), women societies, bank-sponsored societies; food parcels distribution clubs, etc. These organizations are, however, poorly co-ordinated and do not necessarily focus on the creation of employment opportunities as a strategy for

poverty alleviation. Several studies have made the fundamental point that sustained poverty alleviation can be achieved only by a process that creates productive employment. Zepeda, Alarcon, Soares and Osorio (2007:6) warn that it is not the case, however, that employment creation in any form leads to a rapid and sustained alleviation of poverty. The character of job creation and productivity enhancement needs to give the poor access to economic opportunities. Zepeda et al. (2007:6), citing the work of Khan (2001) and Osmani (2006) on employment and poverty, indicate a chain containing five links. First, the economy needs to grow – Osmani calls this the growth factor. Second, growth needs to create jobs, i.e. the employment elasticity of growth needs to be relatively high. This means, in Khan's terms, as cited by Zepeda et al. (2007:6) an elasticity that is not as low as to exacerbate the scarcity neither of job opportunities nor so high as to militate against increases in productivity. Third, while the quality of jobs created is important, efforts cannot be centred on good quality jobs, i.e. formal, full-time, well-paid wage jobs. Activities in the informal sector that create wage employment and increase opportunities for people to employ themselves must also be considered. Fourth, for growth to benefit the poor, the wages of poor employees as well as the incomes of the poor self-employed need to increase based on productivity enhancements. Fifth, poor workers need to be able to benefit from the creation of new wage jobs and widening opportunities for more rewarding self-employment activities.

Bohlmann, Du Toit, Gupta and Schoeman (2007:1) assert that policy-making in South Africa has to find a new paradigm – one where employment creation and resultant poverty alleviation is not merely accepted as a by-product of economic growth, but where employment creation is viewed as a key accelerator of economic growth. Social development targeted at mobilizing and empowering the unemployed needs to constitute the backbone of any growth, employment and redistribution policy. The focus should be on designing and implementing policies that truly empowers and mobilizes this untapped potential of society towards spurring higher levels of future economic growth rather than merely awarding handouts.



#### **4.6 THE ROLE OF SOUTH AFRICAN LOCAL GOVERNMENT IN POVERTY ALLEVIATION**

The current literature on poverty alleviation measures in South Africa indicates that at national government level there are abundant policies, acts and strategic programmes aimed at realizing both the principles and policy programmes of RDP. However, there is an indication that the existing bottleneck to the flow and delivery of services to alleviate poverty seems to be at local government level.

The local sphere of government in South Africa is often referred to as grassroots government due to its proximity and intimate relationship with the communities it serves. On general terms local government can be regarded as a government institution that is at the lowest level in government hierarchy (Van Nieker, van der Waldt and Jonker, 2001:87). Various policies have been developed to facilitate poverty alleviation and development at local level. At the centre of any development is citizen participation. The effectiveness of public policy depends on the ability of the people to participate throughout the public policy process. The Municipal Structures Act (1998) and the Municipal Systems Act (2000) established the broad principles for a system of participation democracy. The Municipal Systems Act (2000) emphasizes three elements:

1. The municipality must foster participation in
  - a. integrated development planning
  - b. the evaluation of its performance through performance management
  - c. the budgetary process and
  - d. strategic decisions around service delivery
2. The municipality must enable participation through capacity building in the community and of staff and councillors.
3. Funds must be allocated and used for the above purposes

The Municipal Structures Act (1998) provided for participation through structures like ward committees. Furthermore, the Integrated Development Planning process provides an opportunity for citizens to identify their development needs and priorities

to ensure that local government is responsive in addressing the needs of the people. Planning process is critical to development. Community-based planning in particular serves a number of purposes. First, it builds a sense of community, becoming an organizing process. Second, it educates residents on what resources and threats exists on their neighbourhood. Third, it builds community power, allowing residents to determine what kinds of development they want and thus better repel speculators. Finally, it helps residents plan for the ideal, without regard to limitations imposed by elites.

As early as 1998, the White Paper on the role of local government to alleviate poverty and to improve the quality of citizens' lives was published. Vyas-Doorgapersad and Muller (2006:1) indicate that given the role of local government of reducing historical socio-economic backlogs through the acceleration of service delivery to local disadvantaged communities, it has become vital that a strong synergetic partnership between central and local government, civil society organizations and private and donor communities be galvanized to rectify associated inefficiencies.

There is no doubt that the local government authorities are strategically the most relevant source of implementation of poverty alleviation policies and legal directives. However, literature indicates a number of challenges faced by the local government. These relate to corrupt local government officials, embezzlement of funds targeted for poverty alleviation, nepotism practices, poor monitoring and evaluation, leaving decision-making to civil society organizations with poorly trained personnel, limited involvement of the poor people in the implementation of projects, etc. One of the stumbling blocks at local government level is the poor performance of ward councillors in managing ward committee structures to deliver services. These structures are composed of over ten members with different functions focusing on economic activities, political education, women affairs, old age issues, education, health and social development. There is no doubt that if these structures at local government were effective in their functions, poverty alleviation programmes would be sustainable.

In summary of this review at local government level, it can be asserted that over the years, this structure has failed to alleviate poverty levels to the level that is satisfactory, and to expand infrastructure, hence there are so many riots and strikes in many of South Africa's municipalities. Poor management and leadership are the main reasons cited by dissatisfied citizens. It is for this reason, therefore, that evaluating the role of civil society organizations in poverty alleviation, which is the focus of this study, should also analyse management and leadership in these institutions.

#### **4.7 SUMMARY AND CONCLUSION**

Viewed broadly and comparatively, this empirical review has established that poverty levels are high worldwide with 850 million people being classified as extremely poor, especially in Latin America. About 8 million people per year die due to lack of food sustenance. With the ever-escalating food prices worldwide, it means that more people will continue to die. Some countries are strategically in a more favourable position to realize the MDGs' target set for 2015.

Continentially, however, the African continent has large pockets of chronic poverty, entrenched over a long period of time, that is, from the colonial era to date. Africa's economy grows slowly, while its population grows fast and huge. Furthermore, a majority of African public administrations experience governance challenges, with some leaders ignoring economic development. Limited infrastructure, literacy levels and less sophisticated technology and budget constraints continue to compromise poverty alleviation measures. Children and women worldwide and in Africa in particular are more exposed and affected by poverty (Du Toit, 2005; Sach, 2005; World Development Bank: MDGs' Chart, 2005; Oosthuizen and Nieuwoudt, 2003). Un-democratic practices and exclusion seem to be the reasons for high levels of unemployment among women and youth.

The poverty levels in South Africa are comparatively low despite the fact that the country has been experiencing economic growth. Since the political transition in

1994, public policies to address South Africa's inequalities and poverty have been pursued through RDP and a variety of legislative initiatives. However, the government's ability to address social problems has been constrained by its commitment both to implement strict fiscal policies and to pursue structural economic reforms, which inevitably have short-term social costs. Furthermore, the implementation of government policies has been negatively affected by the lack of capacity and involvement of communities at the local level. It is evident from the literature review that, notwithstanding the fact that access to formal sector employment is an important factor in improved levels of income, South Africa has been less successful in addressing employment creation to the extent that it alleviates poverty and inequality.

Although government has committed itself to working in partnership with civil society in implementing its policies, it seems as if this has not been as effective as expected. Thus the central objective of this present study is to analyse how civil society organizations implement poverty alleviation programmes in collaboration and partnership with government and the extent to which this relationship ensures empowerment and sustainability. Hopefully the findings of this study will throw more light on how to improve the implementation of poverty alleviation programmes so that through this process the poor are empowered and the effects of poverty alleviation are sustainable. Sustainable poverty alleviation programmes are critical in ensuring that the poor do not fall back into poverty trap.

## CHAPTER FIVE

### RESEARCH FINDINGS AND ANALYSIS

#### 5.1 INTRODUCTION

This chapter deals with the results of the qualitative and semi-quantitative data analysis of the study. More specifically, the findings of the study are interpreted and discussed broadly. The responses and views of respondents from one hundred (100) civil society organizations are grouped and discussed according to major protocols of the study's questionnaire. There are forty-seven variables or factors to be analyzed and reported on. These factors are grouped according to the following: organization information; beneficiaries of the programmes implemented by the civil society organizations; planning, integration and accountability; as well as sustainability and empowerment.

The research question that guides this study is:

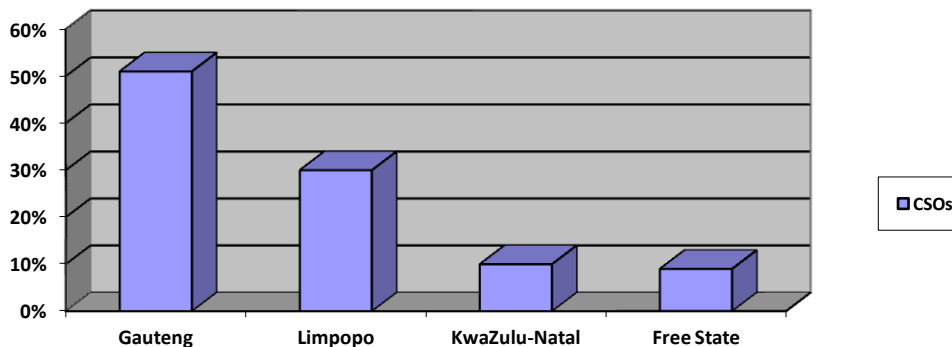
**"...To what extent has government's collaboration and partnership with the civil society organizations in the implementation of poverty alleviation programmes ensured empowerment and sustainability**

Thus, the aim of this study is to analyse how civil society organizations implement poverty alleviation programmes, focusing specifically on the process they follow in the implementation of programmes, the challenges they experience and whether the programmes implemented are empowering and sustainable. The Department of Social Development is one of the most critical departments with a mandate to alleviate poverty. In implementing poverty alleviation programmes, the Department of Social Development has built partnerships with various civil society organizations that act as delivery agents or implementers of various policies and programmes; hence this study focuses on civil society organization working in partnership with the Department of Social Development. Public policy implementation continues to hold much practical interest for policymakers because it is a major stumbling block in policy process.

The complexity and difference in size and roles of civil society organizations implementing poverty alleviation programmes required the use of various data sources as indicated in Chapter two. As such, in addition to data collected using a multi-factorial questionnaire, secondary data were also sourced. Furthermore the study used both the qualitative and semi-quantitative research approaches to analyse how civil society organizations implement poverty alleviation programmes and whether poverty alleviation programmes implemented by CSOs are empowering and sustainable.

## 5.2 BRIEF DESCRIPTION OF SAMPLE

The researcher used mainly purposive and theoretical sampling techniques to select respondents for questionnaires, as they were found to be more suitable for qualitative research purposes. A total of one hundred and eighty (180) questionnaires were distributed to civil society organizations implementing poverty alleviation programmes in partnership with the Department of Social Development in all nine provinces in South Africa during 2007. Out of these, a total of one hundred and twenty (120) questionnaires were received, representing four provinces as indicated in the graph below:



**Graph 1: Number of CSOs per province that responded to the questionnaire (Source: Vuyelwa Nhlapo, December 2009)**

Twenty (20) of the completed questionnaires were discarded since they were not fully completed. But one hundred (100) questionnaires (83%), were correctly completed and useful for this research's purpose, while the twenty (20) discarded questionnaires represented seventeen percent (17%). Thus, this study's findings

comprise the views, responses and perceptions of one hundred (100) representatives of civil society organizations. The highest number of CSOs from Gauteng is a reflection of the provinces (Gauteng and Western Cape) with historically strong CSOs and constituting over forty five percent (45%) of their budget to CSOs (National Treasury, 2005/6-2011/12).

Provincial officials of the Department of Social Development helped in the distribution and collection of questionnaires. They were deemed reliable, well educated and also willing to explain fully the purpose of the research to CSOs representatives. Furthermore, the representatives of CSOs that completed the questionnaire were staff members at a managerial level. These representatives included directors, CEO's, liaison officers, church leaders, community-leaders and others (see: Appendix 3. Research Questionnaire Factors' Analysis of 100 civil society organizations chapter 5).

Literature was reviewed to get an understanding of strategies and approaches used by selected countries in alleviating poverty. The extent to which the selected countries involved civil society organizations in implementing poverty alleviation programmes was also reviewed. The document study included reviewing reports compiled by the Department of Social Development and other agencies like the National Development Agency and Auditor-General South Africa as well as reports on progress in the achievement of MDGs. The presentation and analysis of the data follow below. The hypothesis for the present study was stated as follows: **Poverty alleviation programmes implemented by civil society organizations in collaboration and partnership with government are empowering and sustainable.**

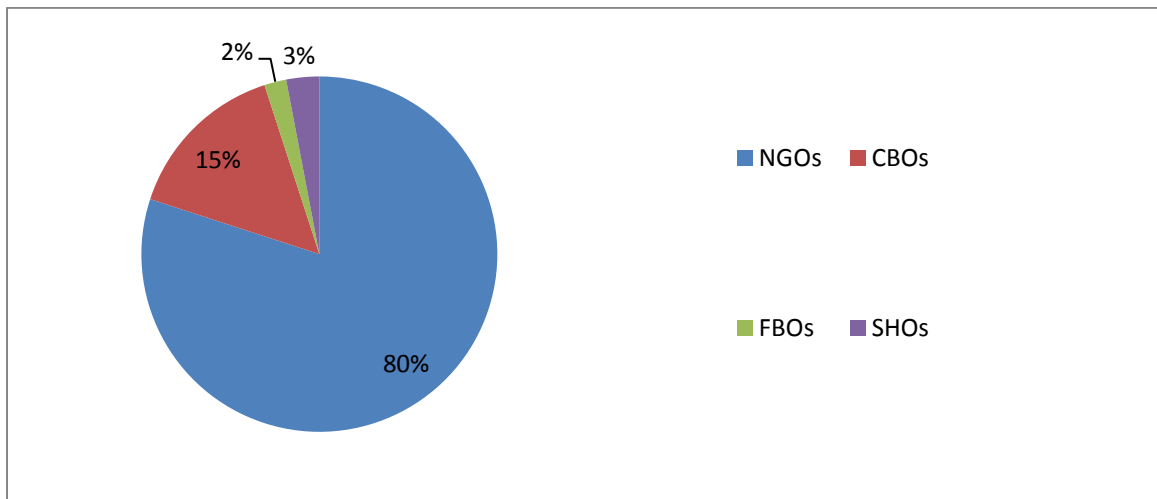
### **5.3 INTERPRETATION AND DISCUSSION OF RESULTS**

The analysis of the research data follows a qualitative approach, with a semi-quantitative approach in the form of percentages of responses of questionnaire respondents. Furthermore, the use of charts is applied to augment written descriptions of this research report.

### 5.3.1 Civil Society Organizations Information

#### 5.3.1.1 Participating Organizations' Classification and Registration Status

According to the results of the analysis of one hundred (100) civil society organizations that participated in this research study, eighty percent (80%) were non-governmental organizations (NGOs), fifteen percent (15%) were community-based organizations, two percent (2%) were faith-based organizations and three percent (3%) were self-help organizations. Since participation in this research was on a voluntary basis, very little control was exercised to ensure a balance in the number of participating civil society organizations (see pie chart below):



**Chart 1: Classification of CSOs respondents (Source: Vuyelwa Nhlapo, December 2009)**

The higher number of participating NGOs supports evidence from a number of reports compiled by the Department of Social Development, which indicate that very few CBOs work in partnership with the Department of Social Development in implementing poverty alleviation programmes. Instead, these programmes continue to be implemented by NGOs. Research indicates that CBOs have a better understanding and knowledge of community problems than NGOs that may not represent the communities within which they function.

