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PUBLIC SERVICE REFORM IN SOUTH AFRICA: AN OVERVIEW OF SELECTED CASE STUDIES FROM 1994-2004

By

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ABSTRACT

The research explores the concerns, challenges and successes of the Government of South Africa's efforts to transform the Public Service to be representative of the South African society. Some of the efforts include inter alia developing policy initiatives to obtain an environment conducive to change in the human resource management of the public sector from an apartheid based system that created a fragmented public service, to a Public Service which now reflects the demands of the South African society void of racism, gender discrimination and associated peculiarities. The dissertation used a case study approach. Information was gathered from authoritative literacy sources. This was supplemented by empirical research that relied heavily on official publications and data in the Ministry of Public Service and Administration and across the various South African Government infrastructures. The main conclusion of the research indicates that major transformation through policy initiatives had been achieved. However, as far as implementation is concerned, much work is still required.

ACRONYMS

ANC	African National Congress
AU	African Union
CBM	Competency Based Management
CBO	Community Based Organisation
CDW	Community Development Worker
CEO	Chief Executive Officer
CJPS	Criminal Justice Strengthening Programme
CPSI	Centre for Public Service Innovation
DG	Director General
DDG	Deputy Director General
DPSA	Department of Public Service and Administration
EXCO	Executive Council of the Province
GDP	Gross Domestic Product
GNU	Government of National Unity
GEPF	Government Employee Pension Fund
HOD	Head of Department
HRD	Human Resource Development
HRM	Human Resources Management
ICT	Information and Communication Technology
IFP	Inkatha Freedom Party
IGR	Intergovernmental Relations
IJS	Integrated Justice System
IPSP	Integrated Provincial Support Programme
IMT	Inter-Ministerial Team
IT	Information Technology
MEC	Member of the Executive Committee
MPSA	Minister for Public Service and Administration
MTEF	Medium Term Expenditure Framework
NEDLAC	National Economic Development and Labour Council
NEPAD	New Partnership for African Development
NGO	Non-Governmental Organisation
NP	National Party
NPM	New Public Management
PERSAL	Personnel Salary System of Government
PFMA	Public Finance Management Act
PMDS	Performance Management Development System
PPP	Public Private Partnership
PRC	Presidential Review Commission
PSA	Public Servants Association of South Africa
PSC	Public Service Commission
PSCPC	Public Service Co-ordinating Bargaining Council
PSR	Public Service Regulations
PUMA	Public Management and Administration
RDP	Reconstruction and Development Programme
RSA	Republic of South Africa
SADC	Southern Africa Development Community
SAP	South African Police Service
SARS	South African Revenue Service
SAMDI	South African Management Development Institute
SCOPA	Standing Committee on Public Finances
SITA	State Information Technology Agency
SMME	Small Medium and Micro Enterprises
SOE	State Operating Agency
SMS	Senior Management Service
UNDP	United Nations Development Programme
VSP	Voluntary Severance Package
WPTPS	White Paper on the Transformation of the Public Service

CLARIFICATION AND DEFINITION OF TERMS

Affirmative Action: Affirmative Action (within the South African context) is a deliberate and systematic intervention aimed at ensuring the required redress for those citizens who were disadvantaged under apartheid on the grounds of race, gender and disability. The focus on this is to ensure the transformation of institutions and structures with the inclusion of blacks (African, Coloureds and Indians), women and disabled people.

Apartheid: Apartheid refers to a policy adopted by the National Party Government since 1948 aimed at the separate development of the various races in South Africa.

Batho Pele: "Batho Pele" is a Sesotho term meaning 'People first.' The title captures its essence which reflects the centrality of people 'in' and 'to' service delivery. A 'Batho Pele' policy was put in place in order to ensure equity in access to service delivery by all citizens of South Africa. It also involved the improvement of the service delivery culture within the public service by changing the 'back' and 'front' office operations within an organisation, institution and government department. A major component includes changing the culture and attitude towards work within the public service and towards the citizens.

Developmental State: In South Africa, it is the endeavour by the democratic state to intervene in the context of a market driven capitalist economy to ensure that economic growth and development is shared more widely. The intervention will ensure that these benefits of growth address the socio-economic challenges South Africa is facing. Some of which includes poverty, unemployment and income disparities against the background of the Constitutional principles and values.

Freedom Charter: A document drawn up, in Kliptown, South Africa in 1955, through popular involvement spearheaded by the African National Congress (ANC) which reflects demands of the principles that the future South Africa should embrace. It contains ten clauses ranging from the notion that the people shall govern to there shall be peace and friendship. It deals with questions of building a non-racial South Africa, basic demands of the people of South Africa from housing to education. It further deals with foreign relations in terms of respecting the sovereignty of other states.

Government of National Unity: The multi-party government established in 1994 based on the negotiated settlement which was established through a coalition government but was a conscious initiative to build national unity and reconciliation. The executive/cabinet that was formed, in 1994, included the ANC, NP and IFP of which the configuration changed in more recent years. The GNU included two Deputy Presidents in the period of 1994 to 1996.

iZimbizo: The normal reference in traditional/tribal society is a large meeting called by the Chief with members of the community. In the case of government, it is utilised as a vehicle of participatory democracy through meetings that bring members of communities together with elected representatives to discuss matters of governance with a particular focus on service delivery.

Khaedu: A programme which involves the deployment of members of the senior management service to service delivery facilities for a period of up to one week per annum. It allows senior managers' exposure to front office work.

Peoples' Contract: The political manifesto of the ANC for the 2004 elections was framed as a peoples contract. It essentially refers to the need for partnership with a range of stakeholders, including and especially communities, in the provision of services.

Public Administration: It is a multidimensional and multifaceted discipline which consists of a number of sub fields including policy-making, organising, staffing, work procedures, financing and control. Aspects of public administration are political, legal, bureaucratic and managerial.

uBuntu: A shared and common humanity.

Sunset Clause: These were particular tactical provisions that were considered in order to broker the negotiation settlement and revolved the issue of tenure of public servants including the armed forces which guaranteed their future employment and their conditions of service.

Transformation: In the instance of the transformation of the South African state it involves the complete change of organs of the state to reflect the reality of the democratic dispensation which thus entails the structural change of the state machinery; systems; cultural/ change in the value system and personnel changes. It is about the reorganisation and restructuring of the state to be responsive to the developmental agenda.

New Public Management: It could be captured as the shift from a bureaucratic model of administration to a market model of management aligned to the private sector. New Public Management utilised distinctive tools consisting of inducements rather than normative values and tends to assimilate private and public management and hence, for example, the identification of citizens as customers

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PUBLIC SERVICE REFORM IN SOUTH AFRICA: AN OVERVIEW OF SELECTED CASE STUDIES FROM 1999-2004

CHAPTER ONE

INTRODUCTION

2. HISTORICAL OVERVIEW AND BACKGROUND TO STUDY

> *"South Africa faces a pressing challenge of eliminating the poverty and under-development that afflicts the overwhelming majority of the population … transformation stems from the need to address the profound inequities inherited from the past, the need to meet the moral, social and economic demands of the new South Africa and the challenge of national and international opportunities presented by the present climate of change…"* ***Geraldine Fraser-Moleketi, Hon. Minister of Public Service and Administration.*** *(Public Service Review Report 1999/2000).*

In dealing with the subject on the basis of the democratic transformation in South Africa in relation to the Public Service and Public Administration it is necessary to briefly consider the nature of the administration inherited. An undemocratic apartheid driven system that was racially fragmented was inherited.

Being in Africa, it is necessary to contextualise in passing through the separate work of researchers like Gladden (1972), and others, that tribal society, in Africa, had government structures prior to colonial rule. The government structures included a hierarchy within those tribal societies. This study does not question, challenge or build on the hypothesis of the existence of government structures within traditional African society but acknowledges it. Since the dominant reference that this study is premised on is the history of the Union of South Africa and the impact of the Apartheid government with reference to the threads of the past that influences the present.

According to the South Africa Act of 1909, section 19, 'the legislative power of the Union shall be vested in the Parliament of the Union, herein called the Parliament, which shall consist of the King, a Senate, and a House of Assembly. Up to the point of the

Union, in 1910, different strands of public administration including that of the Dutch influenced the direction of what is considered modern public administration. In 1910, Cape Province's the Civil Service Act (Act 42 of 1885) governed public administration in the Union. It must be noted that the advent of the Union meant that four previously independent colonies united to form a single unitary state. The impact of the Union translated into the formation of a single/unitary public service at the level of the administration.

The dominant tradition within the public administration was that of the British. However, when the National Party came into power, in due course, an Afrikaner-dominated central service developed and did not always find the British traditions convenient. At an executive level "the executive government of the Union is vested in the King, and should be administered by His Majesty in person or by a Governor- General as his representative" (South Africa Act, 1909, sec 8).

3. BACKGROUND TO THE PUBLIC SERVICE TRANSFORMATION AND REFORM EXPERIENCE IN SOUTH AFRICA

The transformation of the public service constituted an important part of the democratic transformation in South Africa. As early as 1956, the Freedom Charter, a document adopted by the ANC at the Congress of the People, captured the fundamental values of a future democratic state and society.

'Analysis of the Freedom Charter adopted at the Consultative Conference of the ANC,' in Morogoro in May 1969, the clause the 'People shall govern' is elaborated. It states [that] "the present administration will be smashed and broken up". In its place will be created an administration to which all people irrespective of race, colour or sex can have access and participate in. The bodies of minority rule shall be abolished and in their place will be established democratic organs…" (ANC Speaks, September 1977, p.19).

The initial expectation of 'smashing and breaking up' the administration was eventually tempered through the negotiated settlement reached in 1993. At the time of the

constitutional negotiations, there was a thorough understanding of the problems of the public service the ANC was about to inherit. A tactical concession was brokered, within the negotiations, and around certain "transitional arrangements" which were included in the Interim Constitution of the Republic of South Africa, 1993. These interim arrangements dealt with certain state institutions and agencies as well as the human resources/personnel. It *inter alia* guaranteed the security of tenure of those who staffed the public sector structures.

The central argument which is pursued in this dissertation is that a particular value set, informed public administration reform in South Africa post-1994. However, these values did not come into play on a clean slate. Further to this, the values the ANC embraced regarding democratic governance and those it managed to have embodied in its founding documents during the negotiations process is what resulted in a particular and unique embodiment of its approach to the dominant paradigm in public administration at the time.

In the South African context, when the time came for a negotiated settlement, the ANC and its partners had to consider a more strategically informed settlement rather than the initial desire for a clean break with the past. The result and outcome of this rethink was the transitional arrangements as reflected in the Interim Constitution, more commonly known as the "sunset clause" which provided for the incorporation of the various public services that existed under the old dispensation, into the new one.

The governance framework for South Africa is elaborated in the Constitution of 1996. The Constitution of South Africa ensures *inter-alia* that values like non-racialism and non-sexism become integral in the public service. These values, it is noted should serve as key indicators of the successful transformation of the public service and society as a whole.

Some of the main features of the state as provided for in the Constitution of 1996, Chapter 10, are of a developmental orientation and this approach is supported by a

participatory and inclusive mechanism to policy-making and implementation. A particular perspective of the operation of public administration and public management supports this approach to governance. These are themselves embodiments of different worldviews. Accordingly, the development of the so-called new paradigms, such as New Public Management could be noted. Ideally, one would want to see that the values informing the governance framework in a country should be primary and therefore reflected and embraced in the public administration and public management approaches. Such administrative and management practices constitute tools or mechanisms to achieve governance goals. The adoption of certain administrative or management approaches ought not to be seen as goals to be pursued in their own right. Accordingly this dissertation will argue that the New Public Management (NPM) methodologies that were adopted in the South African reform effort were specifically seen as tools, contributing to building an effective and efficient administration, in order to achieve the governance goals of a democratic South Africa. There was never a deliberate strategy to adopt the NPM as an embodiment of a benchmark for public sector reform to be pursued uncritically. The African National Congress (ANC) government is focused on building an effective public administration, which is a key component of good and effective governance in the procurement of a developmental state. Use is made of different tools and processes.

The philosophical-political base of the ANC influenced the way in which South Africa internalised and implemented the paradigm shift commonly referred to as the "New Public Management". At the same time, the tools and the manner in which they are used has an influence on the product that is delivered. In the same vein, it has to be acknowledged that the current governance realities that prevails eleven years into the South African democracy has been shaped by the mechanisms that were brought into play in terms of the inter-play between public administration and management.

3. PATH DEPENDENCY THEORY

One of the most dominant theories in public administration often used to explain organizational change is that of path dependency. According to this theoretical

framework, the past runs as a thread through and influences the direction of implementation in the present.

For example, in the instance of Germany, Jann (2004) argues in relation to the governance agenda, institutional traditions in Germany could be considered stable but they adjust to different themes and dilemmas as organisms respond to context and development. However, as different paths are followed with the German reform, it could be linked back or related to different traditions in their past. It could thus be argued that the break in tradition is not that clear in the German instance and that there is still a thread of permanence in other domains.

In line with this theoretical thinking and in consideration of on-going review of the literature on public administration reform advances, the argument that a society's traditions in terms of public administration shape and influence future transformation and reform initiatives could be in order or that the whole notion, needs a re-think. In the South African instance it could be argued that the path dependency came in the form of the negotiated settlement which made provision for the 'sunset clause.''

In terms of the predecessor's view on certain administrative cultures, certain questions or assumptions arise.

> *What were the implications of the sunset clause in terms of a break with tradition?*
>
> *Did the Government achieve a clean break sufficiently enough that would allow the state apparatus to serve the democratic state?*
>
> *Which traditions are being referred to and were there identifiable traditions?*
>
> *Does it refer to a tradition that underpinned the Apartheid state and one which implemented a white minority rule in the Republic of South Africa?*

Is reference made to the tri-cameral tradition?

Is reference made to the homelands tradition of administration?

What culture was retained in the public service and what work ethic accompanied the amalgamation of the disparate administrations into a unitary South African Public Service?

Without exploring the detail of these questions they do arise within the research. The *Sunset Clause,* was a deliberate tactical measure, which formed part of the negotiations strategy to ensure a successful negotiated political settlement. The ANC wanted to avoid massive destabilisation within the public service of South Africa by the right-wing forces by capitalising on the insecurity of disgruntled white bureaucrats who were fearful of loosing their jobs. The approach was therefore, among others, to deny the right-wing elements, a fertile recruitment ground within the machinery of the state. Negotiations were seen by the ANC as an integral part of the struggle. Slovo (1992) noted when he described the negotiations as a 'key element or stage in the struggle process towards full and genuine liberation.' (Slovo,1992).

The negotiated settlement included a deliberate action that would link the democratic dispensation to the apartheid state through the retention of public servants in various sectors including the police and the army. Paradoxically, the *Interim Constitution*, on the one hand, included the *'sunset clause'* by guaranteeing the conditions of service of incumbent civil servants and, to a degree, their tenure of service and at the same time, entrenching the *'bill of rights'*. It should be noted that the bill of rights entrenched the constitutional imperative for the implementation of affirmative action policies and programmes that changed the demographic composition of the South African Public Service. This paradox captures the nature of complexity in the settlement reached in South Africa culminating in a Government of National Unity (GNU), which permeated

the most important instrument of state, the public service, which is also the implementation arm of government reforms in the Public Service.

It logically follows from this understanding that the political and social construct of South Africa's past influenced the approach and thrust of the transformation of the state and society. In order to really understand the public sector transformation process during the past decade and moving from the apartheid state to establishing a democratic and non-racial state, one needs to reflect on how South Africa's past administrative traditions, as well as the thinking on administration by the African National Congress, the future majority party which constituted a government of national unity, have shaped the current and future practices and organizational cultures of the new South Africa.

Two clearly distinguishable contributories that eventually gave form to post- apartheid administration can be distinguished: The first being the apartheid administration pre-dating the democratic transition in 1994 and the second being the ANC's historical thinking on issues pertaining to public administration as enshrined in Chapter 10 of the Constitution. It is therefore instructive to briefly map the main features of both these contributory paths that led to the point of a democratic liberation in 1994.

In 1994, the ANC-led Government could not make a clean break with the past as a result of the existence and retention of the entire apartheid public administration, which included self governing territories and Bantustans, and the 'own affairs' ('Coloured' and 'Indian' administrations) departments. Practical measures were taken post-1994 to ameliorate this situation through the introduction of *voluntary severance packages* (VSP) and the implementation of an aggressive affirmative action programme. Both these measures registered mixed success.

After its election in 1948, the National Party proceeded with a programme of addressing the "poor white" problem by creating jobs for these working class whites and they were mostly Afrikaans speaking in the public services, including the state administration, health, education, postal and railway services. The potential of public sector employment

as a developmental tool was clearly demonstrated by this form of "affirmative action". This lesson was not lost on the ANC members who clearly recognised that the public service was one of the levers of power that it had to get its hands on if it wanted to ensure a true transformation of the South African society.

The National Party (NP) employment practices in the public service created the following problems by the early 1990s: (Dexter 1994:32-35)

- A large number of senior officials, from Deputy-Director and up who have through their loyalty to their Apartheid masters achieved their seniority levels;
- A public service employment structure that was motivated on the one hand by the urge of alleviating the "poor white" problem and on the other hand, giving effect to Apartheid through the creation of separate administrations for various population groups and the so-called self-governing states. The employment structure bore little logical connection to what the responsibilities of government were or ought to have been;
- A public administration ethos that was following the letter of the law (apartheid laws) uncritically, without raising questions regarding the morality of legislation, nor about effective and efficient administration.

As would be noted and observed at the time the apartheid public service created institutions and personnel that are accountable to no one but their superiors which constituted an unrepresentative composition of the South African population and was very unresponsive to the needs of the South African people and more especially, the black community.

However, not all analysts would agree with this. Venter (1998) highlights that certain sections and units within public administration acted in their vested interest rather than being compliant to its political masters especially when there was an attempt to introduce some political reforms in the early 1980s. This agenda was, according to Venter (1998), to the right of the then political leadership and actively undermined change and reform as proposed at that stage. Venter (1998) singles out the bureaucracy in the Bantu Affairs Administration Boards as a classic example.

This situation compelled a political effort after the transition to democracy to establish control over the bureaucracy and to inculcate a new value system and philosophy, in tune with the political agenda of the ruling party. The reality of the apartheid past was one of a 'balkanised,' fragmented public administration which was divided racially and ethnically.

In May 1992, shortly before coming to power, the *Ready to Govern* conference of the ANC re-stated the basic objectives of the 'movement':

- "To strive for the achievement of the right of all South Africans, as a whole, to political and economic self-determination in a united South Africa;
- To overcome the legacy of inequality and injustice created by colonialism and apartheid, in a swift, progressive and principled way;
- To develop a sustainable economy and state infrastructure that will progressively improve the quality of life of all South Africans; and,
- To encourage the flourishing of the feeling that South Africa belongs to all who live in it, to promote a common loyalty and pride in the country and to create a universal sense of freedom and security within its borders."

These are not mutually exclusive goals and there is an appreciation that all four objectives should be developed simultaneously (ANC, 1992:1). However, the process of transformation can be likened to a biological organisation, which grows into shape within different stages of development and contexts.

4. CONCLUSION

Studying the transformation and reform in the South African public sector should not be viewed in isolation of the larger focus on the overall transformation of the State and society. It should be understood against the background of the strategic objectives of the African National Congress (ANC) to build a non-racial and a non-sexist democratic society that is developmental in character.