Similarly, the spread of civil society organizations that participated in the research study was very skewed geographically: 51% Gauteng, 30% Limpopo, 10% KwaZulu-



Natal, 9% Free State. Thus, the views expressed do not cover the entire South Africa. All civil society organizations that participated in the study indicated that they were registered in terms of the NPO Act of 1997.

### **5.3.1.2 Civil Society Organizations' Vision Statement**

The direction and purpose of any organization or institution are reflected in its vision, mission, values and objectives. Vision is what keeps an organization focused on the future even against discouraging odds. It is the most powerful motivator in an organization.

All civil society organizations had a vision statement that indicated the direction each organization wanted to take. Viewed collectively, the vision statements of eighty percent (80%) of civil society organizations indicated the creation or development of a healthy and empowered society. Caring and support of HIV and Aids sufferers featured prominently in these vision statements. Further, their vision statements reflected an HIV and Aids-free society, or well-managed and/or reduced HIV and Aids. Only twenty percent (20%) indicated vision statements that reflected the development of self-reliant individuals and communities, including human capital development and addressing income poverty and/or unemployment. The focus on health issues, particularly HIV and Aids, could be attributed to the rising levels of HIV and Aids in South Africa, the policy decisions of government in addressing HIV and Aids and the perception that government is not doing much to address this scourge - hence the need for civil society organizations to scale up programmes addressing the epidemic. The focus on HIV and Aids could further be attributed to the fact that the fundamental drivers of this epidemic in South Africa are the more deeply rooted institutional problems of poverty and underdevelopment and the low status of women particularly in the rural areas.

### **5.3.1.3 Civil Society Organizations' Mission Statement and values**

The mission explains why an organization exists. It is a formal short written statement that articulates the purpose of an organization. It should guide the actions of the organization, spell out its overall goal, provide a sense of direction and

guide decision-making. It provides the framework or context within which the organizations' strategies are formulated (see [http://en.wikipedia.org/wiki/mission statement](http://en.wikipedia.org/wiki/mission_statement)). A COS's mission statement summarises the good that the organization hope to bring to the world. Eighty seven percent (87%) of organizations expressed mission statements that reflected the purpose of their existence as addressing various aspects aimed at improving the quality of life of beneficiaries. These aspects included education, improving health and creating employment. Prevention, raising awareness and providing care and support to HIV and Aids patients featured prominently on health.

Thirteen percent (13%) indicated mission statements that relate to facilitating development planning, assisting the unemployed to generate income, capacitating individuals and organizations on various aspects relating to managing development projects and improving the quality of life.

Civil society organizations cited a number of values that guide their conduct in implementing poverty alleviation programmes. Values manifest themselves in everything an organization does. They indicate how an organization functions. Values cited by CSOs comprised of high standard of professionalism, treating people with respect, compassion and dignity, equality, high integrity, honesty, confidentiality, excellence and 'Batho Pele' (putting people first) principles. 'Batho Pele' principles are key to the change agenda in South Africa. By embracing these principles civil society organizations indicate their commitment in regarding citizens as central to service delivery. It is therefore encouraging to note that CSOs also regard Batho Pele principles which are part of the policy framework developed to improve service delivery (see Chapter 3), as important in implementing their programmes.

#### **5.3.1.4 Primary or Core Business Objectives of CSOs**

Primary objectives of an organization are the core determinants of an organization's direction. A significant number of the CSOs' core business objectives relate to education, treatment, care and psychosocial support for HIV and Aids sufferers,

socio-economic empowerment, home-based care, crime prevention, and feeding the poor. Seemingly, there is more caring and supporting the sick (74%) than socio-economic upliftment and empowerment (21%). Only 5% cited objectives relating to the prevention of crime and violence in schools and communities. These objectives could reflect social challenges that confront communities within which these CSOs function.

### **5.3.1.5 Types of Sector Programmes or Projects implemented by CSOs**

The majority of organizations (51%) indicated that the programmes/projects they were implementing were focusing on health. Although this was less than eighty percent (80%) as reflected in vision, mission and objectives of various organizations, it was still in line with the majority of organizations that indicated focus on health issues, particularly addressing HIV and Aids and implementing the Home and Community Based Care Programme. The Home and Community Based Care (HCBC) programme, in particular, is part of the social sector Expanded Public Works Programme (EPWP), which is a flagship public employment programme. It creates temporary work opportunities with on-the-job training to improve participants' chances of sustainable employment. Public works programmes can be seen as initiatives that were created in a context of high unemployment, low skills and a large backlog of public services.

Health was followed by education (19%), then agriculture (17%), social development (9%) and food security (4%). Most of the interventions provided by the sampled CSOs related to caring, education and agricultural activities. It is important to note that development projects implemented by civil society organizations funded by NDA during 2007/8 financial year also included agricultural development projects, HIV and AIDS prevention, education and counselling projects, school enrichment projects, skills development and basic job skills as well as social services. These are the social programmes of government that are critical in alleviating poverty and inequality as elements of broader objectives of promoting social development.

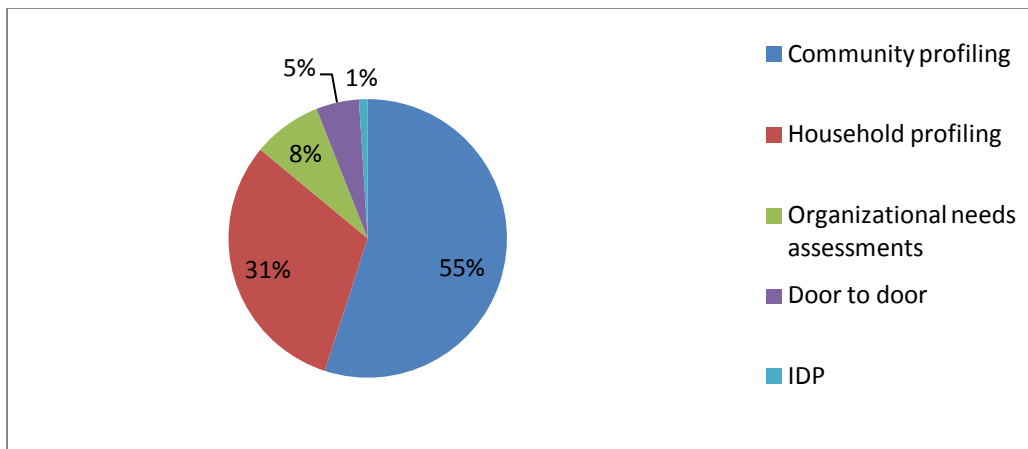
Much evidence suggests that development ultimately contributes to improving the lives of people, thus resulting in people living longer, healthier lives. It is also generally agreed that improved education, empowerment of women, and greater wealth are also associated with better health. It is not surprising that a majority of civil society organizations that responded to the questionnaire were those that deal with health issues and in particular HIV and Aids, which as reflected in Chapter 3 is the biggest challenge facing Sub-Saharan countries including South Africa. The focus on health and particularly HIV and Aids could also be attributed to the fact that research indicates that the majority of development strategies, including the poverty alleviation strategy in South Africa, have mainstreamed HIV and Aids so that resources are allocated to ensure that the response to HIV and Aids is appropriate and adequate.

Furthermore, one of the millennium development goals (MDGs) is to halt the spread of HIV and Aids. The National Strategic Plan (NSP) 2007 – 2011), which is a policy framework aimed at managing HIV and Aids in South Africa, identifies four focus areas (prevention, treatment, care and support, human rights, and monitoring, research and surveillance), which are aimed at improving the lives of individuals, households and communities most affected by HIV and Aids and poverty – a move to develop the country. It should be noted that there is frequently a role for nongovernmental organizations in providing care and support for those affected and this is often an integral part of a multipronged response to the HIV and Aids epidemic. Suggestions from lessons learnt from success stories of tackling HIV and Aids include the importance of an inclusive strategy, based on broad social mobilisation.

#### **5.3.1.6 Methods Used by CSOs to Identify Needs of Beneficiaries and Programmes to address such needs**

According to the responses provided, fifty five percent (55%) of the CSOs identify needs of their beneficiaries through community profiling. This is followed by household profiling (31%), organizational needs assessments (8%), other methods

like door-to-door visits at five percent (5%) and only one percent (1%) through Integrated Development Plans.



**Chart 2: Methods used by CSOs to identify needs (Source: Vuyelwa Nhlapo, December 2009)**

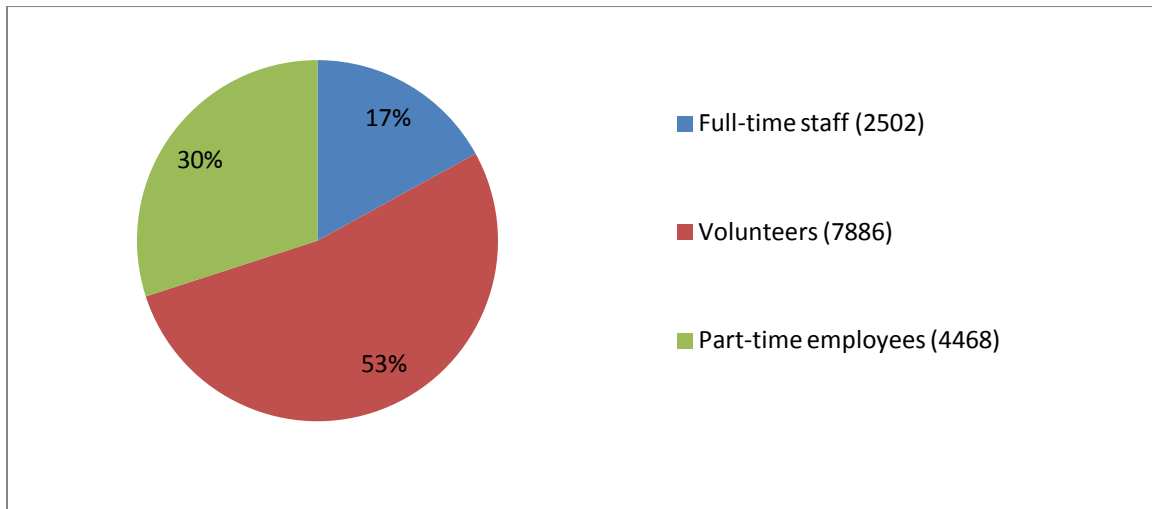
Although there might be a relationship between community profiling and Integrated Development Plans, the limited use of IDP processes as a method for identifying needs, points to a lack of collaboration between local government and CSOs. This could also reflect lack of understanding the role of IDPs. It could also indicate the lack of capacity of the local government in implementing policies like the Municipal Systems Act which emphasizes that municipalities must foster participation in integrated development planning. All levels of government, national, provincial and local must create an enabling environment for civil society organizations to implement public policy and programmes derived from these policies. Local government which is closer to the people must take an active role in working in partnership with civil society organizations to address development issues. In so doing government will indeed be promoting a developmental state that is socially inclusive and promotes public participation. The IDP therefore provides an opportunity for citizens to identify their development needs and priorities to ensure that local government is responsive in addressing the needs of the people. Looking at the methods used by CSOs for identifying programmes, community- based participatory assessments (46%) and community mapping (30%) prove to be the most used methods.

An analysis of responses indicates that eleven percent (11%) of CSO identifies needs through IDPs. It should be noted that consultants (5% of respondents) as well as funding organizations (3% of respondents) also determine what programmes must be implemented. Although these last two methods are not widely used, research indicates that programmes identified by external funders are usually not sustainable. They are likely to be driven by the agendas of the funders and donors as opposed to the needs of communities.

### **5.3.1.7 Staff Complements**

CSOs seem to have very small staff complements. The latter undesirable situation is a limiting factor in reaching out to the millions of poor people in South Africa with possible reference impact on the effectiveness of the programme. Human resources are a key input in facilitating implementation of policy and programmes of any organization. They determine the ability to deliver on the mission of an organization. Lack or limited human resources affect the capacity of any organization to achieve its mission, goals and objectives.

According to the findings of this study, the volunteers constitute the biggest staff complement. Perhaps this is what characterizes this type of institution – a spirit of volunteerism that goes hand in hand with understanding local challenges and the need to address such challenges. Volunteers are most of the time driven by passion to address the challenges faced by communities. This notwithstanding, organizations need to spend a lot of time and money capacitating volunteers who, most of the time, do not have the requisite skills to implement programmes. Volunteers also tend to move from one organization to the other looking for better opportunities. The Auditor General's Report (2009:12) indicates that this movement of volunteers is significant in other projects to the extent that activities of the project cannot be satisfactorily implemented thus resulting in the discontinuation of projects. Consequently, the use of volunteers and part-time staff undermines most of the CSOs' goals of sustainable development and empowerment of the poor people and communities. Part-time employees constituted the second biggest staff complement followed by, lastly, full-time employees as indicated below:



**Chart 3: Composition of staff in CSOs (Source: Vuyelwa Nhlapo, December 2009)**

### 5.3.1.8 Beneficiaries per Age Group

The findings of this study indicate that the elderly aged 56 – 65+ years (18 837) constituted the highest number of people who benefited from poverty alleviation programmes implemented in 2007; followed by those aged 36-55 years (12 221), then children aged 0-18 years (11 416) and the youth aged 19-35 years. Elderly people usually constitute the most beneficiaries of Home Community Based Care programmes because of their vulnerability as a result of deteriorating health conditions, hunger and poverty. This explains why they are the highest number of beneficiaries of these programmes. The age group 36-55, which is the second highest group benefiting from poverty alleviation programmes, constitutes the unemployed poor individuals who possibly are not eligible for social assistance grants aimed at addressing income poverty. It is not surprising, therefore, that this age group benefits more from these programmes.

Children are the fewest of the beneficiaries. It is surprising that they are the fewest beneficiaries of poverty alleviation programmes, given that the socio-economic impact of HIV and Aids results in the increasing number of orphaned and vulnerable children (OVC) and the fact that the social sector in terms of priorities has identified, addressing child poverty as important. This anomaly could be attributed to goals

and priorities that are set by government officials without fully involving the communities who know better their needs. It could also reflect a bottom up approach of implementing policy in the sense that the implementers at the lowest level who are the civil society organizations in this case may change priorities or goals during implementation when they realize there are other pressing issues or problems affecting implementation.

Notwithstanding the fact that research indicates that the youth are the most affected by unemployment, they are however the least beneficiaries of poverty alleviation programmes. Responses of CSOs indicate that 53.5% of their beneficiaries are male as compared to 46.5% female.

#### **5.3.1.9 Identification of Beneficiaries**

The results of this study show that civil society organizations identify beneficiaries of programmes they implement by using various methods and sources. For example, community-based vulnerability assessments are used mostly (30%). Civil society organizations also rely on government departments to identify beneficiaries. These government departments include the Department of Health (15%), the Department of Social Development (9%) and the Department of Education (6%). It is evident that CSOs also use participative methods to identify beneficiaries, for example, they indicated that they use community structures (10%), household profiles (23%) and other methods like door- to- door visits which enable them to identify the needs.