The research questions asked at the onset of this study, and which supports the development of the key argument set out in the introductory section of this chapter are re-stated again for the elucidation of the reader:

> *"To what extent did the normative values that the ANC embrace (as reflected in its documents and decisions) inform the public administrative reform initiatives to result in the establishment of a strong machinery of state, committed to work towards the democratic transformation of the South Africa society?"*
>
> and;
>
> *"To what extent did the normative values of the ANC and the ANC-led government resulted in the customisation for the South African context, a dominant public sector reform paradigm known as the '<u>new public management'?"</u>*

The study will consider factors that may have militated for, or against, an uncritical adoption of a comprehensive New Public Management thrust. This adoption of an NPM approach met with scrutiny of different stakeholders in government and in the general public. The study will consider whether the South African public sector reform initiatives went beyond the rhetoric of supporting a new public management agenda, and instead, constituted a truly South African public sector reform programme which is responsive to the historical and prevailing context of the country and is committed to the developmental idea that characterizes much of the ANC's thinking on the role of the State, its machinery and the public service.

The threads of South Africa's past and its link into the present public service will be explored as contributing factors to the uniqueness of the South African transformation project. Government agreed, as part of a considered strategy, to compromise (by instating the Sunset Clause) in favour of securing the tenure of 'apartheid' public servants in order to ensure stability in the administrative machinery of the country prior to the April 1994 elections. As well, it must be noted that this gesture of goodwill was needed as the nation moves into the process of the transition and the building of a democratic and developmental state machinery.

This particular study has not completely exhausted all the levels of the reform path followed in the first eleven years of South Africa's democracy neither can it claim to comprehensively deal with the period 1999 to 2004/5. It attempts to reflect on whether the normative values within public administration ameliorated the impact the New Public Management may have had on the South African Public Service due to the alignment with the overall political vision and value system.

This study, with some limitations, has allowed for a personal review by the researcher of certain policy interventions and its implications in the process of implementation transformation for the South African Public Service. There has been a moment to reflect on which aspects of public policies were implemented and which may have either fallen off the agenda or consciously have not been pursued. Some examples which come to mind are those aspects of the senior management service (SMS) which were rigorously pursued and implemented, such as the flexible remuneration framework, the removal of the senior management service from the bargaining chamber and competency assessments which were introduced.

Government is still grappling with the best career-pathing option for professionals within the senior management service by examining the framework that was adopted on the remuneration considerations for professionals. Certain proposals such as the recommendation on 'contract' or 'fixed' appointments of Directors-General (DG) never went beyond the draft stages. Some of these must be accompanied by a consideration that the DG should consider termination of service six months after the end of term of an executive authority. The matter of 'fixed term', which is linked to the tenure of the executive authority is important against the background that a Director-General/Head of Department is paid ten percent additional to the remuneration package in view of the risk linked to the term. The challenge of centralization and decentralization comes to the fore very starkly. Reference is made to the challenge of devolving and decentralizing particular functions in an environment in which the challenge of massive transformation is further exacerbated by the absence of the required capacity or in certain instances, the incorrect deployment of capacity and personnel.

CHAPTER TWO

METHODLOGY: APPROACHES USED IN THE STUDY

1. PURPOSE OF STUDY

In general terms, the purpose of the study is to reflect on the way in which norms and values of different institutional forces, including assumptions and ideological influences contained in the prevailing paradigm of thinking on public administration, at the time of the political transformation influenced and shaped the public service dispensation that South Africa managed to create since 1994. The research will show that no reform or transformation process is left untouched by its predecessor systems and other influence streams, an assertion that is confirmed by the theory of "path-dependency". The research also comments on the importance of the role of leadership in shaping and influencing the reform and transformation path, particularly as far as it concerns the overarching normative framework and values.

2. RESEARCH PROBLEM

The South African public service transformation experience came in at the tail end of the period in which the thinking on public sector reform internationally was under-going substantial change with shifts from the traditional Weberian approach to public administration and then to what has become known as the *New Public Management*. In effect, South Africa was dealing with transforming the public administration from the one that served the apartheid state to a new dispensation that is committed to serving the new democratic and developmental State. At the same time, it had to cope with introducing reforms within the scope of "modernizing" the administration from the Weberian approach, to the most up-to-date thinking on public management at that stage. Different value orientations were, however, at play through these two change processes and this became clearer the further the transformation process progressed.

Over time, these different sets of values shaped various policy initiatives and they are still a factor to reckon with now that Government has moved significantly in the direction of policy implementation. In some instances, the creative tensions between the values allowed for creative innovation. Government however, was not always been vigilant enough and in some cases have uncritically transferred policies without considering whether the underlying norms and assumptions were compatible with the fundamental orientations and deeply held beliefs that shaped the ANC's perspective on how the transformation should unfold in order to support the dispensation that it wishes to create.

Based on this, the study will attempt to examine how a commitment to democratic principles and developmental outcomes has been ensured in the South African situation. At least thus far, the preservation and commitment to protecting the public nature of the public service, the infusion of the commitment to placing people centrally, and embracing democracy by continuing to give primacy to political guidance have been ensured. From the democratic elected leadership of the ANC, notwithstanding pressures to elevate managerial authority much has to be desired.

Based on these considerations, the following research questions that will guide this are presented.

3. RESEARCH QUESTIONS

Which different norms and values shaped the Public Service transformation process?

To what extent did these impact on one another, either by ameliorating the negative aspects or leading to greater innovation in the South African context or even strengthening positive aspects that are found across different streams of thinking and influence?

To what extent can it be argued that in the South African context, Government has succeeded to absorb the best elements that the NPM framework has to offer in the public service reform and transformation agenda without compromising the developmental and democratic state ideal?

In order to support this primary set of research questions, a second set of investigative questions were developed in order to address these issues and provide forums for further engagement. This second set includes the following questions:

What are the particular contextual influences, that gave rise to the public service transformation as observed currently in South Africa?

What constraints and opportunities did the initial period of transformation bring with it that influenced the outcome?

How is the outcome of the South African public service transformation process different from the typical experience where the minimization of the state was pursued as a policy objective?

Could this difference be explained in terms of the parallel influences of political transformation and technical public service reform initiatives (e.g. modernization)?

4. METHODLOGY

Broadly speaking, this study falls in the realm of a policy evaluation or review. This study is about public service transformation and reform as embodied in three specific areas, i.e. organizational culture, structuring of the state and the composition of the public service employees.

The study is, however, very narrowly delimited in that it specifically engages with the issue of which norms and values actually shaped the policies. It also considers how the embodied dominant norms and values are now affecting the implementation stage,

particularly with reference to the issue of goal coherence and consensus between different policy initiatives.

In order to carry out this review, the study followed a case study approach allowing for a critical evaluation of the South African public service transformation experience.

5. CASE STUDY APPROACH

The case study approach, one of the most often used approaches to undertake research in the social and applied sciences, is used to investigate sets of empirical phenomena connected to pertinent aspects of a specified social unit in a particular situation (Yin, 1989; Creswell 1998; Fouche, 2002). A case, therefore, consists of a specific phase in the life-history of the unit of research. Research can opt to stick to a single case or study multiple cases at the same time. In this instance, as pointed out above, the research approach will be that of a single case, which comprises the public service transformation and reform initiative, as embodied in three specific areas, i.e. organizational culture, structuring of the state and the composition and profile of public service employees. The specific life-history phase that it covers is the period 1994 – 2005. This study is influenced by a case methods approach because of the research participant observer status.

The case study differs from the conventional method of social science research in that the former approach is characterized by:

1. a range of research which tends to be more intensive than extensive;
2. methods which tend to be more open-ended and flexible than rigorous, routinised and restricted;
3. a research plan which may start with a preliminary model, but which allows for the use of improvisation and intuition;
4. reports which tend to emphasise narrative description, interpretation and synthesis, not analytical frameworks;
5. relationships between variables and research “findings”; and
6. objectives which stress the particular and unique rather the generalisable.

Willer (1967:4) and Goode (1972:335-340) maintain that the case study approach is beneficial because it refers to a conceptually clear set of phenomena and that it is able to yield systematic statements showing interconnections between and among the various sets of phenomena related to the situation. However, what constitutes the sets of phenomena to be examined is only partly determined by empirical means. It is also partly determined by the conceptions and perceptions that the analyst brings to the study. No matter how rational and objective the researcher or analyst whishes to be, the analyst cannot bypass her/his *a priori* assumptions and concepts in an attempt to study "only the facts". This assumption-set and frame of reference should be identified and made explicit (Zais, 1976: 105, 219). In the case of this study, the research will be guided by a set of preliminary conceptual frameworks, but a certain degree of flexibility will also be permitted in the categorization of data and in the possible identification of unanticipated questions and outcomes.

The case study approach is less concerned with testing hypotheses as it is with presenting a relatively concrete picture of the set of phenomena and its uniqueness. From the perspective of the rational, experimental research-design that characterizes the "scientific method", this lack of generalisatibility is a serious weakness in the case study approach.

In line with the nature of the chosen approach to this research, the purposes of the study was never to provide a set of valid generalisations to be applied to other cases, but rather to conduct an intensive investigation of a single case with respect to public sector reform and how values and norms, as specifically driven by leadership, shape such reform. If any generalisation is to follow from this research process, it is to the body of theory.

6. RESEARCH PROCEDURES

Two broad strategies within the qualitative research dominate, these being a participant observation strategy and an archivist strategy (Miles and Huberman 1994:

6. By combining the two approaches, some of the potential weaknesses that are typical in terms of each of the strategies are neutralized.

The researcher is deemed an expert participant or witness to the entire public sector reform process. This role comes with both advantages and disadvantages. Yeagar, 1989 (727–748) states the importance and significance of the expert participant. The greatest obvious advantage is found in the ease of access and the depth of access to information and documentation. The greatest potential risk, in this instance, is that for a large part of the period deliberate and systematic observation did not take place. To a large extent, this part of the study depends on a reconstruction effort of the researcher's recollection, aided by substantial note taking during the period on matters related, but not aimed at the study. The time lag and absence of a pre-designed observation framework is likely to result in some *ad hoc* recollection that opens the study to some criticism regarding reliability. In addition, personal bias and self-editing are well-recognised weaknesses regarding this approach to information collection.

7. DATA SOURCES

To supplement the data gleamed from the participant observation process, primary and secondary documentary and archival data sources were drawn on. In terms of the use of archival data in public administration research, Yeagar (1989: 713 – 726) elucidates the importance and significance of this methodological approach. Some of these data sources include records of meetings, conferences, ANC policy conferences, records of Parliament and its committees as reported in Hansard and minutes kept by the Parliamentary Monitoring Group on proceedings of parliamentary committees, key speeches, policy papers and legislation, research conducted within government during the period, the PERSAL information system, as well as personal notebooks and diaries, to mention but a few.

During the period January–February 2004 the researcher conducted a small survey and facilitated three focus groups on the issue of public service transformation in South Africa. The questionnaire, appended as Appendix 1 was distributed electronically to a convenience-based sample of 220 senior public administration experts from the executive and legislative branches of government. The survey registered a 30 per cent response rate. Many of the questions were open ended, requesting qualitative and elaborative answers, rather than seeking the mere quantitative capturing of responses against a pre-defined set of indicators.

The three focus groups served as analytical soundboards for some of the initial trends that were identified in the survey which was attended by 12–15 informants. The questionnaire was deliberately not distributed to the focus groups participants. One of these focus groups focused on the donor and international community, while the other two were attended by a range of government officials – drawn from the three spheres of government, as well as civil society, the consultancy community and academics in the field. In order to allow for a geographical spread, one of the focus groups was conducted in Cape Town, while the other took place in Pretoria.

The international public administration literature, and particularly, other country case studies were consulted in terms of the literature review and the development of the analytical framework.

8. LIMITATIONS

As already alluded to, the limitations of this study arise from the research procedures used. One limitation is that some degree of subjectivity is likely to be present. The researcher is a participant observer in the governance process of the Republic of South Africa. The limitations of the single case study research design are well documented and this study is constrained in terms of those known weaknesses.

In order to neutralize the effect of these limitations, the researcher has deliberately structured a number of triangulation processes into the research process – both in terms of data sources, but also in terms of receiving feedback from other participant observers, as well as some experts in the field. The study was subjected to open discussion with the expert support group that the researcher established around this research, including Prof. Demetrios Argyriades, a public administration and governance specialist at the UN and New York University, as well as other focus groups and discussion platforms.

9. SIGNIFICANCE OF THE STUDY

The unique contribution of this study is that it is undertaken at a time of critical reforms after a decade of transformation and it is being conducted by an individual who is part of the reform process and a "participant observer" in the process with an intimate knowledge of the area under study. Upon reflection, this very personal knowledge base the researcher brings to the study will significantly strengthen the South African literature on public sector reform a decade after independence - 1999 to 2004. It further provides a strong empirical base from which comparative conclusions can be drawn regarding international thrusts in public sector reform that are supposed to support democracy and development. The study is of particular importance to the future of public sector reform initiatives in Africa and as a tool to be used by other transforming societies globally.

The study focuses uniquely on the value compatibility between the ANC organizational culture and policy goals and that of the public service reform initiatives that were observed internationally since the late 1980s. By questioning the underpinning value of the dominant public sector reform paradigm and the compatibility of this with the South African domestic context, the approach of the study is very different from those who seek to describe the reform experience without questioning the normative base and compatibility of the initiative with the dominant political value orientation. The political knowledge and direct participation of the

researcher of the ANC and exposure to ongoing political and administrative debates and discussions on public sector reform are critical in successfully reflecting on this relationship.

10. ORGANISATION OF THE STUDY

As a means of presenting an overview of the organization of the entire thesis, the following summary is provided:

Chapter 1 provides and introduction to the thesis by providing a historical context to the study.

Chapter 2 outlines the methodological approach used in this research study and discuss some of the limitations associated with this approach.

Chapter 3 is a review of the literature dealing with the key themes of the study. Specific emphasis is given to the idea of how public sector reform processes are "path-dependent" on their historical antecedents, and reflective of key value systems of the key role players and stakeholder organizations. It highlights the very important role of political leadership in structuring the reform path and championing the change process.

Chapter 4 describes the actual reform process, highlighting three particular dimensions. These being: changing the organisational culture of the South African public service, changing the composition of the public service, particularly at the senior management level, and macro structural change initiatives.

Chapter 5 is a presentation of the conclusions of the study based on the findings reported in the previous chapter. Implications of these conclusions for reforms are also discussed. The conclusions and the implications deal with public sector reform both as a process, as well as the substantial content thereof. On the basis of these implications, the writer – in the last section of the chapter – offers some recommendations to provide further impetus to the process.

CHAPTER 3

LITERATURE REVIEW

1. INTRODUCTION

A survey of the literature on policy making, in general, reveals numerous theories and models of the process. For example, Anderson (1975) discusses nine theories and approaches, Downey (1977:136) lists four models, Dye (1972:106) offers five conceptual approaches, Harmon (1978) outlines ten frameworks, Thompson (1976:1-16) presents five suggestions, and Schoettle (1968:169-170) outlines four approaches to the process of policy development. An analysis of all of these lists reveals some models common to most authors and a few others, which are unique to a particular scholar.

The set of models and approaches of policy making described in this chapter may be divided into two general categories: one involving a *systematic-rational-formal* perspective of public policy making, and the other characterizing a *political-bargaining-conflict* view of the process. The seven approaches to be employed in the multidimensional set are presented below.

2. THE RATIONAL- FORMAL VIEW OF POLICY MAKING

2.1 The Systems Approach

If one assumes that policy making is the sole result of a systematic, orderly, and efficient process, then the systems approach would be an ideal model by which to conceptualize the process. In another vein, it can be argued that the systems approach to policy analysis is largely inadequate although like most analytical tools, it possesses some advantages.

Easton (1965), considered to be the initiator of applying the systems approach to political analysis, interprets political life generally – and policy making specifically – as a complex set of processes through which certain inputs (such as demands, pressures or issues) are converted into outputs, called policies, decisions, or implementing actions by

a group of individuals engaged in interaction guided by values and directed toward the achievement of some goal (Easton, 1965: 1966:144). His basic systems model of policy making, depicting a continual flow of inputs, consequences, and feedback is well known by political scientists. The systems approach in politics has provided a major framework for attempts to analyze the overall patterns of relationships existing in complex political bargaining (Harman, 1974:26; Smith, 1972:224-249; Thomson, 1976: ix).

The systems approach, however, has been severely criticized (Allman and Anderson, 1974:63; Dror, 1971:3; Dye, 1972:106; Harman, 1974:27; Kaplan, 1960: 30-31; Wirt, 1972:249-265; Wirt and Kirst, 1972:228-241; Zeigler, 1972:169). In the case of South Africa, the contexts are different and the socio-political dialogues are also different. The systems approach also experience sequential flaws if applied without contextual reasoning. It is questioned for the following reasons:

- Its over-emphasis of stability, regularity, and structuralism,
- Its inapplicability to the real political world of individual self-interest, personal perceptions and values, and idiosyncratic behaviours,
- Its ineffectiveness in being to abstract,
- Its limitation of functionalism and its inexplicability,
- Its undesirability in not addressing normative questions, and
- Its emphasis on a single, goal-directed organism seeking equilibrium calls to question the issue of validity.

Many of these criticisms are no doubt warranted, but critics may be demanding more of the systems model than its claims can provide. Easton, himself, did not propose it as a formal theory (Wirt, 1972:265), but rather as a useful tool:

- To help map out the political field of study,

- To assist the categorization and integration of data,

- To furnish a comprehensive view of the entire political environment, particularly the web-like connectivity of relationships within and between various subsystems in that field, and

- To provide a method of analysis by which a researcher can formulate questions concerning his/her examination of the process.

Thus, as a tool, the systems approach, like any conceptual model in the social sciences, can be misused, abused, or un-used; or it can become a helpful instrument for an analyst to map out the environmental connections involved in a field of study, provided, however, that certain precautions are taken. For example, the researcher must:

- Be critically conscious of the limitations of the approach;
- Realize that the actual situation is more complex than its portrayal;
  and
- Not attempt to force the research data to fit an a priori scheme (Glaser and Strauss, 1965, 1967; Habermas, 1968; Kuhn, 1970).

Several variations and extensions of the initial systems model have been developed. Dye (1966, 1970, 1972, 1976 and 1977), for instance, amplifies the notions of the political inputs to include demands (desires, appeals, or events that necessitate the policy-making system to take action) and supports elements, which supply energy and/or resources for the continued operation of the political system. He also expands the conceptions of the various linkages and relationships between the parties involved in the political process.

Jones (1970) enlarges the initial Eastonian model to include a list of functional activities, which the policy-making body performs during the process of policy making. The Easton model is further adapted by Wirt and Kirst (1972:18) to yield a "dynamic-response model", which emphasizes the effect of the total environmental input (from inside and outside the political subsystem) on the process.

2.2 Adaptation of a systems approach

If one assumes that the systems model of policy analysis does provide a limited view of the overall situation being examined, how could it be designed to analyze policy for transformational issues. The representation in Figure 3.1 demonstrates such a system design.

The model helps identify the various parts of the process, and how they generally relate to one another. The policy decisions, when implemented, have an impact on the community. The feedback of the policy consequences, in turn, tends to influence further inputs into the political system; and the whole process follows this cycle. The model does not explain the policy-making activity, but it does provide an analytical categorization of elements and their connections (Harman, 1974:26-34; Wirt, 1972:249), which makes the systems approach valuable as a source for generating research questions.