#### **5.3.2 Planning, Integration and Accountability by CSOs**

##### **5.3.2.1 Structural needs addressed by CSOs**

According to the findings of this study, CSOs collectively are addressing disadvantaged communities' developmental needs (77%) and those of community-based organizations as "agents" of transformation and change in society. It seems that there is minimal (7%) collaboration and coordination of services between the CSOs and the local government to address challenges of the communities despite the fact that CSOs cited some benefits in participating in IDP processes. Such



benefits included enabling CSOs to acquire problem-solving skills, networking with experienced colleagues and enabling them to identify community service delivery needs faster and accurately. Coordination is critical to collective development. Where there is collective will development is sufficiently strong and seeking expression. Research indicates that only those initiatives that promote collaboration will gain momentum and multiply. Furthermore, participation in IDPs is critical to participative governance.

CSOs cited a number of limitations that prevented them from participating in Integrated Development Plans of local government. The results of this study identify ineffective communication between local government and CSOs stakeholders as the major obstacles or limitations in participating in the IDP process (30%). Some obstacles or limitations were low participation levels by representatives of CSOs (10%). Other challenges included ineffective planning by local government to enable CSOs to participate in the IDP meetings. Such challenges related to logistical arrangements that included meetings not convened regularly (10%), no meeting venues (10%), time constraints (10%) and transport costs (20%).

Ten percent (10%) of CSOs did not see the benefit of participating in integrated development plans of local government despite the fact that IDPs would provide CSOs with an opportunity to understand the environment within which they operate and enable them to integrate their programmes with other development partners. This is critical not only in ensuring that CSOs are responsive to the needs of people, but also to ensure that they adapt to the changing environment. This will ensure that CSOs are constantly up to date with the demands of the environment and are well capacitated to deal with such demands. These results highlight the need for developing effective strategies for more integrated and coordinated implementation of programmes, particularly with local government, which is at the coal face of service delivery.

A number of CSOs, however, indicated that they were working closely with other organizations addressing the same needs as they were. In most cases these

organizations were those that are implementing programmes supported by the social sector departments (Health, Education, and Social Development). For example, organizations implementing the HCBC programme indicated that they were working closely with organizations funded by both the Department of Social Development and the Department of Health. Other organizations indicated that they were part of the network of organizations addressing issues of HIV and Aids. Although there were a few organizations that were not working with any other organizations, it is clear that CSOs regard collaboration with other organizations as important to ensure the integration of services.

### **5.3.2.2 Factors Contributing to the success of CSOs**

According to the results of this study, numerous factors contributed to the success of CSOs. These factors include reasonable access to funding as a key factor (23%), followed by the number of volunteers to perform work (20%), strong administrative skills of employees (10%), involvement of beneficiaries and communities in the design and implementation of projects, and the availability of information through internet searching and networking. There were, however, other factors that fewer CSOs regarded as having contributed to their success. These included factors like strong managerial and/organizational skills (7%), strong leadership of the organization (5%), capacity building and training (7%), collaboration and integration with other partners (5%) and innovation and creativity in the implementation of projects. Notwithstanding the fact that governance, management and leadership are cited as factors that contributed to the success of CSOs, it is a concern that these factors overall constitute 24%. This reflects a limitation on governance which is concerned with the ability to provide strategic leadership and direction to the CSO. Effective governance is demonstrated through clear vision and mission, oversight and accountability of the project, effective systems and practices of good management.

### **5.3.2.3 Challenges (Problems) of CSOs in achieving their objectives**

Organizations cited a number of challenges that prevented them from achieving their objectives. The research data analysis outcomes indicate prominently that lack of or

limited funding is a major problem (48%). This was also cited in a report compiled by the Department of Social Development on the situational analysis of child-headed households (2008), which indicated that funding was not adequate to address the growing demands of NPOs. The report further indicated that organizations that were funded raised concerns on the late transfer of funds from government departments. In most instances, money from government was only passed on to organizations as late as October of that financial year - leaving these organizations with fewer months to implement programmes. This resulted in some programmes having to be put on hold, thus disrupting momentum. This challenge could be related to government processes (13%) and administrative processes (10%) which were cited by CSOs as preventing them from achieving their objectives. This challenge was further indicated in the report of the Auditor-General (2009:4-5) to Parliament on a performance audit of projects that were funded by the National Development Agency in 2008, where it was found that the NDA delayed the payment of first tranches by 4,8 months. This impacted negatively on the actual commencement dates of projects. Such negative impacts resulted in budgets becoming outdated and prices increasing by the time the project commenced. As a result budgets had to be reworked, which further delayed the process. In other instances project members withdrew from the projects thus impacting negatively on the capacity to implement. Delays in the commencement of seasonal agricultural projects resulted in crops not being planted or being planted after the season resulting in project objectives not met. The National Treasury document on the Provincial Budget and Expenditure reviews (2005/6-2011/2012) also noted challenges in funding of non-profit organizations. These challenges included disparities in the subsidization of the same services across the different provinces, different approaches in the management, administration, monitoring and evaluation of funding to non-profit sector across the social development sector.

Limited administrative skills were also cited as a challenge for CSOs. This could be related to poor financial management skills, which resulted in the organizations losing even regular government funding as indicated by the Department of Social Development report (2008). This was further supported by the Auditor-General's

report which indicated that out of 41 projects that were discontinued by the NDA, fifty one percent (51%) of those projects demonstrated inadequacy in governance, management and technical capacity (2009:14). The National Treasury further cited non-compliance to norms and standards by CSOs, resulting in low and poor quality of service delivery.

Lack of information that is critical in the implementation of policy and programmes was also cited as a challenge experienced by CSOs. Information and communication are an integral part of all critical variables of implementation that Brynand (2005:13) calls the 5Cs (see chapter 3 of this study).

The majority of CSOs according to the sample use volunteers as their staff (79%), compared to only 25% permanent employees. In the report of the Department of Social Development (2008) this was indicated as a challenge, particularly high attrition rates of staff (caregivers), because of the low stipend. This resulted in instability within the organization and in many instances money was wasted in training people who left the organization as soon as better opportunities presented themselves.

Other challenges cited by CSOs related to lack of office space. This could be as a result of a lack of appropriate infrastructure in poor communities, especially rural areas. According to the Department of Social Development report (2008), some of the organizations were housed in very poor facilities. This was especially the case for those in rural settings. The irregular payment of allocated funds also impacted negatively on sustaining viable accommodation as organizations could not afford rentals for decent accommodation.

#### **5.3.2.4 Sources of Funding and Expenditure in 2006-2008**

The findings of this study indicate that the South African government provides the bulk of funding resources to CSOs (45%), followed by international donors (30%), the private sector (15%), and CSOs' own generated capital (10%). Of notable concern is that the National Development Agency (NDA) was not mentioned as a

source of funding despite the fact that the NDA's mandate is to fund CSOs in their endeavours to address poverty. The average total annual income and expenditure of one hundred (100) organizations in 2006-2008:

- 2006 – R 975 686.00
- 2007 – R1 785 316.00
- 2008 – R 719 543.00

The difference in the total annual income of CSOs that were analyzed in the three years is a concern, particularly, given that the total income for 2008 indicates a drastic reduction from 2007, more so because CSOs indicated that their bulk of funding came from government. The majority of CSO organizations reflected a significant under-spending, looking at their income in the three years 2006-2008. Despite this under-spending, CSOs regard limited funding as their biggest challenge.

Furthermore, the under-spending of the CSOs is even more concerning given that it reflects expenditure per annum that is less than a third of the total income. CSOs indicated their total expenditure in the three years (2006-2008) as follows:

- 2006 – R256 000.00
- 2007 – R374 123.00
- 2008 – R197 055.00

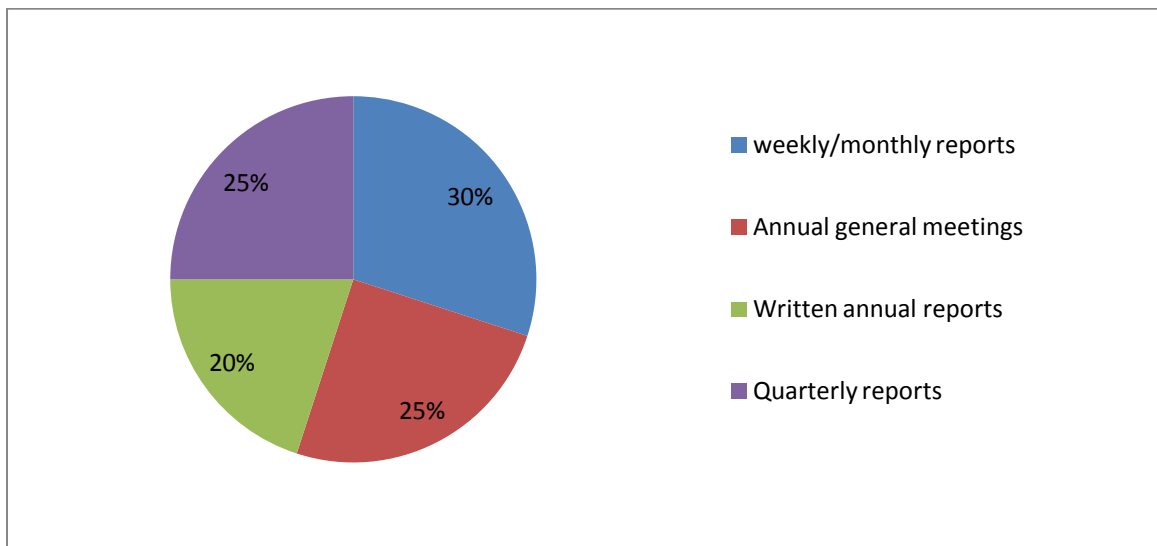
Considering the high rate of poverty and the undesirable social impact of HIV and Aids in South Africa, the total amount of income of these organizations is insignificant. The inability to spend all the funds is also a concern given that CSOs also regard funding as an enabler in implementing programmes. It is therefore assumed that when such funding is made available, CSOs should ensure that they spend public money effectively and efficiently as required in terms of the Public Finance Management Act (1999).

### 5.3.2.5 Future Plans on Raising Funds

Future plans for raising funds cited by CSOs included accessing donor funding, selling products and charging for their services, holding fund raising events and obtaining loans from the banks.

### 5.3.2.6 Reporting mechanisms

The results of this study show that CSOs use a wide variety of methods for reporting progress made, namely annual general meetings, written annual reports, quarterly reports and other weekly, monthly and daily reporting in staff meetings.



**Chart 4: Methods of reporting (Source: Vuyelwa Nhlapo, December 2009)**

It seems that not all CSOs report in the form of annual reports despite the fact that in terms of Section 18 of the NPO Act of 1997, registered NPOs must submit their annual reports. The effectiveness with which the reporting mechanisms are implemented is uneven and reflects non-compliance to the NPO Act. Furthermore, given that the majority of CSOs who responded in this study indicated that their bigger portion of funding comes from government, as part of accountability they are expected, in terms of the Public Finance Management Act (1999), to report to the public on how they have spent funds entrusted to them and how they have conducted their affairs. The Department of Social Development that administers the NPO Act indicated in their compliance report (2009) that in the 2008/9 financial year,

out of 56 244 registered NPOs, the department received 13 294 reports from registered NPOs. Non-compliance to funding agreements by projects was also indicated in the case of NDA funded projects. Some of the reports were submitted by CSOs incomplete.

### **5.3.3 Empowerment and Sustainability**

#### **5.3.3.1 The role and participation of communities in programmes implemented by CSOs**

The analysis of the response of the CSOs indicates that communities have a role in the implementation of programmes and thus participate one way or the other in their functioning. For example, communities provide labour during the implementation of programmes. They assist in fundraising, act as advisors to CSOs, refer clients and provide valuable social support to HIV and Aids victims, home-based care for the aged, serving in CSOs committees, etc.

Furthermore, according to feedback from CSOs, community members get involved in the implementation poverty alleviation programmes. Their involvement include community members attending workshops, lectures, seminars on health education, social development, leadership and life skills training, etc. aimed at empowering them. Communities do take an interest in learning and in development initiatives. Thus, CSOs are working in partnership with the communities they seek to improve their lives.

#### **5.3.3.2 Capacity Building**

As part of their own empowerment, the majority of CSOs use the departments of Health, Social Development, Education and HIV and Aids volunteers as sources for capacity building. International Development Agencies and donor community as well as CSOs' own initiatives are also used. CSOs indicated that the capacity building programmes are determined by their own needs analysis as well as needs identified by the community, government departments and other funders.

The results of this study suggest that through training and education programmes, the CSOs managed to develop and improve management and leadership skills of staff and managers. The skills they have developed from capacity building have enabled them to empower a reasonable number of poor people and communities. Capacity building also helped CSOs significantly to implement government's policies and programmes on the socio-economic empowerment of the poor people. In this way, the CSOs have managed to meet performance standards set by government, foreign funders and other donors.

Several studies and evaluations have discovered that in South Africa the majority of non-profit organizations are at a lower level and lack managerial, leadership, governance, administration and financial management skills. In support of this finding, it is important to note that the majority of CSOs identified their future capacity building needs as the following:

- Planning and financial management training
- Project management training
- Home-based care and nutrition management skills
- Business education
- Computer literacy skills training and communication and facilitation skills
- Professional nursing and social worker skills
- Adult Basic Education
- Counselling skills
- Leadership and management skills including supervisory skills and
- Entrepreneurship skills

Capacity building did not only benefit CSOs but communities also have benefited from capacity building facilitated by CSOs. Capacity building programmes, according to the CSOs include training of family members to take care of sick relatives and loved ones as well as cooking. In addition to capacity building, CSOs indicated that they have empowered communities through establishing various centres for counselling, child care centres, ABET centres as well as development centres. It is



clear that CSOs do not only regard their own empowerment as important but also regard empowerment of communities as critical.

### **5.3.3.3 CSOs Decision-making Style**

The data analysis outcomes show that a participative and staff involvement management style is followed. For example, decisions are taken in consultation with the staff during monthly/or weekly manager's meetings. Communities are also consulted before certain decisions are taken. It is assumed that these would be decisions that affect the communities and encourage participative governance and the spirit of responsiveness. Management including board of trustees and/or board members also take decisions. CSOs indicated that various styles of decision-making particularly the involvement of staff and communities assist in accelerating and ensuring effective implementation of programmes as well as developing staff members. Seemingly the outcomes of participation of staff members in planning and execution of intended work; result in high levels of enthusiasm, and commitment to work organization goals. Knowledge sharing is also facilitated to the benefit of the organization. Furthermore, it fostered healthy working climate and relations with stakeholders and elevated morale levels of both staff and managers.

### **5.3.3.4 Methods of Information Sharing**

Data analysis outcomes indicate that a wide variety of information sharing methods is utilized by CSOs. Meetings convened by management on weekly, monthly, and quarterly and on annual basis, seem to be the most regular practice (35%). Telephone calls, emails and memos are also used and they rank second (25%), then bulletins and newsletters follow (17%). Staff social gatherings/functions are also used as channels of sharing information.