Simeon (1972:11-12) concisely summarizes the basic set of categories, which the systems approach offers for analyzing policymaking. From his brief set of categories, the researcher can draw preliminary questions to initiate the analysis. No doubt, other questions will arise as a study progresses, but the systems approach can provide an initial framework.

Some of the preliminary questions derived from Simeon's work are listed below:

- Who are the individuals and groups interacting within the policy-making system?
- What goals, values and perceptions does each party possess regarding policy issues?
- What control and influence is exerted, and by whom?

- What social and institutional factors in the environment affect the actions of the actors?

- What demands and issues arise in the system? How do they assume their particular character?

  - What political resources are used, and by whom?

  - What policy alternatives are available in the process?

  - What access do non-members of the policy-making body have to the system or its members?

  - What strategies and tactics do the actors in the process use?

  - What are the consequences of specified policies?

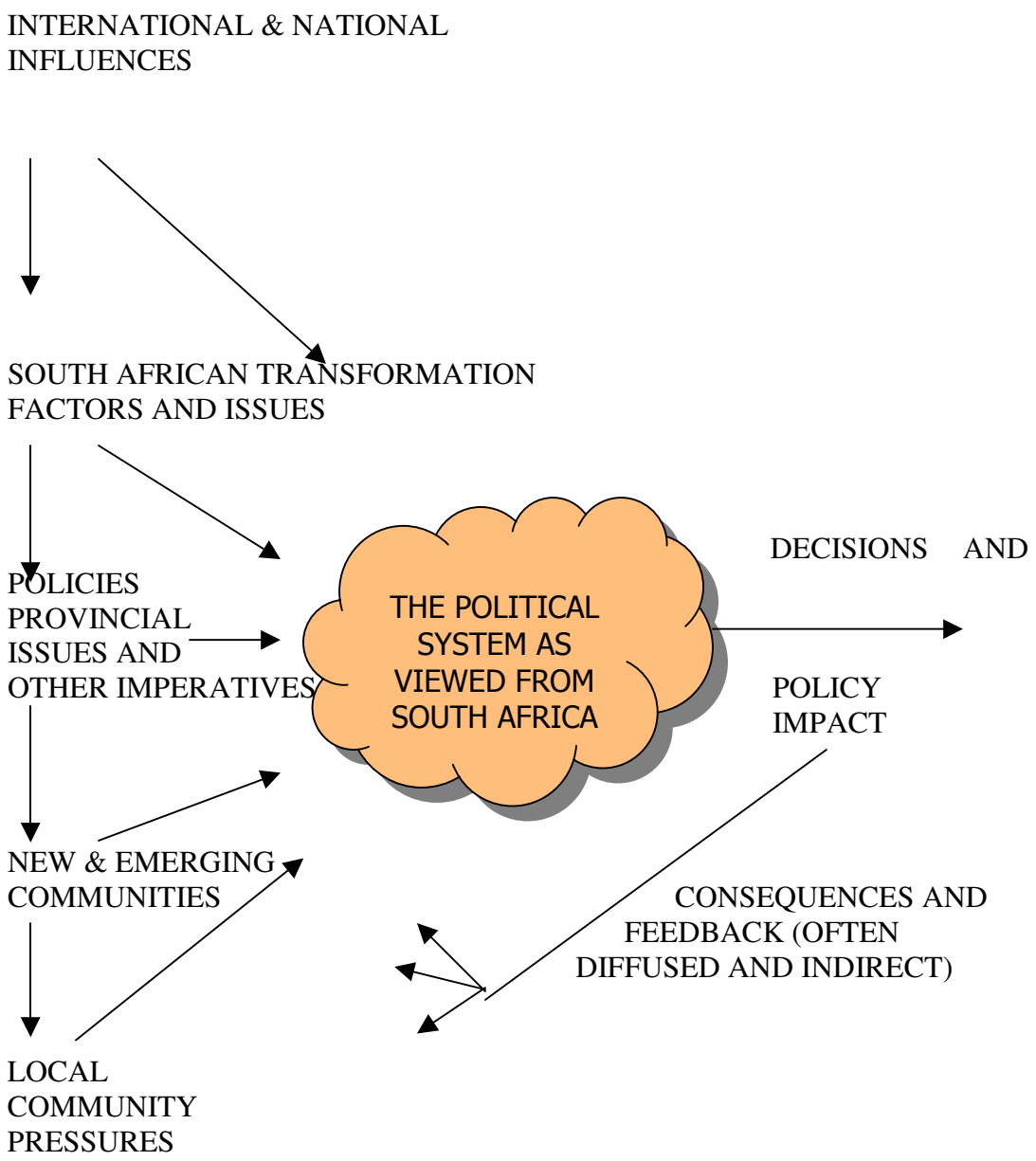
Thus, the systems approach can assist in mapping out the preliminary analytical framework for viewing a political system in operation. However to examine the actual process of policymaking will require the contribution of additional conceptual frameworks.

Figure 3.1

The Policy Making System

Within A Broad Political Context (Adapted from Easton, 1957:383)

THE FLOW OF EFFECTS - POLITICAL ENVIRONMENT AS VIEWED FROM SOUTH AFRICA



Source: Geraldine Fraser-Moleketi, 2006

2.3 Policy Making as a Rational Process

Another analytical model, which lends itself to viewing policy making as a formal and orderly process, is the rational approach. The rational process of policy making has been described in terms of a group single-mindedly progressing through a systematic series of problem solving steps to efficiently arrive at an acceptable solution, which results in a policy decision. However, most students of policy making realize that policy is not established on such an orderly rational basis (Coleman, 1977; Dye, 1972; and Joseph, 1975). The constraints upon the policy-makers in the system limit their use of purely rational procedures – thus, the real political world of conflict, disorder, imperfection, and compromise cannot be ignored.

The existence of these constraints, however, does not mean that the rational approach to decision-making should be rejected. Many writers agree that the rational model is essential, if it is adapted to the political aspects of the situation (Downey. 1977; Havelock, 1973; Ingram, 1978; Dror, 1971; Manley-Casimir, 1978). Indeed, Bauer (1968:19) contends that policy making can be perceived generally as an intellectual (rational) process, embedded in a social and political process – all of which must be understood in terms of a context comprised of the past, present, and future. All of these authors cited above assert that because policy making includes both intellectual and political factors then it is reasonable to expect that useful models be devised to accommodate both elements.

Lindblom (1959, 1968), Dahl and Lindblom (1976), and Ostrom (1972:205-209) argue that human fallibility prevents rational decision making, in the ideal sense of being fully comprehensive. Thus, they suggest that decision-making in reality is fragmented and incremental. Lindblom (1968:108-109), however, argues that this "disjointed incrementalism" is in itself, rational, because it occurs empirically in the world of politics, and because individuals act according to what seems appropriate now. In this sense, then, "rational" means the most practical thing to do in the situation (Bauer, 1968:19). Wright (1977:27-31) concurs with this view, by declaring that distinguishing

between the "rational" and the "political" is purely analytical, and that the political view is inherently rational, since politics is empirical.

Etzioni (1968) argues, however, that neither the rational nor the incremental approach is appropriate. He offers the "mixed scanning" model, in which a few – not all – of the policy alternatives are quickly examined and a "bit decision" is made incrementally, but within the confines set by earlier decisions. Pharis (1970:9) further illustrates the dilemma raised by an over-emphasis on rationality, when decision-makers encounter the following problems:

- Insufficient information
- Inaccurate information,
- Ignoring information,
- Over-abundance of information,
- Lack of source of information,
- Inability to define issues,
- Inability to outline alternatives, or
- Inability to project consequences.

Regardless of how one defines rationality, it appears unrealistic, therefore, to attempt to maximize rationality all of the values represented in local policy making seems unattainable Peterson and Williams (1972:155-158) suggest that the concept of "instrumental rationality" describes realistic events in the process. In this view, if a selected policy alternative (the means) is appropriate for the goals being sought in a situation, then, one is inclined to insinuate that such a policy decision is rational; rational, because it is the most appropriate action at the time to meet the goals of the institution.

Therefore, one may conclude that "rational" policy formation, in the sense of logically instrumental decision-making, is a characteristic of political life. However, "rational" in the sense of considering all possible alternatives and their consequences in a purely statistical and orderly manner is an unrealistic view.

2.4 Policy Making as a "Formal" Process

A third approach to the rational view of policymaking is to consider the policy maker to be the head of a formal organization such as the African National Congress. This

approach, based on the notion of a hierarchical arrangement of organizational members in an organisation, reflects the assumptions of the structural-functionalist school. According to this view, each member occupies a specific role position and has a particular function to perform within the structure of the organization. Again, the emphasis is on orderliness, efficiency, singular goal-seeking behaviour, and co-operation between sub-systems of the group. These assumptions are supplemented, however, with a further one: there is a set of constraints on the decision makers, which limits the group's options and which biases the perceptions of its members (Mouzelis 1967:123-133; Feldman and Kanter, 1965:614-619).

Some of the constraints impinging on complex, formal organizations may include: organizational routines, operational procedures, individual or shared interests, role expectations, resource limitation, central or legal control, peer or group power, community attitudes, elements of uncertainty and risk, or the influence of interest groups (Armitage, 1975:62-67,78; Bibby, 1959; Jennings, 1977; Krupp, 1961:143; Mitchell and Mitchell, 1969:404-410; Silverman 1970:204-213; Steinberg, 1975:5; Summerfield, 1971:98-103).

The formal-organisation model of policy making is similar to the rational model in that it assumes that the policy-making body is a unitary actor, subject to a set of uniform constraints imposed on it (Harman, 1974:33-34; Lindblom, 1968:4). However, it is dissimilar to the rational model in that it actively seeks to identify the constraints, which biases decision makers in the policy process.

3 POLITICAL BARGAINING VIEW OF POLICY MAKING

The various models presented so far of policy analysis, appear to fall within two general ranges: those that emphasize rationality, efficiency and stability, and those that emphasize the presence of political conflict and influence. A political-bargaining view of policy making is presented in this section to explain the rationale behind the type of agreement reached in the negotiation to dismantle the apartheid government. This

bargaining approach or typology identifies and classifies the types of orientations, which political actors have toward political activity.

The bargaining typology assumes that members of the policy-making system are individuals with unique values, perceptions, and interests (Allison, 1969:689-718). The approach differs from the rational model in that common goals are not necessarily maximized. Nor does it suggest, as does the formal-organization approach, that policy is a product of the selective biases of the staff in response to environmental constraints. Rather, the bargaining model conceptualizes that the local political arena within which various actors pursue varying goals with varying resources is the confluence point for the negotiations to take place. The decisions reached are outcomes of the bargaining process, which occurs among the actors with varying stakes or interests in the conflict. Peterson and Williams (1972:162-166) outline three distinctive types of political bargaining. Each type characterizes the concerns and interests of the decision maker in a particular situation. These types may not perfectly describe any one individual, but they serve to point out general attributes of certain personality-types.

3.1 Democratic Bargaining

The term "democratic", in this typology, is used in a special sense. "Democratic" bargaining would be found where decision makers are subject to the sanction or control of the electorate. A democratic policy maker is defined in this analysis as a political leader who seeks to implement policy preferred by the majority of the population. He/she is generally characterized by self-interest, ambition, and a desire to be rewarded by re-election to office. They tend to wait for the development of coalitions that will aggregate certain group demands until a majority position arises. Groups who wish to influence this type of politician(s) will seek to convince them that their views represent the majority view (Dye, 1977:407-409).

The negotiation process in South Africa was designed in such a way that the views of all the political parties and groups could be accommodated. The various political parties,

political movements and other interested groups had to obtain a mandate from their supporters before negotiating a particular deal. This resulted in protracted negotiations to ensure that the plethora of views could be reconciled or at least that some common ground could be found on which to base a constitution that would be acceptable to the major participants to the negotiations. Should the interim *Constitution of the Republic of South Africa, 1993* (Act 200 of 1993) be compared to the current *Constitution of the Republic of South Africa, 1996* it is obvious that the interim Constitution was more cumbersome than the current Constitution. The reason for that should be quite obvious, i.e. that the interim Constitution had to accommodate all the divergent views to ensure a smooth transition as it had to be passed by Parliament consisting of members of the former regime. The current Constitution was passed by Parliament under the control of the three party alliance and could thus be passed by the majority within Parliament, however the Constitution making the process possibly was one that drew on consensus as far as possible. This approach allowed South Africa to ensure uninterrupted service delivery and avoid violent conflict in the transformation to a democratic state.

3.2 Pluralist Bargaining

Pluralist bargaining has a specialized definition, in that a "pluralist" is a decision maker who responds sympathetically to the legitimate interests of all groups participating in the political process. They typically feel that decisions must not threaten the vital interests of any member of the institutionalised bargaining order. They seem to be realistic about the need for co-operation among a wide range of interests in order to keep the complex system functioning. Groups in a pluralistic bargaining situation focus their attention on decision makers, by attempting to persuade them both publicly and privately, of the necessity of adopting (or rejecting) a particular policy (Steinberg, 1975:2).

In some local situations, however, the policy-making process may, in fact, involve mass turnouts by concerned citizens, particularly if controversial issues arise concerning ethical, religious or moral questions (Coleman, 1957:9-10; Dye, 1977:222; Thompson, 1976:72-90). In these cases, genuine pluralism may be evidenced.

3.3 Ideological Bargaining

A third type of political bargaining described by Peterson and Williams (1972:162-166) which often arises during policy making is that conducted by political ideologues. A political ideologue tends to make decisions that are in agreement with their own well-organized system of values. They will generally sacrifice the interests of the social group or political ambitions for ideological principles.

In contrasting the ideologue with the democrat or pluralist, it is evident that the pluralist will tend to pursue conflicting goals as he moves from one position to another, seeking to distribute benefits to all relevant groups. The democratic politician, however, will only be as consistent as his electorate – relatively unstable from issue to issue. The ideologue is characterized by neither of these stances. With ideological bargaining, moreover, a critical group strategy is to place ideologically allied actors in key positions, and to attempt to prevent opposing ideologues from gaining strategic positions. The ideologically dominant perspective among those in authoritative positions will determine decisional outcomes in ideological bargaining.

In concluding the discussion on the dynamics of the process of political bargaining, one must not assume that a particular political grouping would be composed of members exhibiting a single decision-making type. Equally unwarranted is the assumption that each member would always reflect a single approach. A more realistic view, however, might be to expect that each member would tend to exhibit one typology more than others; while at the same time realizing that he may change – depending both on the specific situation, and on their own set of perceptions and values prevailing at the time.

3.4 Path-dependency

A systematic analysis of the key historical policy documents of the African National Congress which includes *the Freedom Charter, Ready to Govern, the Reconstruction and*

Development progamme, Strategy and Tactics and *ANC Conference Resolutions*, along with *the Interim Constitution of 1993* and *the Constitution of the Republic of South Africa, 1996* points to the importance and centrality of the state to spearhead change in society.

The respective documents were formulated over a period and marks the progression from the role of the democratic state to that of a 'developmental state' framed within the 'bill of rights' in the Constitution, associated with a growth and redistributive role. The centrality of the role of the state rendered impossible any approach or notion that would veer towards a total ideological embrace of the notions of the minimalist state as associated with the paradigm of 'New Public Management'.

In the instance of Germany, Jann (State, Administration and Governance in Germany; 2004:115) argues in relation to the governance agenda/project that "Traditions, at least in Germany, is quite stable, but they adjust to different themes and dilemmas, and they do change." However, as different paths are followed with the German reform it could be linked back or related to different traditions in their past. It could thus be argued that the break in tradition is not that clear in the German instance and that there is a thread of continuity. There is always continuity in change. In the German case this would be in terms of the Weberian 'rule of law' (Rechtsstaat) tradition that runs through the past and the present. In the South African instance the threads from both the liberation movement and the apartheid regime informing the history of the present day. It was a conscious decision to have the thread, which arose as result of the sunset clause into the present public administration.

Bevir, Rhodes and Weller (2003:8) argue that "when we confront the unfamiliar, we have to extend or change our heritage to encompass it, and as we do so, we develop our heritage." Bevir et al, proceed to suggest that any change in tradition requires reflection that locates it within a particular context. Thus the whole thrust is that such change can and will be accompanied by creativity to the extent that could lead to departures from paths that some may have argued are unprecedented within a particular tradition.

Bevir, Rhodes and Weller (2003), drawing on Naschold (1995), argue that the successful modernization of the public service is built on its past traditions, its customs, as well as the habit of procedure in the functioning of the institution; the harnessing of temporary alliances of the administrative and political leadership; working towards putting in place permanent alliances through statutory bodies; involvement of large organizations and drawing on learning organizations. The latter refers to the reality that a reform or transformation agenda is taken forward by organizational/institutional machinery that has inherent traditions and values. Clearly in order to achieve success the latter must be factored in and built upon as far as possible. There must be a consideration of a network of social and political networks that could contribute to the required human and organizational capital. This relates to the whole thrust of partnerships required for the developmental state and developmental public administration in the South African context

Naschold, as referred to in "Traditions of Governance" by Bevir, Rhodes and Weller, argues that the successful implementation of public sector 'modernization' depends on path dependency (or 'historical traditions, cultural norms and established practices'); political mobilization by advocacy coalitions of administrative and political elites; the institutionalisation of such coalitions; and influential meta-organisations and the institutions that produce knowledge' Naschold (1995:215-217).

Caiden (1991) refers to the fact that 'public administration cannot remain the same.' Yet, he notes that much as it must change and attempts to do so 'vestiges of every stage of the past still exist or something very similar wherever inertia prevails and public administrators stick to the true and tried rather than risk adopting something new, no matter how promising and attractive.

In the South African context, it was imperative to attempt a major departure from the structure of the state and public administration that was segregated along racial, ethnic

and geographic lines. In addition, conditions of service for public servants, prior to 1994, were discriminatory on the basis of race and gender.

The departure from the 'path-dependence' was based on the Constitution of the Republic of South Africa, 1996 that resulted in new legislation and policies in relation to racial and gender equality within the Public Service. There was complexity in redressing the racial and gender imbalances in addition to changing the work ethic and culture across the Public Service towards one of increased productivity and ensuring accessibility to services by all people.

For the success of the South African project, it was imperative to deliberately and consciously introduce measures that would redress the past which included targeted affirmative action programmes whilst on the other hand having the creative contradiction of the 'sunset clause' which guaranteed the past to be tied into the present.

Heady (2001) argues that several factors fuelled the change' in 'administrative reform in Western Europe'. Some of which include the "New Right's ideological distrust of government; the budget deficit; regional interdependence resulting increasing regulation and introducing new administrative measures; new management fads, (especially NPM); the use of ICT's to introduce changes; increasing public expectation and a view that government does too much and yet does nothing right.

However, in South Africa, the 'ten year review report' challenges the hypothesis of less government since the areas in which we have progressed most have been those where the state had a direct impact or direct control. In areas where the state was dependent on other actors the progress was less of an impact (PCAS 2003, p.75).

Pollitt and Summa draw on four factors which they contend influence the reform process in terms of the scope, process and speed. The four factors identified are "economic pressures; the nature of the political system; administrative structures; and party political doctrine." Pollitt & Summa (1997:13-15) look toward an institutional approach as they

argue that the example they have drawn on seem to be underpinned by the 'characteristics of the political and administrative systems already in place.'