Furthermore, the respondents rated a few of the above stated methods as very transformative, appropriate and effective in terms of conveying knowledge, information and needs to both staff and managers.

### **5.3.3.5 Factors Contributing to Sustainability of CSOs**

Sustainability refers to the long term continuation of the project. It focuses on project services and products, addressing issues of market demands, opportunities, growth and diversification factors of products and services.

According to the data analysis outcomes of this study, there were a number of factors which were regarded as critical for ensuring sustainability of the CSOs. These were cited as winning big projects with huge funding (28%); being able to access a bigger market share (25%); ensuring constant flow of funds (17%); accessing financial loans from banks (15%); up scaling services delivered to the communities and people (15%) and ability to generate their own funds. It seems from the factors indicated above that CSOs regard funding as the key aspect that would enable sustainability of their programmes.

### **5.3.3.6 Desired Future Business Directions or Areas for Scaling up**

The future business expansion and/or improvement areas for the sample of one hundred (100) CSOs are very wide. These include expansion of infrastructure in the form of new learning centres, home-based care facilities, libraries, training facilities, followed by socio-economic upliftment of the poor people, and programmes targeting HIV and Aids orphans, street children and the homeless as well as the aged. Some respondents expressed interest in getting opportunity to be developed as entrepreneurs, and also as managers. Establishment of new HIV and Aids support groups and community policing forums were also indicated. Viewed broadly, the future developmental needs of CSOs are diversified. According to CSOs' responses, the future areas for scaling up are informed among others by environmental scanning, government reports and directives, inputs from communities, research findings and communication and networking with other CSOs.

### **5.3.3.7 Impact of Poverty alleviation and Capacity Building Programmes**

According to the data analysis outcomes for this study, the majority of disadvantaged communities and individuals are now reasonably empowered. Their standard of living has improved, with expanded infrastructure. There are more

learning and recreation centres established. Furthermore, the number of unemployed and poor people who receive viable help from CSOs has increased. Food parcels, HIV and Aids patients' feeding schemes, home-based care services and Adult Basic Education and Training have been extended to reach informal settlements in some instances. Programmes like feeding schemes, community development centre projects and the training of community members in counselling skills were viewed as the best practice models. In most cases the progress is measured or evaluated by conducting surveys and interviews, feedback from donors/funders, delegates' input during workshops, the number of disadvantaged communities registered in CSOs' database, service delivery structures built financial performance reports, etc.

#### **5.4 SUMMARY**

Based on the in-depth data analysis of this study, eighty percent (80%) of the CSOs were non-governmental organizations (NGOs); the remaining twenty percent (20%) comprised of Community Based Organizations (CBOs), Faith Based Organizations (FBOs) and self-help organizations. The sample of organizations was from four provinces of the Republic of South Africa, namely Free State, Gauteng, KwaZulu-Natal and Limpopo. Ninety seven percent (97%) of these organizations were registered in terms of the NPO Act of 1997.

Health care, particularly home-based care programmes and services, constitute the bulk of interventions delivered, for example, fifty one percent (51%) are in health care services, nineteen percent (19%) in the education sector, seventeen percent (17%) agriculture, and nine percent (9%) social development. There are comparatively few programmes that address the social development sector, although community-based care is a programme that is implemented by both Social Development and Health as part of government's Expanded Public Works Programme (EPWP). Perhaps because of the national concern about HIV and Aids and other diseases of lifestyle (e.g. diabetes, high blood pressure, obesity, TB, etc.) most registered CSOs work in the health sector. However, there is a huge need to empower the poor socio-economically to be self-sufficient and self reliant.

CSOs involve and encourage communities to participate in the implementation of poverty alleviation programmes. This is reflected in the processes of identifying needs, beneficiaries, programmes, as well as during the implementation of programmes. Communities are further empowered through a number of programmes and through various infrastructures like centres for counselling, education, development, recreation and home-based care.

With regard to sustainability there are a number of factors CSOs regard as critical in ensuring sustainability. Key to these is funding. Lack of or limited financial funding still constitutes a serious problem to the majority of CCOs. Hence the bulk of staff members are volunteers (79%), compared to 25% permanent staff. The South African government provides the bulk of funding to CSOs (45%), followed by the international donors (30%), the private sector (15%) and CSOs own generated capital (10%). Viewed from a financial perspective, CSOs are not sustainable. Without external financial support they cannot implement programmes effectively. According to the research data analysis results of this study; a reasonable number of disadvantaged communities and residents have been empowered. There is functional infrastructure in terms of healthcare and home-based care facilities, learning centres, business skills development opportunities, recreation facilities, etc. In addition to these centres, communities benefit from various capacity-building programmes facilitated by CSOs. These include ABET, computer skills, caring for the sick, and cooking skills. Furthermore, this sample indicated the desire for the expansion of infrastructure in the form of new business centres, libraries, development and training facilities, street children and HIV and Aids orphan homes.

The hypothesis for this study which maintained that: "poverty alleviation programmes implemented by civil society organizations in collaboration and partnership with government are empowering and sustainable," was not fully supported since a majority of CSOs are struggling to survive due to limited funding. This has an effect on the impact and scaling up of programmes. The general finding of this research is that despite the lack of sustainability of CSOs as well as the lack of capacity in some administrative and management capabilities, CSOs have an

important role to play in poverty alleviation, and their processes are participative and empowering, which promotes legitimacy to the communities they serve.

## CHAPTER SIX

### CONCLUSIONS AND RECOMMENDATIONS

#### 6.1. INTRODUCTION

It is widely known that South Africa has the highest levels of poverty and inequality, which emanate from the racial domination and apartheid policies that denied the majority of people access to socio-economic rights and participation in their own development. It is for this reason that the ushering of the democratic South Africa created opportunities for the development and implementation of public policy aimed, not only at addressing the socio-economic imbalances of the past, but also at creating space for people's participation in their own development, thus ensuring that public policy is indeed responsive to the needs of the people.

It can be argued therefore, that consolidating the legitimacy of the state requires involvement of communities in the development and implementation of policy, hence the importance of this study that seeks to evaluate the role of civil society organizations in the implementation of poverty alleviation programmes in collaboration and partnership with government. Civil society organizations function at a level closer to the people. They are best positioned to respond to the immediate needs of the community. To reiterate the earlier premise of the research question and for the clarification of the reader, it is worthwhile to re-state the research question that has guided this study:

**"To what extent has government's collaboration and partnership with the civil society organizations in the implementation of poverty alleviation programmes ensured empowerment and sustainability?"**

The study evaluated the implementation of poverty alleviation programmes by civil society organizations. In particular, the study evaluated how civil society organizations involve and empower communities in the implementation of their programmes and the extent to which these programmes are sustainable. It is evidenced in the study that civil society organizations have an important role to play

in partnership with government in alleviating poverty. The importance of the involvement and participation of communities in their own development is key to any democratic society. It is the cornerstone of participative governance. The contribution of this study points to whether programmes implemented by civil society organizations are empowering and sustainable, that is, have long-lasting impact. This is critical in addressing challenges in the implementation process of public policy. Since civil society organizations are an important institution in the implementation of poverty alleviation policies, this research attempts to understand the process followed by civil society organizations in the implementation of poverty alleviation programmes with a view to add value in addressing challenges experienced by these organizations and thus creating long-lasting impact of poverty alleviation programmes. This study therefore builds on the work that has been done in understanding the role of civil society in implementing public policy and particularly how they can contribute to poverty alleviation in South Africa. South Africa cannot continue with the high levels of poverty sixteen years after attainment of democracy. This chapter provides a brief summary of the six chapters of the study draws conclusions and makes recommendations for improvement in the implementation of poverty alleviation programmes.

## **6.2. SUMMARY**

Chapter one provides a general introduction and overview of the study. The chapter first introduces the discussion by presenting the context for addressing poverty and underdevelopment in South Africa, post-democracy. This is achieved by reviewing global including continental and regional commitments and agreements made by South Africa on various platforms aimed at findings ways of addressing poverty and development. The main message from these platforms is that equity is complementary in some fundamental respects to pursue long-term prosperity. National policies, including legislation guiding poverty alleviation and reduction, post-democracy, in South Africa are also reviewed. Second, the chapter outlined the motivation for the study, formulating the problem and the hypothesis. Third, the objectives are outlined with a research question to provide focus for the study.

Fourth, critical concepts to focus the study are defined and lastly, chapters are outlined.

Chapter two focuses on the methodological issues that guided the execution of the research. In this, the justification for the use of qualitative method is made looking at advantages and disadvantages of this method in comparison to other methods. The chapter provides insight on the use of triangulation in collecting data and consequently data sources, sampling and an analysis of data are provided. The chapter concludes by citing limitations of the study and ethical considerations.

Chapter three examines relevant literature in public policy, looking at various theories of public policy with a view to understand public policy making in South Africa the role of the state as a developmental state. Particular policies that form basis for the role of civil society organizations in implementing poverty alleviation programmes are discussed. Policy implementation and various approaches in policy implementation are examined. The chapter ends by discussing the role of civil society organizations and their challenges.

Chapter four reviews the empirical studies of poverty alleviation. First, progress towards the achievement of MDGs is reviewed. Some case studies are reviewed to establish effectiveness of poverty alleviation programmes. Various programmes and approaches used to alleviate levels of poverty and their effectiveness are reviewed. In particular, factors like access to information, capacity issues, accountability, as well as inclusion and participation are reviewed to understand their importance and relevance in the implementation of poverty alleviation programmes.

Chapter five presents the findings of the research. These findings are interpreted and discussed broadly. They are based on the responses of one hundred civil society organizations, representing four provinces in the Republic of South Africa. These provinces are Gauteng, Limpopo, KwaZulu-Natal and the Free State. Variables considered critical in responding to the research question of



**“To what extent has government’s collaboration and partnership with the civil society organizations in the implementation of poverty alleviation programmes ensured empowerment and sustainability?”**

Were analyzed. The analysis enabled the researcher to understand the planning processes of civil society organizations, looking at how they initiate, implement, monitor and evaluate programmes, as well as how they report on the achievement of their objectives. Factors contributing to their success were analyzed as well the challenges they experience in implementing programmes.

The analysis showed that civil society organizations make an effort to strategically plan their work. This is reflected in the vision, mission and objectives set by each organization. Further, the analysis provided an understanding of how civil society organizations involve communities in their functions. Aspects contributing to their success and challenges they experience in implementing poverty alleviation programmes enabled the researcher to draw conclusions on the sustainability of the programmes. The chapter ends with recommendations on how to improve the implementation of programmes aimed at alleviating poverty in order to create effective and long-lasting impact.

### **6.3 SUMMARY OF FINDINGS**

The first finding reveals that a majority (80%) of civil society organizations that implement poverty alleviation programmes are those that are classified as non-governmental organizations (NGOs) and very few community-based organizations and faith-based organizations implement such programmes.

The second finding relates to the vision, mission and objectives of civil society organizations. Organizations stated their vision collectively as a dream or future comprised of healthy and empowered society. The mission, objectives and programmes implemented by civil society organizations revealed the purpose of existence as well as the focus of a majority of organizations as that of improving the quality of life, specifically focusing on health issues like HIV and Aids, as well as

home-based care. This focus is also indicated by a majority of organizations that indicated that they were working closely with the Department of Health through their home-based care programme and/or HIV and Aids programme. Less than twenty five percent, viewed collectively, were focusing on the empowerment, education and training of the poor, and they were working closely with various departments such as Social Development, Agriculture and Education.

The third finding relates to the culture of the civil society organizations rendering their services. This culture is reflected in the values. The majority of these values are based on government's Batho Pele (Putting People First) principles, which are aimed at transforming service delivery. They include, among others, consultation, setting of service standards, ensuring courtesy and access to information and services, as well as openness and transparency.

The fourth finding relates to the involvement and participation of communities including beneficiaries on identifying needs and beneficiaries, influencing programme identification and implementation. Civil society organizations generally involve communities in identifying needs and issues to be addressed in the communities. They do this by using various methods like community surveys, community mapping, community-based vulnerability assessment and household profiles in the form of door-to-door visits.

The fifth finding revealed that as regards human resources, the majority of staff of civil society organizations comprises volunteers, followed by part-time staff and very few full-time employees.

The sixth finding points to the fact that those who benefit most from the programmes of civil society organizations are middle-aged people between the ages of 36-55 years. Children from 0-5 years benefit the least from these organizations.

The seventh finding related to planning, integration and accountability. It seems that there is a lack of participation of CSOs in local government's Integrated

Development Plans despite the fact that IDPs are an important tool for consulting communities on challenges they experience and possible solutions to those challenges. Further, IDPs provide for integration of services. CSOs, however, indicated that they collaborate and integrate their services with other service providers in their field.

The eighth finding revealed that the major factor contributing to the success of CSOs was funding, followed by the involvement of volunteers in delivering services. It is important to note that the success factor of funding was also cited as a challenge experienced by CSOs in realizing their objectives. CSOs also indicated that the bulk of their funding was from government. They had developed some strategies to raise funds in the future.

With regard to reporting which was the ninth finding, CSOs indicated that they were reporting to the public/communities on the achievement of their objectives and/or how they conduct their affairs. However, the study indicated that a majority of CSOs were not reporting annually. This is cause for concern given the requirements of reporting as part of governance issues.

The tenth finding related to sustainability and empowerment. The study revealed that CSOs used various methods to ensure that communities were consulted and participated in the operations of the organizations. The participation of communities in identifying needs and beneficiaries as well as formulating and implementing programmes were regarded as critical in ensuring the sustainability of programmes. Furthermore, CSO regarded their capacity-building as an important factor in ensuring sustainability. Perhaps this is related to the fact that skilled employees are an asset in enabling an organization to achieve its objectives. It is important to note that the capacity-building of communities was also viewed as important, hence various capacity programmes that were developed by CSOs for the communities.

The decision-making style of CSOs indicated a much more participative and consultative way of decision-making. Perhaps this is in line with Batho Pele

Principles, which were cited as key values of organizations. The ability of the civil society organizations to implement sustainable poverty alleviation programmes depends on the availability of information, funding, capacity skills and effective management. Results of the study showed that the sharing of information was regarded as important by CSOs. This was indicated by the frequency and types of information sharing methods used and the benefits cited by CSOs.

CSOs indicated that they monitor progress and evaluate impact of their programmes. They cited various tools and methods used for monitoring and evaluation. The results indicate positive results from the programmes they implement.

#### **6.4 CONCLUSIONS**

It is clear from the number of findings mentioned above that CSOs have a critical role to play in poverty alleviation, particularly in closing the gaps left by government in poor communities. This is reflected in the programmes that are implemented by CSOs. While the CSOs with the diverse roles and functions are the best guarantee for consolidating democracy in South Africa, this also presents a challenge whether or not CSOs have sufficiently understood and engaged with the shifts in their roles since democracy. Findings of this research therefore lead to the drawing of conclusions with regard to the role of civil society organizations in poverty alleviation, particularly with regard to factors like empowerment, participative governance, the capacity of CSOs, funding, accountability and sustainability. CSOs regard the involvement and participation of communities in their development as important. Hence they involve communities in a range of activities like the design and implementation of programmes, including the identification of needs and beneficiaries and fundraising. The involvement of communities in the delivery of programmes seems to combine delivery of the project outputs with the mobilization of local people to take advantage of their own development. In so doing, communities as beneficiaries of programmes are empowered to also take decisions and participate fully in addressing their own challenges. As Khosa (2000:3) contends, at the heart of any service delivery programme there should be a deliberate effort to empower relevant beneficiaries.