According to Bevir M, et al (1990: 53), 'Policies are theories that change people's perceptions of the problems government seeks to resolve. Policy implementation provides information and access to services that may lead to behaviour change that may lead to outcomes of public policy other than originally intended by government.

4 BATHO PELE: CHANGE IN CULTURE, HUMAN RESOURCES AND LEADERSHIP

At the meeting of the United Nations Committee of Experts (April 2005, New York), a comment by Professor Rondinelli, reflected on the attitude towards the ability of public servants improving the quality of service delivery. He reflects "… fundamentally how do you change human behaviour?" "It is a complex task, it is a political task, it is a time consuming task. The challenge is how do you make it work?" This comment by Rondinelli of the Expert group links into the challenge that South Africa is facing in internalising "Batho Pele" concept across the public service by introducing a new work ethic and culture that will redress the apartheid injustices in public administration and the provision of goods and services.

Argyriades (2005:168-170) further contends that "…changing human behaviour is complex, it is basic structure and culture … your policies, rules and regulations affect human behaviour because they tend to shape sometimes quite decisively the expectations of organizational members". There is an interaction between this structure and organizational culture, which consist of informal behaviours, behaviour in other words, that is not sanctioned by rules and regulations but largely evolves through practice and can be influenced by organizational leadership. If you want to change organizational behaviour you have to tackle both and hence the need for a more holistic and comprehensive approach to Batho Pele (Boyne, 2003:367).

Five major theoretical perspectives on the sources of improvement are outlined. These cover resources, regulation, markets, organization, and management. Taken together, these five perspectives offer the basis for a more comprehensive theoretical model of how to provide better public services. This summary does not deal with all five, but rather the ones relevant to the dissertation, i.e. organisation and management. Boyne (2003) also argues that new organizational structures can be regarded as the traditional method of redesigning public service provision and may have a symbolic importance beyond any tangible effects on performance (e.g., they may be used to signal new policy priorities).

It could be noted that (Boyne 2003), identified two aspects of the organization of public services could be identified which have conventionally been targeted by reformers. The first is size and at various times, the benefits of large or small organizations have been emphasized. For example, traditional arguments on local government structure suggest that consolidation of small units will produce benefits of service coordination and economies of scale. In contrast, public choice theorists point to the benefits of responsiveness and efficiency that supposedly follow from fragmentation (Boyne 1998). No matter which side is right, it is possible that the relationship between size and performance is non-linear and excessively small or large organizations may be less successful than their medium-sized counterparts.

A second conventional target of reform is the internal structure of public service providers as indicated by their extent of formalization (e.g., reliance on rules) and centralization of power. Organization theory suggests that formalized and centralized structures work best in simple and stable environments (Bozeman 1982; Dawson 1996). If this is so, the relationship between internal structure and service performance is likely to vary with the circumstances faced by public organizations.

In recent years, it has been found that the external structure through which services are provided reflects the emergence of a mixed economy of service delivery that comprises public, private, and voluntary organizations. This has partly been as a result of public agencies network or being in the partnership on contract to other providers. Such external

forms of organizational structure may even lead to better performance depending on whether they are able to mobilize more skills and resources than a single organization acting in isolation.

Some may argue that the relationship between management and public service performance has not been extensively discussed in academic circles. However a voluminous and sophisticated literature exists on management in private organizations. This implies that sound managerial practices have a significant impact on the financial success of private companies (Hansen and Wernerfelt 1989.).

The following main management variables can be classified as follows as typified by Boyne (2003):

- leadership styles and expertise--Much has been written on the potential effect of charismatic and transformational leadership on organizational achievements (Finkelstein and Hambrick 1996). The acid test of this perspective is whether the turnover of managerial elites (executive succession) is related to changes in service performance (Boyne and Dahya 2002).
- Organizational culture--The growth of the literature on culture was sparked by Peters and Waterman (1982) and given a public-sector spin by Osborne and Gaebler (1992). The core idea is that organizations that focus on results rather than procedures and have an external rather than an internal orientation are likely to perform better.

- Human resource management (HRM)--The fundamental contrast here is between hard and soft styles of HRM (Legge 1995). The former approach treats staff as instruments that can be manipulated to obtain organizational ends; the latter approach can be regarded as enlightened and humanistic,
  paying more attention to the needs and aspirations of individuals. It has been argued that a soft style of HRM is more likely to lead to a satisfied and motivated

workforce and thereby to better organizational performance (Delaney and Godard 2001).

- Strategy processes--There is a long-running debate in public administration literature on the relative merits of rational and incremental approaches to strategy formulation and implementation (Lindblom 1959; Dror 1968). Rational planning has frequently been dismissed as impossible to implement for technical and political reasons (Boyne et al. 2003; Wildavsky 1973). However, there is extensive evidence of a positive relationship between planning and performance in private firms (Boyne 2001). It remains to be seen whether this also applies to public organizations that implement planning systems.
- Strategy content--This concept refers to what organizations actually do in pursuit of their objectives. The literature on private organizations suggests that strategy content can be conceptualized at two levels. First, in terms of a "strategic stance," are organizations prospectors, defenders, or rectors (Miles and Snow 1978). Second, in terms of "strategic actions," what steps do organizations take to operationalise their stance? These can include changing markets, products, or procedures (Porter 1980). Little theoretical attention has been devoted to the potential impact of strategy content on the performance of public organizations, so it is difficult to predict how this variable may affect service improvement."

Based on the statistical results of some studies on public service delivery improvement, Boyne (2003) suggested that the impact of organizational structure on service performance has been tested and documented in ten studies. The measures of internal structure are the formalization of procedures, centralization of power and span of control. The evidence is sparse, but there is consistent support for a positive relationship between centralization and service performance (whether the latter variable is measured as output quantity, efficiency or outcomes). This is enough to cast doubt on the fashion for decentralization within public service organizations in recent years, although the number of tests is far from sufficient to call for a reversal of this trend.

In another vein, external aspects of organizational structures could make a positive difference to performance, but are not strongly supported by empirical evidence. Service contracting has an insignificant effect on the efficiency of hospitals and the efficiency and service quality of public transit agencies also provided a negative effect on the outcomes achieved by police departments. It is noted that characteristics of networks significantly influence public services. The outputs produced by manpower agencies are positively related to the size of the network in which they operate (but not to the level of cooperation within the network). To the extent that these fragments of evidence allow any conclusion, it is that networks rather than contracts are associated with higher service performance.

The results of various studies by Boyne (2003) tested for a linear relationship between organizational size and performance. The results do not guarantee success in either large or small organizations: around two-thirds of the size coefficients are insignificant, and the percentages of positive and negative results do not differ greatly. Furthermore the impact of size does not appear to be linked systematically to type of service or specific dimensions of performance (Boyne 2003). Although the body of evidence is small and incomplete, it suggests that managerial variables make a difference to service performance. Indeed, this theoretical perspective on service performance receives strong support. It is difficult to generalize from the evidence submitted by Boyne (2003) because the measures are so diverse, but the tests suggest that soft human resource aspects (satisfaction, morale) are more important than hard aspects (job security, performance-related pay). Evidence on other management variables proves to be sparse.

The statistical results provided by Boyne (2003) are consistent with the view that management matters, organizational culture, leadership, and strategy content may be important solutions to the problems of public service performance. Furthermore the impact of these variables on performance in the private sector has been researched widely, so there is a substantial theoretical and methodological base for further work on the public sector.

Heady (2001) does not argue for or against the NPM but further posited that the most recent urge to develop a science of administration with principles of universal validity or post-modern schools of thinking must be hinged on some form of rationality. Heady further proposes that diversity of thinking as represented in different schools connotes different modes of thinking appreciation. To sum up his judgment about the current state of affairs in public administration, the analyst must confess that he/she is an optimist, convinced that progress has been made in the study and understanding of the administrative process, with different investigators using different methods, but with the overall result that the public service is better off now than when it was starting out several decades ago.

Priorities for the 21st century as seen from an American perspective could be summarized as follows (UNDP 1998):

- One needs to be less parochial in his/her focus. We should give more attention to comparative and international administration. – Woodrow Wilson in his famous 1887 essay and in other writings made it clear that he regarded comparative knowledge to be indispensable for systematic process in the study and practice of public administration. (comparative administration movement at its peak in 1950s-1960s. vide Fred Riggs – Comparative Administration Group. Heady argues for the inclusion of comparative course work in the core curriculum of Graduate Programs in Public Administration and Public Affairs – electives on the topic is not sufficient. Having said this, primary emphasis in education for Public Administration will be on the administrative system of the country where the education if offered.

- The time has come to focus on deficiencies in the public service and to seek remedies for these shortcomings. Mobilise Public Administration community to raise its profile on this item on the political agenda. Based on various studies, considerable consensus on what primary problems are.

These include:

- Increasing difficulty in competing for talent in a more and more competitive marketplace
- An impending major exodus in the next few years because of retirements in an aging workforce
- Existence of multiple employment systems instead of a unified merit system for the federal public service
- Diminished performance capacity in an era of growing complexity of demands on human resources
- Insufficient attention to training and development of human capital.

Suggestions for solutions include:

- More comprehensive recruitment strategy
- Stress should be put on improving the level of top leadership
- A more effective program for retaining employees is needed
- Greater flexibility should be provided to individual agencies in managing their human resources

The Bureau for Policy and Programme Support *inter- alia* states that:

> There is some confusion in theory and practice about the ways in which broad paradigms of public management … can influence the nature of public sector management reform.…In order to ensure that human development is not sacrificed to market forces, this paper argues that public sector management reform efforts need to be more self-conscious of their broader philosophical, or paradigmatic, underpinnings…It may be easier to do this in some areas of public sector management than in others. This is so because the preferences of governments and major multilateral agencies impinge more directly on some areas of public sector management than others (UNDP, 1998: 53/4).