Furthermore, the strategic location and proximity of CSOs to the communities they serve increases their credibility within the communities. This thus contributes to giving assurance to the community that they will always be able to count on their work to make life better for them. It can be concluded therefore that CSOs are participative and consultative in the way in which they deliver their programmes.

Sustainability as indicated by Trzyna (1995:17) "is not a technical problem to be solved, but a vision of the future that provides us with a road map and helps to focus our attention on a set of values and ethical and moral principles by which to guide our actions". It can be concluded that the values that guide the implementation of programmes by CSOs are aligned to the Constitutional ideals aimed at transforming public administration. This is reflected in the values like a high standard of professionalism, excellence, respect and, most importantly, Batho Pele (Putting People First) principles, which were cited by CSOs as important in guiding their service delivery.

One of the biggest implementation challenges is the mobilization and allocation of resources. It appears that funding is also the biggest challenge experienced by CSOs. This challenge is exacerbated by government processes that delay funding in some instances as revealed in this study. Although CSOs indicated some strategies and plans to mobilize and raise funds, it is doubtful whether those strategies could ensure sustainability of their programmes in the future. Looking at their nature, for example, some organizations indicated bank loans as a way of mobilizing funds. Understanding that because of the economic meltdown financial institutions are stricter in lending money, this raises serious doubts.

Financial management also seems to be a challenge given huge under-spending reflected by CSOs in the three-year period. There could be significant gains to be reaped, particularly in ensuring sustainability of programmes if CSOs in their planning processes could ensure that they develop strategies for fundraising instead of having ad hoc fundraising. CSOs organizations do not seem to be reporting annually despite this being a requirement in terms of accountability, especially for funds received from government. The NPO Act (1997) also requires as part of

governance that NPOs report annually on how they have utilized their funds. It can be concluded that NPOs are not complying with either the NPO Act (1997) or the Public Finance Management Act (1999). This could be attributed to the management capacity in terms of managing finance and also reporting skills.

Some of the main constraints to effective functioning of civil society organizations that also seem to impact negatively on their sustainability include poor managerial, administrative and business skills at a local level, and inability to access and manage funding. It has become clear that there is a great need for strengthening the organizational and administrative capacity of CSOs. It is generally accepted that local organizational capacity is recognized as key for development effectiveness and the empowerment of the poor. The success and life of any organization is measured by its appropriate capacity to deliver on its objectives. Appropriate capacity is the ability of people to work together, organize themselves and mobilize resources to solve problems of common interest. It is about the ability to plan for the future. At the core of this capacity are management capacity and capacity at both functional and/or organizational levels. Financial management seems to be a challenge of CSOs as reflected in their spending patterns.

Furthermore, the use of volunteers as the majority of staff poses threats to the retention and quality of staff to deliver on programmes, given that most of the time volunteers do not have the requisite skills and a lot of time has to be taken training and capacitating them. Although projects that involve community volunteers are initially effective, there are concerns, however, about the longer term sustainability. There seems to be a lack of incentives for CSOs to continue with activities, particularly where they are reliant on voluntary inputs from its members.

The lack of participation of CSOs in the municipality's Integrated Development Plans is a gap in advancing integrated development in addressing challenges of the communities. Given the role of local government of reducing historical socio-economic backlogs through the acceleration of service delivery to local disadvantaged communities, it is critical that both CSOs and local government

partner and collaborate in bringing a better life to communities. A strong synergetic partnership between government and CSOs and other actors in the implementation of poverty alleviation need to be galvanized to rectify associated inefficiencies as indicated by Vyas-Doorgapersad and Muller (2006:1).

## **6.5 ISSUES AND RECOMMENDATIONS**

### ***Issue 1: Funding of CSOs***

This study has revealed a dire shortage of financial resources for effective implementation of poverty alleviation by CSOs. The shortage of resources impacts negatively on the ability of CSOs to realize their goals, in particular, in those areas that are deprived access to a variety of services and development opportunities. There are disparities in funding the same programmes across the different provinces. There are long and protracted government administrative processes which result in delay in transferring funds to CSOs, thus delaying the implementation of programmes. CSOs do not seem to have skills to mobilise resources beyond government funding.

### ***Recommendation:***

***That the South African government both at provincial and local level must commit much greater financial resources for the effective implementation of poverty alleviation programmes by CSOs. The resources will go a long way in ensuring financial sustainability and creating an enabling environment for effective implementation.***

### ***Recommendation:***

***That the Department of Social Development must develop a policy and funding models to guide funding of CSOs across government. This will make it easier for CSOs to access funds and will guarantee***

***services at local level, thus ensuring financial and organizational sustainability.***

***Recommendation:***

***That government must enhance and streamline its processes to ensure that funding is channelled to CSOs at an appropriate time – these processes must include streamlining prefunding conditions, approval processes, transfer of funds and monitoring of implementation of programmes.***

**Issue 2: Capacity of CSOs**

The effective implementation of programmes is dependent on the capacity of CSOs. A majority of CSOs depend on volunteers to implement various programmes. Whilst these volunteers are passionate about their work, they, however, lack technical skills, governance and management capacity. The lack of capacity results in non-compliance to funding agreements thus resulting in discontinuation of programmes in other instances. These impact negatively on sustainability of programmes.

CSOs are expected in terms of the PFMA to account for the funds they receive from government to implement poverty alleviation programmes. The NPO Act also requires as part of governance that NPOs report annually on how they utilize their funds. The findings of this study supported by various secondary data indicate that CSOs experience challenges on accounting for the funds entrusted upon them for implementing poverty alleviation programmes. A majority of CSOs do not comply with the reporting requirements. The quality of some reports is not up to standard revealing capacity challenges on reporting.

***Recommendation:***

***That the Department of Social Development, together with the National Development Agency, must develop and implement a***



***capacity- building framework for CSOs. The capacity-building framework must address the following areas: organizational and administrative skills, management capacity as well as mentoring and coaching to ensure continuous learning and sustainability of programmes implemented by CSOs.***

***Recommendation:***

***The NDA with its mandate as that of building capacity of civil society organizations must assist and capacitate CSOs to mobilise resources beyond government funding in order to ensure sustainability.***

***Recommendation:***

***That the Department of Social Development in partnership with the NDA must develop simple reporting formats that will encourage regular reporting by CSOs. The NDA must train and guide CSOs on writing of reports to ensure compliance to government policies and processes.***

**Issue 3: Partnership and collaboration between government and CSOs**

CSOs are central to the implementation of poverty alleviation programmes in South Africa. They function as delivery agents for government departments like Social Development. As a developmental state, South African government requires a strong partnership based on a common vision to improve the lives of the people. The relationship between government and CSOs continues to be weak with lack of trust on the capability of CSOs to pursue developmental agenda, thus impacting negatively on supporting CSOs to pursue such agenda. Other developing countries are also experiencing constraints on the relationship between government and CSOs.

**Recommendation:**

***That the local government working with the Department of Social Development must ensure full participation of CSOs in Integrated Development Plans of local government if government is committed in delivering on the promises made. This will enhance participation of CSOs in the IDP processes, making the notion of partnership meaningful, thus allowing organizations to access information regarding opportunities for collaboration with the state, especially local government. This will also empower people to participate in their own development thus enabling government to deliver on its promises.***

**Recommendation:**

***That NDA must commit in strengthening and facilitating the partnership between government and CSOs by creating effective platforms for dialogues and interface between CSOs and government.***

**Recommendation:**

***That global thinking must be galvanised on the relationship between government and CSOs in the implementation of public policy.***

**Issue 4: Understanding CSOs**

CSOs are partially understood with regard to how they function, their management capacity, and the impact of their programmes.

**Recommendation:**

***That there are other areas for further investigation. These include:***

- ***The management of CSOs***
- ***Policy issues on the use of volunteers by CSOs***

- ***How do the public perceive the programmes implemented by CSOs?***
- ***What is the impact of these programmes?***
- ***Do the CSOs really represent the voice of the poor?***

## **6.6 SUMMARY OF CONTRIBUTIONS**

This research has revealed that CSOs occupy an important space between the state and the community in addressing poverty challenges. However, if this space is not nurtured and maintained, the result is that CSOs will emerge and disappear without making a lasting impact on alleviating poverty. The implications of this will be the weakening of social structures and slow progress in addressing challenges of the poor. Government policies and programmes will be less participative and less responsive. This will have a negative impact on the realization of objectives and principles of a developmental South Africa. This study therefore contributes in understanding how CSOs implement poverty alleviation programmes, the challenges they experience and the effect of collaboration and partnership between CSOs and government. This study points to the direction that policymakers must take responsibility in ensuring effective implementation of poverty alleviation programmes by CSOs.

If South Africa has to meet the MDG target of halving poverty by 2014, then this research points to rethinking the involvement and participation of institutions like CSOs in poverty alleviation. It calls for a paradigm shift that is completely non-bureaucratic, allowing the development of systems for capacity building and funding that will allow CSOs to participate effectively in the implementation of programmes. Research has shown that participation is a social learning process through which participants in the development process learn to be effective, learn to be efficient and learn to expand. The unique contribution of this study is that it is undertaken at a time when there is pressure to achieve MDGs in particular by developing countries that are still lagging behind in the achievement of MDGs. Governments are therefore relooking at the role of the state with a view to achieve efficient government and at the same meet the MDG targets. Despite CSOs' obvious benefits to democratic

governance, some African leaders view CSOs with suspicion at times as political competitors and therefore place impediments on their way. This study therefore contributes to the creation of an enabling government to understand unique qualities of CSOs and their added attribute of governance. Furthermore, governments are not closer to the people. They find it difficult to reach out to the communities and yet CSOs are strategically positioned to augment governments' capacity to develop people-tested policies and implementation of development activities which are responsive and empowering.

## **6.7 OPPORTUNITIES FOR FURTHER RESEARCH**

While this research has covered a variety of factors on understanding how CSOs implement poverty alleviation programmes in collaboration and partnership with government, there are some pertinent matters that fell outside its ambit. The areas that fell outside this research's ambit provide opportunities for further research. Therefore researchers are encouraged to explore the following areas for further deliberation:

1. In considering the role of CSOs in poverty alleviation, it is also critical to elicit the views of communities within which the CSOs function on the social impact of such programmes.
2. CSOs are a complex institution, and research needs to be conducted on understanding leadership of this unique institution and how it influences the implementation of programmes at grassroots level.
3. Further investigations into the management capacity of CSOs requires further investigation, particularly given the capacity challenges of this institution in South Africa.
4. There are a growing number of registered NPOs in South Africa. According to the database of Social Development, there are over 56 000 registered

organizations. Understanding trends in the role of civil society and how CSOs foster democratic change will be useful.

## **6.8 CONCLUSION**

In reviewing progress towards the attainment of MDGs, the study indicates that developing countries experience failure of policy. This failure can be attributed to the issues of poor policy implementation. Despite good policies developed in South Africa during the first five years of democracy, South Africa also has been a victim of poor implementation of policies.

Participation of civil society in the implementation of public policy has been a consistent thrust of the transformation agenda of the South African democratic government. The whole thrust has been that people need to participate in their own development and take ownership of the process thus ensuring that they are empowered for lasting results. The continued challenge of poverty, however, raises a number of questions in the quality of participation of various actors in the policy process, challenges in the implementation of public policy, approaches used and the effects of such policy. The study has provided answers to these questions, revealing that governments are now increasingly viewing CSOs as an integral part of the institutional structure particularly for addressing the problems of rising poverty. CSOs are emerging as the effective pressure group that is capable of serving the dual role of collaborating with and facilitating the government in the development management process and yet constitute a watchdog for diligence of the government function. CSOs are positioned to augment government capacity to develop people tested policies and implementation of poverty alleviation programmes and development activities. It can be argued therefore that consolidating the legitimacy of the state requires involvement of communities in the development and implementation of policy, hence the importance of this study which seeks to evaluate how civil society organizations implement poverty alleviation programmes within the context of Social Development. Public policy implementation continues to hold much practical interest for policymakers because it is a major stumbling block in

the policy process. This study has revealed that policy implementation that integrates both top-down and bottom-up approaches is much better in realizing the goals of a developmental state in South Africa and in addressing the challenges of poverty.

Despite the growing importance of civil society organizations, in the developing world including South Africa, they remain partially understood. This study notes that the CSO sector falls within a conceptually complex social terrain that lies mostly outside the market and the state. If government is serious and committed in building partnership with CSOs, then government must strengthen its partnership with CSOs. This will build trust between the two and ensure that each partner achieves its goals – with CSOs acting as delivery agents for government and government playing a facilitating role and creating an enabling environment for effective implementation of poverty alleviation programmes by CSOs. The variable of commitment is an important variable for the people responsible for implementing poverty alleviation programmes. This commitment includes political commitment. The quality of the partnership between civil society organizations and government reveals constraints in taking forward the transformation agenda in improving the lives of the people. Evaluation of the CSOs performance in poverty alleviation indicates that they are not as effective as they are assumed to be in ensuring sustainability. Inadequate technical capacity impacts negatively on the ability of CSOs to realize their objectives. The study further revealed that while CSOs are more responsive to the poor and flexible in their approach – all prerequisites for sustainable development, their efforts are not easily replicable. Government must therefore support CSOs to ensure that their efforts are replicated. In reviewing various policies aimed at improving the lives of people and in alleviating poverty, South Africa as a developmental state intervenes to make society balance policies of redress, equity and economic growth. However, unless government takes the partnership with CSOs serious, this will impact negatively in the implementation of policies and the achievement of policy objectives.

This study views CSOs as participative in their approach. They have strong support at grassroots level because of their proximity to the people in relation to the state and because their efforts are compatible with community values. Furthermore, this study has revealed that where CSOs participate more fully, service delivery gaps are better identified. In such cases the prioritisation of service delivery needs is more appropriate to the needs of communities. They respond to immediate needs and developmental challenges of communities including poverty alleviation. Despite the strengths in the roles of civil society in the implementation of poverty alleviation programmes, there are challenges and shortcomings that impact negatively on the implementation of poverty alleviation programmes and functioning of CSOs. Government must support CSOs and create enabling environment to address challenges experienced by CSOs. These challenges include organizational weaknesses, governance issues including reporting, management and technical capacity, limited financial resources and forging the workable partnership with other sectors including government at all levels. Research has indicated that coalition, collaboration and better coordination are critical in achieving policy outcomes. The issue of funding is of crucial significance to civil society organizations especially in realizing not only their objectives but most importantly governments' objectives of improving the lives of the people and halving poverty by 2014. The capacity to deliver depends on availability and access to concrete or tangible resources. Government must therefore take a leading role in defining how this capacity can be created and used.

These concluding comments serve to reflect that CSOs are still far from being sustainable given the capacity challenges, limited funding and lack of vision on how to mobilize resources for the future. Unless government addresses these challenges implementation of poverty alleviation programmes will continue to be affected by these challenges, thus leaving the poor trapped in poverty cycle. The study concludes that CSOs recognize the value of involving and enabling communities to participate in their programmes. This has proven to allow communities to be active participants in addressing their development challenges, thus enabling them to be more empowered.

In conclusion CSOs are increasingly playing an important role in poverty alleviation. It can be concluded that the role of civil society organizations is gaining grounds in the implementation of poverty alleviation programmes. However, there is a need to strengthen partnership and collaboration between this institution and government at all levels. This partnership and collaboration will facilitate the participation of CSOs in various mechanisms and processes including integrated development plans to ensure effective implementation of poverty alleviation programmes. Government must therefore commit adequate resources for effective implementation of poverty alleviation programmes.



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## **Appendix 1: Data Collection Instrument (Questionnaire)**

**(Source: Vuyelwa Nhlapo, June 2009)**

### **EVALUATION OF THE ROLE OF CIVIL SOCIETY ORGANISATIONS IN POVERTY ALLEVIATION**

#### **INTRODUCTION**

Poverty is one of the serious challenges that are affecting South Africa. As a result government has made poverty alleviation and development major priorities. It is in this context that the role of civil society organizations becomes critical. Civil society organizations potentially have roles to play in building more democratic political institutions, enlarging political space for grassroots change, and generating alternative thinking and approaches to poverty alleviation (Lewis and Wallace 2000:x).

#### **PURPOSE**

The purpose of this questionnaire is to evaluate the role of civil society organizations (CSOs) in poverty alleviation in South Africa. The role of CSOs is evaluated on the basis of the nature of work, the priorities of CSOs, their capacity and capabilities, their sustainability and the role played by CSOs in involving and empowering communities.

#### **DECLARATION**

The information gathered from this questionnaire will be used solely for the purpose of the research. No information will be disclosed for other purposes without prior approval from the relevant organization.

#### **ORGANIZATION INFORMATION**

1. Name of the Organization  
.....
2. What description best fits your organization?
  - a)  Non Governmental Organization (NGO)
  - b)  Community Based Organization (CBO)

- c)  Faith Based Organization (FBO)
- d)  Self-help organization
- e)  Other (Specify) .....

3. Which, if any, of the following laws is your organization registered with?

- a)  NPO Act (1997)
- b)  Section 21 Company Act
- c)  Other (Specify) .....

4. In which provinces is your organization based and work in?

- a)  Eastern Cape
- b)  Free State
- c)  Gauteng
- d)  KwaZulu-Natal
- e)  Limpopo
- f)  Mpumalanga
- g)  Northern Cape
- h)  North West
- i)  Western Cape

5. What is the vision of your organization?

.....  
.....  
.....

6. What is the mission of your organization?

.....  
.....  
.....

7. What are the values of your organization?

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8. What are the primary objectives of your organization?

.....  
.....  
.....  
.....

9. What type of sector programmes/projects your organization focus on?

- a)  Agriculture
- b)  Education
- c)  Health
- d)  Housing
- e)  Social Development
- f)  Food security
- g)  Women's cooperative
- h)  Other (specify).....

10. How does your organization identify these programmes?

- a)  Community mapping exercise
- b)  Assessments by consultants
- c)  Community based participatory assessments
- d)  Integrated Development Plans
- e)  Informed by funding organizations
- f)  Other (Specify).....

11. Please indicate the number of employees in your organization
- a)  Full time employees .....
  - b)  Part time employees .....
  - c)  Volunteers .....

### **BENEFICIARIES**

12. Who benefited from your programmes in 2007?

<b>AGE</b>	<b>FEMALE</b>	<b>MALE</b>	<b>TOTAL</b>
0-5			
6-18			
19-35			
36-55			
56-65			
65+			

13. How does your organization identify its beneficiaries?
- a)  Community-based vulnerability assessments
  - b)  Department of Social Development
  - c)  Department of Health
  - d)  Department of Education
  - e)  Community Structures
  - f)  Household profiles
  - g)  Other (specify).....

### **PLANNING, INTEGRATION AND ACCOUNTABILITY**

14. Which structural needs is this organization addressing?
- a)  Community level
  - b)  CBO level
  - c)  Local government level
  - d)  Provincial government level

- e)  National level
  - f)  Other (specify)
15. How did this organization identify these needs?
- a)  Community profiling
  - b)  Organizational needs assessment
  - c)  Household profiling
  - d)  Integrated Development Plans
  - e)  Other (specify)
16. Are there any other organizations that are addressing these needs?
- Yes
- No
17. If yes from which sectors are they?
- a)  Health
  - b)  Social Development
  - c)  Agriculture
  - d)  Education
  - e)  Other (specify)
18. What is your relationship with these organizations?
- a)  Part of the network
  - b)  Sub Grantees
  - c)  Member of the coalition
  - d)  Other (specify).....
19. Does your organization participate in the Integrated Development Plans of Local Government?
- a)  Yes
  - b) How? .....
  - c)  No
  - d) If no, why not? .....
20. What are the benefits of participating in this process?

.....  
 .....  
 .....

21. What have been the constraints in participating in this process?

.....  
 .....  
 .....

22. What has contributed to your success in achieving the objectives of your organization in the past three years? (tick multiple boxes)

- a)  Available funding
- b)  Strong leadership of the organization
- c)  Strong administrative skills of employees
- d)  Strong managerial and organizational skills
- e)  Capacity building and training of employees
- f)  No of employees to perform voluntary work
- g)  Involvement of beneficiaries and communities in the design and implementation of projects
- h)  Innovation and creativity in implementing projects
- i)  Collaboration and integration with other partners
- j)  Availability of information (specify what information)
- k)  Other (specify).....

23. What have been the challenges in achieving your objectives in the past three years? (tick multiple boxes)

- a)  Limited funding
- b)  Limited skills (specify)
- c)  Lack of information (specify)
- d)  Government processes (specify)
- e)  Administrative processes (specify)
- f)  Other (specify)

24. How do you fund your activities? (Source of funding) indicate % of total budget of your organization
- a)  International donors
  - b)  Government funding
  - c)  Private sector funding
  - d)  Generate own funding
  - e)  Other (specify)
25. What was the annual income of your organization in
- a) 2006.....
  - b) 2007.....
  - c) 2008.....
26. What was the annual expenditure of your organization per project in
- a) 2006.....
  - b) 2007.....
  - c) 2008.....
27. What are the future plans on generating funding for your organization?
- .....
- .....
- .....
- .....
28. How does your organization report on its achievements? (Tick as many as possible.)
- a)  Annual general meeting
  - b)  Annual report
  - c)  Quarterly reports
  - d)  Other (specify)

## SUSTAINABILITY AND EMPOWERMENT

29. What is the role of the community in the programmes delivered by your organization?

.....  
.....  
.....  
.....

30. How does the community participate in these programmes?

.....  
.....  
.....

31. What capacity building programmes and training does your organization benefit from?

.....  
.....  
.....

32. How are these capacity building and training programmes determined?

.....  
.....  
.....

33. Who provides these capacity building and training programmes?

.....  
.....  
.....

34. What has been the effect of these capacity building and training programmes?

.....  
.....  
.....



35. Please indicate, if any, future capacity building and training programmes identified?

.....  
.....  
.....  
.....

36. How are decisions taken in your organization?

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.....  
.....

37. How does the current decision process enhance your programmes?

.....  
.....  
.....

38. How is information shared in your organization?

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.....  
.....

39. How effective is this process of information sharing?

.....  
.....  
.....

40. What are the key aspects that are important for the sustainability of your organization?

.....  
.....  
.....

41. What are the future areas/direction your organization wants to engage in?

.....  
.....  
.....

42. How are these future areas/direction determined?

.....  
.....  
.....

43. What capacity building programmes did this organization organize to impart skills to communities?

.....  
.....  
.....

44. What impact are your poverty relief and capacity building programmes making in the fight against poverty?

.....  
.....  
.....

45. How do you measure impact?

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.....

46. What type of monitoring and evaluation tools do you have?

.....  
.....  
.....

47. Which best case studies can you mention regarding programmes which impacted more in poverty alleviation?

.....  
.....  
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.....



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.....

**Questionnaire Completed by:**

Name: \_\_\_\_\_

Position: \_\_\_\_\_

Date: \_\_\_\_\_

\_\_\_\_\_

Signature

**THANK YOU FOR YOUR CONTRIBUTION!**

(Source: Vuyelwa Nhlapo, June 2009)

## Appendix 2: List of Participating CSOs in Evaluation Research Project

NAME OF CSO		CSO TYPE		PROVINCE
1.	Siyaphambili Qondile Home Based Care	Health Sector	CBO	KwaZulu-Natal
2.	Zakhe Community Centre	Health Care Sector	NGO	Gauteng
3.	Halalelang Care Givers	Faith/Healing Sector	FBO	Gauteng
4.	Advent Hope Education and Community Development Centre	Health Sector	CBO	KwaZulu-Natal
5.	Zimisele Economic Social Growth and Development		NGO	Gauteng
6.	Winterveldt Community Project	Health Sector	CBO	Gauteng
7.	Lethabo Community Care Givers	Health Sector	NGO	Gauteng
8.	Sinethemba Community Organization		NGO	KwaZulu-Natal
9.	Yakha Ikusasa Manje Health Development Centre	Health Sector	NGO	Gauteng
10.	Hospital hill Community Health Project	Health Sector	NGO	Gauteng
11.	Youth Entrepreneurship Parliament	Education Sector	CBO	Free State
12.	Kanana Development Centre	Social Development Sector	CBO	Gauteng
13.	Sakhisizwe AIDS Care Initiative	Health Sector	NGO	Gauteng
14.	Countrywide Uncedolwabantu Projects	Health Sector	NGO	Gauteng
15.	Holy Cross Home (Health Sector)	Faith Based Organization (Health)	FBO	Gauteng
16.	Ulindi District Child and Family Welfare	Health Sector	NGO	KwaZulu-Natal
17.	Rona Rea Shoma	Social Development Sector	NGO	Gauteng
18.	Alliance Against HIV and AIDS (AAHA)	Health/Education Sector	NGO	Gauteng
19.	Kutullo Home Based Care and Hospice	Health Care Sector	NGO	Limpopo
20.	Thembelisha Community Support and Network	Education/Health Sector	NGO	Gauteng
21.	Kwa-Shukela Care organization	Health Care Sector	NGO	KwaZulu-Natal
22.	CANSA Welkom	Health Care	CBO	Free State



		Sector		
23.	Ithemba lethu Projects	Health/Social development	NGO	Gauteng
24.	Jerusalem Home Based Care	Health Sector	CBO	Limpopo
25.	Nompilo Home Based Care	Health Care Sector	NGO	Gauteng
26.	Malekanyane Home Based Care	Health/Social Development	NGO	Gauteng
27.	Leratong Hospice	Health Care Sector	NGO	Gauteng
28.	Siyabanakekela Community Project	Health Care Sector	NGO	KwaZulu-Natal
29.	Sihlosokuhle Development Centre	Health/Education Sector	NGO	KwaZulu-Natal
30.	Umtshinga Drop-in Centre	Health/Food Security	NGO	KwaZulu-Natal
31.	Vukani Sizabantu Programme	Agriculture Sector	NGO	KwaZulu-Natal
32.	Let Us Grow Organization	Agriculture Sector	NGO	Gauteng
33.	Good Hope Home Based Care	Agriculture Sector	NGO	Limpopo
34.	Siyazama Youth development Centre	Health Care Sector	NGO	KwaZulu-Natal
35.	Kopano Ke Maatla (Atteridgeville)	Health Care Sector	NGO	Gauteng (Tshwane)
36.	Siphosihle Home Based care	Health/Education Sector	NGO	KwaZulu-Natal
37.	Zicabangele Project	Agriculture Sector	NGO	Gauteng
38.	Thiboloha Bophelong HIV and AIDS Project	Health Care Sector	NGO	Gauteng
39.	Perseverance Rural Development Centre	Health Care Sector	NGO	Gauteng
40.	Ubuntu Abande	Health Care Sector	NGO	KwaZulu-Natal
41.	Sivukile Community Project	Health/Education Sector	NGO	Gauteng
42.	Bana Bokamoso	Social Development	NGO	Gauteng
43.	Bathusheng Care Centre	Social Development	NGO	Gauteng
44.	Zamakuhle	Health Care Sector	CBO	KwaZulu-Natal
45.	Dumbe HIV and AIDS Action Group	Health Care Sector	NGO	KwaZulu-Natal
46.	Orange Farm Ministries Fraternal	Agriculture Sector	NGO	Gauteng
47.	Luthando Primary Health Care	Agriculture Sector	NGO	Gauteng
48.	Thusanang Health and Social Community Project	Health Care Sector	CBO	Gauteng
49.	Kopano Ke Matla (Mabopane)	Agriculture Sector	CBO	Gauteng



50.	Thiloana Tsa Kopano	Agriculture Sector	NGO	Gauteng
51.	Monyakeng AIDS Support Group	Health Care Sector	NGO	Free State
52.	Grace and Mercy Ministry	Health/Education Sector	NGO	Free State
53.	Intshakaza Youth Support Group	Health Care Sector	NGO	KwaZulu-Natal
54.	Lesedi Youth Empowerment	Agriculture Sector	NGO	Free State
55.	Ubombo Drop-In Centres	Health Care Sector	NGO	KwaZulu-Natal
56.	Vicariate AIDS Committee	Health Care Sector	FBO	KwaZulu-Natal
57.	Hho hanag Home Based Care	Health Care Sector	NGO	Gauteng
58.	Unyezi CBO	Health Care Sector	CBO	KwaZulu-Natal
59.	Sizanani Community Development Project	Health Care Sector	NGO	Gauteng
60.	Abstain Be faithful and Condomise	Health Care Sector	NGO	Limpopo
61.	Lesedi Hospice	Health/Agriculture Sector	NGO	Free State
62.	Mshomisageng Club	Agriculture/Health	NGO	KwaZulu-Natal
63.	Progressive Primary Health Care FS	Health/Education Sector	NGO	Free State
64.	Goldfileds Alcohol and Drug Centre (SANCA)	Social Development	NGO	Free State
65.	Zisebenzele Community AIDS Project	Social Development	NGO	KwaZulu-Natal
66.	Thalitha Kumi	Health Care Sector	NGO	Gauteng
67.	Clean Touch administrative Services	Social Development	CBO	Gauteng
68.	Siyazenzela Community Project	Social Development	NGO	Gauteng
69.	Bilanyoni AIDS Action Group	Health Care Sector	NGO	KwaZulu-Natal
70.	Siyathuthuka Women's Organization	Health Care Sector	NGO	KwaZulu-Natal
71.	Kideco Ltd.	Agriculture/Health	Self-Help Co-operative	KwaZulu-Natal
72.	Usizolwethu Homa Based Care	Social Development	NGO	Gauteng
73.	Rise and Shine community Health Project	Health/Social Development	NGO	Gauteng
74.	Phafogang Community Project	Health care	NGO	Limpopo



		Sector		
75.	New Lovenet Project	Health/Education Sector	NGO	KwaZulu-Natal
76.	Gagokalafi	Social Development	NGO	Gauteng
77.	Hope Hospice Community Project	Social Development Health Project	NGO	Gauteng
78.	Siqalo community Care Support	Health Care Sector	NGO	Gauteng
79.	The Holy Hands Care Givers	Health/Education Sector	NGO	Gauteng
80.	Lebone AIDS Care Project	Health Care Sector	NGO	Gauteng
81.	Amurt-ahanang P.H.C Service	Health Care Sector	NGO	Gauteng
82.	Goldfields Hospice Association	Health Care Sector	NGO	Free State
83.	Lesedi-Lechabile Primary Care	Health/Education Sector	NGO	Free State
84.	Albert Luthuli women H.B.C	Health Care Sector	NGO	Gauteng
85.	Rainbow nation of South Africa	Health Care Sector	NGO	KwaZulu-Natal
86.	Vosloorus Home based Care Services	Health Care Sector	NGO	Gauteng
87.	Lethimpilo Youth organization for HIV and AIDS Orphans	Health Care Sector	NGO	KwaZulu-Natal
88.	Reach for Life Home Based Care	Health Care Sector	NGO	Limpopo
89.	Life Orientation Home Based Care	Health Care Sector	NGO	Limpopo
90.	Kgautswane Home Community B Care	Health Care Sector	NGO	Limpopo
91.	Leratong Mission Centre	Health Care Sector	NGO	Gauteng
92.	Mabotsha Home Based Care Project	Health Care Sector	CBO	Limpopo
93.	Sungardens and Mamelodi Hospice	Health Care Sector	NGO	Gauteng
94.	Uncedolwethu (our help) Project	Social Development	CBO	Gauteng
95.	Phumulani Home Based Care	Health/Education	NGO	Gauteng
96.	Human Health development Trust	Health/Education	NGO	KwaZulu-Natal
97.	Tshepong Fountain	Health/Education	NGO	Gauteng
98.	Bangabethu Sonke	Health Care	NGO	KwaZulu-Natal

		Sector		
99.	Hlabisa Community Health	Health Care Sector	NGO	KwaZulu-Natal
100.	Zolo Community Development Project	Social Development	CBO	Gauteng

**NB: CLASSIFICATION OF CSO AS FOLLOWS:**

1. Health Care Sector = 70
2. Social Development = 13
3. Faith Based Organization = 2
4. Education = 2
5. CBO's = 13

**TOTAL = 100**

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Gauteng : 53 CSO participating

Free State : 10 CSO participating

KwaZulu-Natal : 29 CSO participating

Limpopo : 8 CSO participating

**TOTAL 100**



## Appendix 3: Research Questionnaire Factors' Analysis 100 Civil Society Organizations

FACTORS EVALUATED/QUALITATIVELY RESPONSES	TALLY	FREQUENCY 100	%
<b>Organization identification information</b>			
<b>2. What description best fits your organization?</b>			
a) Non governmental organization	16x5=80		80%
b) Community Based Organization	15		15%
c) Faith Based Organization	2		2%
d) Self-help Organization	3		3%
e) Other (specify)			
<b>3. Which, if any of the following laws is your organization registered with?</b>			
a) NPO Act	19+5+2	97	97%
b) Section 21 Company Act	3	3	3%
c) Other	none	0	0
<b>4. (Geographic Spread) In which provinces is your organization based and work in?</b>			
a) Eastern Cape	None		
b) Free State	9	9	9%
c) Gauteng	51	51	51%
d) KwaZulu-Natal	10	10	10%
e) Limpopo	30	30	30%
f) Mpumalanga	None		
g) Northern Cape	None		
h) North West	None		
i) Western Cape	None		
<b>5. (Vision statements by CSOs) What is the vision of your organization?</b>			
5.1 Top leaders in development related activities	7	7	7%
5.2 Rendering quality health care services to disadvantaged communities	7	7	7%
5.3 Reaching out to the poor HIV/AIDS orphans	9	9	9%
5.4 To become the most helpful service delivery agents in terms of job-creation	7	7	7%

FACTORS EVALUATED/QUALITATIVELY RESPONSES	TALLY	FREQUENCY 100	%
and poverty alleviation/alleviation in South Africa			
5.5 Promote HIV/AIDS awareness and healthy lifestyle development (treatment and support) (Ubuntu dignified care)	30	30	30%
5.6 To educate and train disadvantaged and unemployed people to achieve a higher socio-economic lifestyle.	7	7	7%
5.7 Develop rural communities infrastructure and socio-economic conditions (sustainable development) *youth.	14	14	14%
5.8 To encourage love, spiritual development and happiness amongst poor families.	7	7	7%
5.9 Create culture of a caring and God fearing society in South Africa.	6	6	6%
5.10 Eradicate poverty and unemployment to ensure a high standard of living for all South Africans.	6	6	6%
<b>6. Mission statements of CSOs What is the mission of your organization?</b>			
6.1 To provide quality education and training to prevent and treat HIV and Aids sufferers.	36	36	36%
6.2 To empower the unemployed and helpless citizens of South Africa, through life skills and or business education/training	7	7	7%
6.3 To work participatively or collaboratively with disadvantaged communities –access business funding for them.	9	9	9%
6.4 To empower schools and communities to stop crime and substance abuse which leads to violence/deaths in families and schools?	6	6	6%
6.5 To provide healthy source of social-support to poverty-stricken families e.g. how to grow vegetables or start an SMME business.	5	5	5%
6.6 Provide holistic service delivery to needy communities in South Africa.	6	6	6%

<b>FACTORS EVALUATED/QUALITATIVELY RESPONSES</b>	<b>TALLY</b>	<b>FREQUENCY 100</b>	<b>%</b>
6.7 To disseminate professional accurate information on: health, education, treatments or management of diseases of lifestyle – HIV/Aids, alcoholism, drug abuse and addiction, diabetes, high blood pressure etc.	7	7	7%
6.8 To improve quality of life and families socio-economic status (financial independence)	12	12	12%
6.9 To restore good health, respect and high standards of morals in South Africa's violence and crime ridden society.	6	6	6%
6.10 To offer optimum care to the terminally ill patients and aged people in their homes: psycho-social counselling.	6	6	6%
<b>7. Cluster of CSOs' values/Ethics</b>			
<b>What are your organizations values/ethics?</b>			
7.1 Maintenance of high standards of professionalism in all our dealings with clients and members of the public.	23	23	23%
7.2 Treat all people with respect, compassion and dignity (human rights and freedom of choice).	20	20	20%
7.3 Ensure high integrity and justice/equality for all people.	7	7	7%
7.4 Act honestly and truthfully at all times during business hours and after business hours.	6	6	6%
7.5 Practice Batho Pele principles as published by South African government (1996)	10	10	10%
7.6 Love and care for all clients/patients equally (fear God at all times).	5	5	5%
7.7 To strive for excellence in the process of service delivery or communities development.	5	5	5%
7.8 Consistently display the spirit of selflessness and self-help amongst the poor and the jobless citizens of South Africa.	8	8	8%
7.9 Keep secrecy or confidentiality on matters pertaining to clients/patients	10	10	10%

<b>FACTORS EVALUATED/QUALITATIVELY RESPONSES</b>	<b>TALLY</b>	<b>FREQUENCY 100</b>	<b>%</b>
served.			
7.10 Observe legal measures in the process of dealing with clients/patients (NB nobody is above the law –equality for all.)	6	6	6%
<b>8. Primary or Core business objectives of CSOs. What are the primary objectives of your organization?</b>			
8.1 To uplift the poor people socio-economically.	11	11	11%
8.2 To educate and treat/care for the HIV/Aids infected people in South Africa.	25	25	25%
8.3 To train the unemployed citizens of South Africa on business skills/life skills to cope better with unemployment (deprivation) stress.	5	5	5%
8.4 To provide the most effective spiritual development and caring skills for the terminally ill.	5	5	5%
8.5 To motivate informal settlement families and communities to engage in self-empowerment/self employment ventures (poverty alleviation).	5	5	5%
8.6 To prevent crime, violence and unsafe behaviours in schools and communities.	5	5	5%
8.7 Providing quality home based care health services.	16	16	16%
8.8 To feed children from poor families e.g. HIV/Aids orphans.	7	7	7%
8.9 Providing healthy social support to the aged and homeless children.	10	10	10%
8.10 Caring for the terminally ill people.	6	6	6%
8.11 To provide holistic medical care for sick people (HIV/Aids, Cancer, diabetes, etc.) through psychotherapy/psychological counselling.	5	5	5%
<b>Types of sector programmes/projects each organization focuses on</b>			
<b>9. What type of sector</b>			

FACTORS EVALUATED/QUALITATIVELY RESPONSES		TALLY	FREQUENCY 100		%	
<b>programmes/projects your organization focuses on?</b>						
9.1 Agriculture		17	17		17%	
9.2 Education		19	19		19%	
9.3 Health		51	51		51%	
9.4 Housing		0				
9.5 Social Development		9	9		9%	
9.6 Food security		4	4		4%	
9.7 Women's cooperative		0				
9.8 Other (specify)						
<b>Identification of programmes by CSOs</b>						
<b>10. How does your organization these projects?</b>						
10.1 Community mapping		30	30		30%	
10.2 Assessments by consultants		5	5		5%	
10.3 Community based participatory assessments		46	46		46%	
10.4 Integrated development plans		11	11		11%	
10.5 Informed by funding organizations		3	3		3%	
10.6 Other (specify) Door to door contacts/ interviews		5	5		5%	
Staff complement in CSOs		Out of 100	Aver			
<b>11. Please indicate the number of employees in your organization.</b>						
Full time employees		2502	25			
Part time employees		4468	45			
Volunteers		7886	79			
<b>12. Beneficiaries per age group. Who benefited most from implemented programmes in 2007</b>		Average no of beneficiaries	AGE	F	M	total
		52	0-5	3065	2096	5161
		626	6-8	2096	4159	6255
		84	19-35	4743	3664	8407
		122	36-55	5871	6350	12221

FACTORS EVALUATED/QUALITATIVELY RESPONSES		TALLY	FREQUENCY 100		%
	83	56-65	3745	4585	8330
	105	65+	4128	6379	10507
<b>13. Beneficiary identification process. How does your organization identify its beneficiaries?</b>					
13.1	Community-based vulnerability assessments	30	30		30%
13.2	Department of Social Development	9	9		9%
13.3	Department of Health	15	15		15%
13.4	Department of Education	6	6		6%
13.5	Community structures	10	10		10%
13.6	Household profiles	23	23		23%
13.7	Other (specify) door to door	7	7		7%
<b>14. Planning, integration and accountability levels. Which structural needs is this organization addressing?</b>					
14.1	Community level	77	77		77%
14.2	CBO level	10	10		10%
14.3	Local government level	7	7		7%
14.4	national level	1	1		1%
14.6	Other (specify)				
<b>15. Ways and methods of needs identification. How did your CSO identify the needs</b>					
15.1	Community profiling	55	55		55%
15.2	Organizational needs assessments	8	8		8%
15.3	Household profiling	31	31		31%
15.4	Integrated development plans	1	1		1%
15.5	Other (specify) door to door visits	5	5		5%
<b>16. Other organizations addressing the needs of the poor. Are there any other organizations that are addressing needs of the poor?</b>					
16.1	Yes	84	84		84%
16.2	No	16	16		16%
<b>17. Sectors from which these</b>					

FACTORS EVALUATED/QUALITATIVELY RESPONSES	TALLY	FREQUENCY 100	%
<b><i>organizations come</i></b>			
17.1 Health	71	71	71%
17.2 Social Development	16	16	16%
17.3 Agriculture	5	5	5%
17.4 Education	5	5	5%
17.5 Other (specify) door to door	3	3	3%
<b>18. Relationship with the other organizations serving the same needs.</b>			
What is your relationship with these organizations?			
18.1 Part of the network	87	87	87%
18.2 Sub grantees	3%	3%	3%
18.3 member of the coalition	3%	3%	3%
18.4 Other (specify) funders/donors	7%	7%	7%
<b>19. Participation level in the Integrated Development Plans of local government. Does your organization participate in the IDPs?</b>			
19.1 Yes	75	75	75%
19.2 How?			
19.2.1 Submit needs of community to IDP	52	52	52%
19.2.2 Help to generate solutions to submitted needs above	51	51	51%
19.2.3 Participate in local govt development workshops	50	50	50%
19.3 No	25	25	25%
<b>20. Benefits of participating in IDP process</b>			
<b>What are the benefits of participating in the IDP process?</b>			
20.1 Gain more knowledge on managing CSO's functions	25	25	25%
20.2 Acquire problem-solving skills.	20	20	20%
20.3 Network with experienced colleagues	15	15	15%
20.4 Facilitates managerial and leadership development skills	15	15	15%
20.5 Identifies community service delivery needs faster and accurately.	25	25	25%

FACTORS EVALUATED/QUALITATIVELY RESPONSES	TALLY	FREQUENCY 100	%
<b>21. Limitations or obstacles in participating in IDP process</b>			
<b>What have been the constraints in participating in the IDP process?</b>			
21.1 transport costs	20	20	20%
21.2 time constraints	15	15	15%
21.3 Ineffective communication between IDP organizers and CSO's stakeholders	30	30	30%
21.4 IDP meetings not convened regularly	10	10	10%
21.5 Low participation levels of delegates during the IDP meetings deliberations.	10	10	10%
21.6 Meeting venues for IDP not made known on time.	15	15	15%
<b>22. Factors contributing to CSOs success</b>			
<b>What has contributed to your success in achieving the objectives of your organization in the past three years (tick multiple boxes)</b>			
22.1 Available funding	23	23	23%
22.2 Strong leadership of the organization	5	5	5%
22.3 Strong administrative skills of employees	10	10	10%
22.4 Strong managerial and organizational skills	7	7	7%
22.5 capacity building and training of employees	7	7	7%
22.6 number of employees to perform voluntary work	20	20	20%
22.7 Involvement of beneficiaries and communities in the design and implementation of projects.	8	8	0%
22.8 Innovation and creativity in implementation of projects	5	5	5%
22.9 collaboration and integration with other partners	5	5	5%
22.10 availability of information (internet searching and networking)	10	10	10%
22.11 Other (specify)	0		



<b>FACTORS EVALUATED/QUALITATIVELY RESPONSES</b>	<b>TALLY</b>	<b>FREQUENCY 100</b>	<b>%</b>
<b>23. Challenges (problems) in the process of achieving CSO's objectives</b> <i>What have been the challenges in achieving your objectives in the past three years (tick multiple boxes)</i>			
23.1 Limited funding	48	48	48
23.2 Limited skills	15	15	15
23.3 lack of information	14	14	14
23.4 government processes	13	13	13
23.5 administrative processes	10	10	10
23.6 other (specify)			
<b>24. Funding sources</b> <i>How do you fund your activities (sources of funding) indicate % of total budget of your organisation</i>			
24.1 International donors	30	30	30%
24.2 Government funding	45	45	45%
24.3 Private sector funding	15	15	15%
24.4 generate own funding	10	10	10%
24.5 other (specify)			
<b>25. Average Annual Income</b> <i>What was the annual income of your organization in:</i>			
25.1 2006: R975 686			
25.2 2007: R1 785316			
25.3 2008: R719543 (recession effect)			
<b>26. Average Annual Expenditure</b> <i>What was the annual expenditure of your organisation in:</i>			
26.1 2006: R256 000			
26.2 2007: R374 123			
26.3 2008: R197055			
<b>27. CSO's Future Plans on Raising Funds</b> <i>What are your CSO's future plans on generating funding for your CSO?</i>			
27.1 Appealing to International Donors/Funders (e.g. European Union, U.S. IMF and others)	15	15	15%

<b>FACTORS EVALUATED/QUALITATIVELY RESPONSES</b>	<b>TALLY</b>	<b>FREQUENCY 100</b>	<b>%</b>
27.2 Selling Products/Services	20	20	20%
27.3 Charging clients/Patients for services rendered (e.g. workshop, psychological counselling, and training fees).	15	15	15%
27.4 Approach SA's banks for loans and donations	10	10	10%
27.5 appeal to the South African public	10	10	10%
27.6 Holding traditional music festivals	20	20	20%
27.7 Organizational dinners for celebrities (e.g. Politicians, TV Stars, Musicians, Writers etc.).	10	10	10%
<b>28. How the CSO Reports its Achievements</b> <i>How does your organization report on its achievements? (Tick as many as possible)</i>			
28.1 Annual general meetings	25	25	25%
28.2 annual report (written)	20	20	20%
28.3 Quarterly reports	25	25	25%
28.4 Other (Specify): Monthly/weekly reports	30	30	30%
<b>SUSTAINABILITY AND EMPOWERMENT</b>			
<b>29. Role played by Community in the Programmes delivered</b> <i>What is the role of the Community in the programme delivered by your organization?</i>			
29.1 Provide assistance in execution of programmes (labour).	25	25	25%
29.2 Form part of advisory committees structure	25	25	25%
29.3 Assist in fund raising	15	15	15%
29.4 Community attend annual general meetings (social support)	15	15	15%
29.5 Community refers clients to CSO	20	20	20%
<b>30. Community Participation in programmes</b> <i>How does the community participate in these</i>			

<b>FACTORS EVALUATED/QUALITATIVELY RESPONSES</b>	<b>TALLY</b>	<b>FREQUENCY 100</b>	<b>%</b>
<b><i>development programmes?</i></b>			
30.1 By attending workshops, lectures, seminars on health, education, social-interventions etc.	25	25	25%
30.2 Provide labour in home based care treatments.	10	10	10%
30.3 Cook meals for the HIV and AIDS orphans and sufferers.	20	20	20%
30.4 Volunteer for a wide variety of activities, e.g. condom distribution, crime control, street cleaning campaigns etc.	25	25	25%
30.5 Attend monthly/quarterly and annual general meetings	10	10	10%
30.6 Serve in advisory Boards/Committees	10	10	10%
<b><i>31. Sources of Capacity Building and Training for CSO's What capacity building programmes and training does your organization benefit from?</i></b>			
31.1 Department of Health	18	18	18%
31.2 Department of Social Development	20	20	20%
31.3 Department of Education	15	15	15%
31.4 HIV and AIDS Human Rights Volunteers Groups	12	12	12%
31.5 Workshops organized by various CSO's education and training projects and networks	15	15	15%
31.6 International Development and Education initiatives (e.g. European Union, United Nations, USA etc.).	12	12	12%
31.7 General Government Human Resource Development Education campaigns	8	8	8%
<b><i>32. Identification and Evaluation of Capacity Building and Training Programmes for CSO's How are these capacity building and training programmes determined?</i></b>			
32.1 CSO's own needs analysis.	24	24	24%
32.2 External Sources' inputs (e.g.	30	30	30%

<b>FACTORS EVALUATED/QUALITATIVELY RESPONSES</b>	<b>TALLY</b>	<b>FREQUENCY 100</b>	<b>%</b>
communities' suggestions, communities' development trends analysis).			
32.3 Government's departments' directives, indicators, policies etc. (e.g. Health, Education, Social Development etc.).	31	31	31%
32.4 Funders/donors' directives or indicators, suggestions (e.g. European Union's development priorities, UN, USA etc.).	15	15	15%
<b>33. Who Provides Capacity Building Resources for your CSO? Who provides these capacity building and training programmes?</b>			
33.1 Department of Health	20	20	20%
33.2 Department of Social Development	25	25	25%
33.3 Department of Education	20	20	20%
33.4 Foreign funders and donors	20	20	20%
33.5 CSO's own general resources (e.g. workshops, fundraising, bank loans etc.).	15	15	15%
<b>34. Outcomes or Results of Capacity Building and Training Programmes What has been the effect of these capacity building and training programmes?</b>			
34.1 Developed and Expanded Management and Leadership Skills of CSO's staff/managers.	15	15	15%
34.2 Enabled CSO's to reach out more to disadvantaged communities.	30	30	30%
34.3 Helped significantly to implement SA's Governmental Socio-economic Empowerment of the poor people.	15	15	15%
34.4 Enabled CSO's to meet the foreign funders or donors, interests, policies and/or mission.	20	20	20%
34.5 Improved Socio-Economic status and lifestyles of the Poorest of the Poor (POP)	20	20	20%
<b>35. Future Capacity Building and Training Programmes identified</b>			

<b>FACTORS EVALUATED/QUALITATIVELY RESPONSES</b>	<b>TALLY</b>	<b>FREQUENCY 100</b>	<b>%</b>
<b><i>needs</i></b> <b><i>Please indicate, if any, future capacity building and training programmes you have identified</i></b>			
35.1 Planning and Financial Management Training	9	9	9%
35.2 Project Management Training	15	15	15%
35.3 Accounting/Bookkeeping (see also point 35.1 above)	6	6	6%
35.4 Home based care and nutrition management skills	15	15	15%
35.5 Business education and computer literacy skills	10	10	10%
35.6 Communication and facilitation skills	10	10	10%
35.7 Professional nursing and social worker skills	5	5	5%
35.8 ABET and community development education	10	10	10%
35.9 Psychological counselling skills e.g. cancer, HIV/Aids, diabetes management	5	5	5%
35.10 Effective leadership skill training			
35.11 Supervisory and managerial skills training	5	5	5%
35.12 Peer health educators skills	2	2	2%
35.13 Job creation skills and entrepreneurship development	3	3	3%
<b><i>36. CSO's Decision-making Style</i></b>			
<b><i>How are decisions made by your CSO?</i></b>			
36.1 Group or staff participation process	20	20	20%
36.2 Monthly/or weekly manager's meetings	25	25	25%
36.3 Board of trustees	10	10	10%
36.4 Board members and CSO's staff (representatives)	15	15	15%
36.5 CSO's management committees	20	20	20%
36.6 Consultation meetings with members of communities being served (recipients of services)	10	10	10%
<b><i>37. Impact of decision-making style on programme implementation</i></b>			
<b><i>How does the current decision-</i></b>			

<b>FACTORS EVALUATED/QUALITATIVELY RESPONSES</b>	<b>TALLY</b>	<b>FREQUENCY 100</b>	<b>%</b>
<b><i>making process enhance your programme?</i></b>			
37.1 Accelerate implementation process of services	25	25	25%
37.2 Develops many staff members (joint participation process)	15	15	15%
37.3 Ensures high transfer of managerial and leadership skills to staff and communities	20	20	20%
37.4 Links Board members, donors/funders with real problems of disadvantaged communities.	15	15	15%
37.5 Ensures effective delivery of vitally needed services to poverty-stricken communities.	25	25	25%
<b><i>38. Methods/style of information sharing</i></b>			
<b><i>How is information shared in your organization?</i></b>			
38.1 Management and staff (weekly, monthly, quarterly and annually).	35	35	35%
38.2 Telephonically/emails, memos	25	25	25%
38.3 CSO's communication bulletins/newsletters	17	17	17%
38.4 Staff social gatherings/functions	8	8	8%
38.5 Departmental heads give feedback to staff e.g. during performance appraisal sessions.			
38.6 Notice boards/information desk points	5	5	5%
38.7 Briefing sessions/feedback from forums/workshops.	5	5	5%
38.8 Emergency staff meeting	3	3	3%
38.9 Disciplinary hearings sessions with staff.	2	2	2%
<b><i>39. Effectiveness of the method of sharing information</i></b>			
<b><i>How effective is this process of information sharing?</i></b>			
39.1 Highly effective and participative	22	22	22%
39.2 Very beneficial in terms of knowledge, information, communication	28	28	28%

<b>FACTORS EVALUATED/QUALITATIVELY RESPONSES</b>	<b>TALLY</b>	<b>FREQUENCY 100</b>	<b>%</b>
needs satisfaction for both managers and staff.			
39.3 Educative and transformative	20	20	20%
39.4 Helpful and facilitates decision-making for staff and others involved.	10	10	10%
39.5 Elevates morale levels of staff and managers			
39.6 Fosters healthy working climate and relations with stakeholders e.g. board of trustees, donors/funders.	20	20	20%
<b>40. Key aspects to achieve sustainability of CSOs.</b>			
<b>What are the key aspects that are important for the sustainability of your organization?</b>			
40.1 Winning big projects with huge financial funding.	28	28	28%
40.2 Ensuring constant flow of funds from international donors/funders like EU, UN, USA and others.	17	17	17%
40.3 Accessing bank financial loans.	15	15	15%
40.4 Being able to expand our market share in selling goods and services (to raise capital) on our own.	25	25	25%
40.5 Increasing our volume of service delivery to developing communities and people, to attract more funding from government and international donors/funders.	15	15	15%
<b>41. New future area or service delivery directions</b>			
<b>What are the future areas/directions your organization wants to engage in?</b>			
4.1 To be accredited service providers	3	3	3%
41.2 Stay in our current areas namely health, education and social development.	12	12	12%
41.3 Focus on participative community development and crime prevention	10	10	10%
41.4 Work with HIV/Aids orphans, street	15	15	15%

<b>FACTORS EVALUATED/QUALITATIVELY RESPONSES</b>	<b>TALLY</b>	<b>FREQUENCY 100</b>	<b>%</b>
children and the homeless			
41.5 Focus on the aged or elderly citizens' home visits and care	10	10	10%
41.6 Sports and healthy lifestyles development			
41.7 Infrastructure development and provision to disadvantaged communities e.g. learning centres for adults, libraries, computer training facilities, and domestic violence victims care centres, drugs and rehabilitation centres.	28	28	28%
41.8 Socio-economic empowerment /development centres with emphasis on business education and entrepreneurship development.	12	12	12%
41.9 Establishment of more HIV/Aids support groups and community policing forums	10	10	10%
<b>42. Identification of future developmental service delivery needs</b> <b>How are these future areas/directions determined?</b>			
42.1 Environmental scanning/analysis	8		
42.2 Socio-economic status, health and education levels surveys.	10		
42.3 Government reports, policies, directives	10		
42.4 Disadvantaged communities' inputs during meetings and workshops/trainings sessions	15		
42.5 Research (national, provincial and local government needs)			
42.6 Communities' unemployment and poverty levels-surveys/ govt statistics reports			
42.7 Funders/donors/stakeholders suggestions			
42.8 Internet electronic surveys			
42.9 CSOs annual reports			
42.10 Communication and networking with other CSOs			



<b>FACTORS EVALUATED/QUALITATIVELY RESPONSES</b>	<b>TALLY</b>	<b>FREQUENCY 100</b>	<b>%</b>
<b>43 Empowerment/Capacity building of communities by CSOs</b> <b>What capacity building programmes did this organization organize to impart/transfer skills to communities?</b>			
43.1 Office database on poverty alleviation (reported data)	15	15	15
43.2 Communities' feedback during door to door campaigns	12	12	12
43.3 Trained family members to take care of sick relatives/beloved ones	18	18	18
43.4 Established new computer skills training, cooking, home based care centres	15	15	15
43.5 HIV/Aids lay counsellor centres training	20	20	20
43.6 Child Care centres			
43.7 Aged and ABET education centres	7	7	7
43.8 Health education/entrepreneurships development centres.	13	13	13
<b>44. Impact of poverty relief and capacity building programmes</b> <b>What impact are your poverty relief and capacity building programmes making in the fight against poverty?</b>			
44.1 Disadvantaged communities are now highly empowered	10	10	10
44.2 Have increased self-employment opportunities (SMMES).	5	5	5
44.3 Improved standard of living and lifestyles of people collectively.	20	20	20
44.4 Infrastructure in informal settlement has improved – availability of learning, recreation, computer skills training home-based care.	25	25	25
44.5 Number of unemployed and poor people who receive helps CSO's (e.g. food parcels distribution, HIV/Aids orphans – feeding schemes, ABET facilities).	20	20	20
44.6 Communities' participation levels in workshops and self-help activities.	20	20	20

FACTORS EVALUATED/QUALITATIVELY RESPONSES	TALLY	FREQUENCY 100	%
<b>45. Measurement of impact How do you measure impact?</b>			
45.1 Surveys and interviews	10	10	10%
45.2 Feedback from donors/funders and management team	10	10	10%
45.3 Annual reports and press media publications	12	12	12%
45.4 Workshop delegates evaluation inputs/comments	10	10	10%
45.5 Engage organization development consultants to evaluate progress.	8	8	8%
45.6 Number of community service delivery related structures built	17	17	17%
45.7 number of disadvantaged communities registered in the cso database	23	23	23%
45.8 skills development centres established for development of the poor.	10	10	10%
<b>46. Types of evaluation and monitoring tools of CSOs What type of monitoring and evaluation tools do you have?</b>			
46.1 Monthly/weekly manager/staff reports	20	20	20%
46.2 Annual Board of directors/trustees and CEOs reports	5	5	5%
	13	13	13%
46.3 Press media publications	5	5	5%
46.4 Funders/Donors reports	13	13	13%
46.5 Productivity levels and business plan checks	5	5	5%
46.6 Office data base (number of recipients of services)	15	15	15%
46.7 conduct door to door surveys on service delivery satisfaction levels.	10	10	10%
46.8 suggestion box method	5	5	5%
46.9 external/independent evaluators (consultants)	5	5	5%
46.10 completion of standard evaluation forms with performance criteria indicators	5	5	5%
46.11 scheduled site visits	2	2	2%
46.12 checking financial budget versus income generated	5	5	5%

FACTORS EVALUATED/QUALITATIVELY RESPONSES	TALLY	FREQUENCY 100	%
<b>47. Best case studies on poverty alleviation executed by CSOs</b> <b>Which best case studies can you mention regarding programmes which impacted more in poverty alleviation?</b>			
47.1 Starting of soup kitchens (feeding schemes) for aged, children, HIV/Aids orphans, unemployed people in disadvantaged communities.	20	20	20%
47.2 Food parcels distribution sponsorship			
47.3 Establishing a huge home based service delivery project	10	10	10%
47.4 Teaching poor communities to engage in gardening projects. Producing their own food and selling them to raise capital for SMMEs.	15	15	15%
47.5 Establishing KWANDA IN KOPPIES: SABC	1	1	1%
47.6 Production of compost –manure project to sell to gardeners.	3	3	3%
47.7 Helping community members to access social grants, RDP houses, ECD services	6	6	6%
47.8 Establishment of a youth leadership skills training centre	5	5	5%
47.9 Community skills development centres project e.g. computer skills training, business education health education, ABET, life skills training etc.	23	23	23%
47.10 Started pig and chicken farming – it is doing very well.	2	2	2%
47.11 Started lay people psychological counselling centres training for HIV/Aids sufferers, TB, diabetes, rape victims, debt control, unemployment stress, cancer.	15	15	15%

(Source: Vuyelwa Nhlapo, December 2009)