The Bureau also argues that civil service reform is particularly difficult to define as in some instances; it is taken to include most of the major functions and responsibilities of government. In other cases it is considered to be limited to issues of remuneration, size (number of employees), performance appraisal, personnel recruitment, selection, placement, promotion, and related matters.

Market-based approaches to public service reform tend to focus on short-term cost-containment measures aimed primarily at payment and employment according to UNDP research (1998:55) systems. Such approaches begin from the premise that effective public service reform cannot be undertaken until problems of structure, staffing levels, remuneration and job classification systems, and overall public service costs have been dealt with satisfactorily (UNDP, 1998: 55).

Typical factors that contribute to public service weakness in developing countries include (UNDP, 1998:55-57):

1. The need to provide employment for school dropouts has resulted in over-staffing of government organisations and SOEs;
2. Under qualified and insufficiently experienced personnel have sometimes been promoted too quickly to senior positions well beyond their capabilities;
3. Political, social and ethnic demands make managing the performance of employees even more difficult than what is ordinarily the case;
4. Pay scales are compressed to the point that insufficient incentives are provided to senior staff. This can lead to high turnover (usually the most able personnel), moonlighting, corruption and demotivation.
5. Human resource planning is frequently deficient and not always based on need, and recruitment, selection and other aspects of personnel management have been subject to varying levels of nepotism and other forms of particularism.

South Africa in its reform initiative had to strive to avoid these typical weaknesses in terms of public service in developing countries. Thus the Public Entities Review argues

that an organisation's human resources must be managed in a way that reinforces its mission, objectives and strategies." (UNDP, 1998)

One aspect of strategic human resource management that has dominated organisations in recent times is that of organisational culture, or what has been referred to as the collective programming of the mind which distinguishes the members of one category of people from those of another (Hofstede and Bond quoted in UNDP 1998:72). There is no widespread acceptance of the idea that national and organisational cultures have a major impact on the structure and functioning of organisations as well as on their performance and problems. Indeed, the analytical status of the concept of culture in human resource management is similar to that of such established notions as strategy, structure and control. (UNDP 1998:72).

Shared values are the essence of organisational culture. When positive values are clearly articulated and widely shared, cultures are robust, effective and lasting, and a distinctive psychological atmosphere pervades the whole organisation. (UNDP. 1998:72). Employees display the characteristics that define the mission and ethos of the organisation. Dedication to outstanding service, openness and trust, perseverance in the face of adversity, and commitment to innovation are primary characteristics. Public bodies are not renowned for possessing these qualities. In developing countries it seems that the cultures of public organisations are frequently fragmented and negative, meaning that positive values exist only in small isolated pockets within the public sector. In many cases public servants are uncommitted and the system conducive to corruption. At the lower levels, lack of commitment and alienation are prevalent. The effectiveness of institutions possessing cultures of this type tends to be low and the prospects for performance degeneration are high. *(Loc.cit).*

Leadership tends to be empowered, effective, and transformational. Organisational systems are likely to be appropriate and highly developed. Such cultures are associated with high effectiveness, efficiency and steady regeneration of culture and performance. These characteristics are most likely to be found in Japan and some of the East Asian

economies where societal value systems and institutional mechanisms infuse and reinforce organisational systems. (UNDP 1998: 72/73). Much of organisational dysfunction encountered in public organisations in developing countries is rightly attributed to a lack of skilled professional managers. (UNDP 1998: 73).

Data collected on two points in 1985 and 1994 "reveal that there have been quite different experiences in terms of growth in absolute numbers of the senior public service…The representation of women at senior levels increased in almost all the countries for which data is available. Most countries reported between 10 and 20 per cent women in the senior public service in 1994; however, there are large variations between countries." (PUMA 1997:1 Internet source)

Countries were asked to indicate the most important changes in the characteristics of the senior public service and the way it is managed. The most frequently mentioned changes include:

- A strong emphasis on management skills and competencies rather than specialist skills;
- Changes in recruitment and appointment procedures which broadened access to the senior public service, diminished or eliminated seniority as a selection criterion, and aimed to bring in a more educated group of people;
- Greater attention to career management and development of senior public servants;
- A concern to increase the diversity of the senior public service in terms of bringing in more women …

New initiatives related to remuneration, mobility, termination of employment and selection criteria or procedures. (PUMA 1997:1/2 Internet source)

The attention to career management and development of senior public servants'' (PUMA: 1997) is a consideration for the SMS as there is a need to consider the disadvantages of essentially two systems of recruitment and selection of senior officials, i.e. career systems

approach and open competition for a post. South Africa opted for a shift with a focus on new policy formulations during the first and second decades of the transition. There is a need to seriously review the needs of the developmental state in terms of retention of skilled managers and professionals as career public servants.

Most of the countries surveyed did not report any type of formal mobility arrangements or mobility policy. However, several reported a concern to increase mobility at senior levels and a number have put in place or reinforced mobility instruments of various types in recent years (PUMA 1997:3).

Fourteen of the countries surveyed reported that they have some type of formal reporting or performance appraisal arrangements for senior public servants and several others reported the use of informal mechanisms of various types. The majority of countries have formal mechanisms available to deal with poor performers: formal warning, transfer to a less demanding job, reduction in classification, removal from the senior public service and dismissal. However, it would appear that such formal mechanisms are rarely used. The usual approach to performance problems is to take corrective action by setting up a performance improvement plan and providing training if necessary; or by agreeing a voluntary transfer, reclassification to a lower level or voluntary retirement with the individual concerned. (PUMA 1997:3 Internet source)

Ten of the countries surveyed have formal requirements for senior public servants to declare personal interests such as shares, property, personal or business relationships, directorships of private boards and the like. In most cases these declarations are required to be in writing and they are confidential. Several other countries have requirements to declare interests for particular groups of senior officials or in particular circumstances. (PUMA 1997:3 Internet source)

The procedure followed in Canada is a shared experience in South Africa taking into account our unique reality. At present South Africa is developing its own post

employment regulations as well as refining our declaration of financial interests (Treasury Board of Canada Secretariat, 1999).

The Canadian Secretariat argues that:

> *If organizations build a work force that is capable, flexible and motivated, they can then have greater control over their ability to achieve results within an ever-changing environment. This kind of thinking has seen many high-performing organizations shift their strategies from reacting to outside forces to focusing on building internal resource strength, thus enabling them to adapt readily to change.*
>
> *Second, that the difference between top-rated organizations and those less so is a result of focus on "how" results are achieved, not simply on "what" is achieved. So, while knowledge and skills are still highly relevant components of employee capabilities, these high-performing organizations perceive that it is the so-called "softer" competencies – values, motives and personal characteristics – that make the difference in day-to-day performance and achieving the desired results. The approach to managing employee performance based on the 'what' as well as the 'how' has been termed 'competency-based management' or 'CBM' (Treasury Board of Canada Secretariat 1999: 2).*
>
> *Elsewhere in the document, CBM is defined as "the application of a set of competencies to the management of human resources to achieve a level of performance that contributes efficiently and effectively to the results of the organization, as they relate to strategic objectives. (Treasury Board of Canada Secretariat 1999: 2).*
>
> Recent trends show that larger organizations develop competency profiles and applications specific to professional and management employees first. For many organizations, this is where competency profiling stops. Within the Federal public service, central agencies have focused to date on a generic profile for management levels simply because these levels are corporately managed. *(Treasury Board of Canada Secretariat 1999:2).*

An Auditor-General's report points to the following facts and challenges facing the Federal public service in Canada:

- More than a third of executives could retire by 2002
- Youth are underrepresented: the percentage of public servants under 35 years of age is roughly half that in the Canadian work force.
- In 1996, there were 70 000 rules governing pay and benefits in the federal public service.
- It takes almost eight months on average for a new position to be classified and staffed.

The Canadian situation takes forward the concept that there is no such phenomenon as a brain drain in view of the open labour markets, greater mobility by labour and that we should consider at human resources within the public service against the background of such mobility. Hood (2002) identifies three themes and links these to produce an account of the politics of public service reform. The three themes deal with rational control ideas, public-service bargains between bureaucrats and other actors, and strategic behaviour over blame avoidance.

Like all divinities, it can be argues that the NPM is mystic in essence and no two analysts read it in exactly the same way. One relatively orthodox way of interpreting it is as a public-service reform movement that incorporates (like most if not all such movements) an attempt to alter the way public-service organizations are controlled. He also argues that the effects, if any, of reform measures remain elusive. It is hard to separate the impact of deliberate reform in structures and practices from general background changes that affect all organizations in the information age.

This confirms the fact that the transformation in South Africa coincided with a period of massive change in the discipline and hence it impacted on the public service in some ways. However, the peculiar political and historical context, as well as the Constitution ameliorated the extent of the impact of the reform agenda.

5 RATIONAL CONTROL

The central idea of a managerialist vision of public administration can be subsumed as a thermostatic vision of control over bureaucracy. This means that a set of desired policy outputs are specified making the heads of public organizations directly responsible for delivering those outputs, and granting them a degree of decision-making autonomy for that purpose. In essence, it constitutes an output-oriented approach to control where a standard-setting process is linked to negative feedback mechanisms. These mechanisms are not necessarily only negative, it is dependent on its utilisation as it should be developmental. Through this mechanism a regulated contract is establish to allocate risk, blame, responsibility and reward among top public bureaucrats and other actors in the political system. The task of setting the policy outputs that public managers are expected to deliver ultimately rests with ministers or legislatures, but public managers are given scope and space for acting creatively to deliver on the policy output settings specified. Those who set the outputs, are sometimes indifferent as to how the outputs will be achieved and delivered.

There is a need to guard against opening the space for managers to argue that in effect they should control the public administration reform agenda, since the executive/ legislature should not be interested, within limits, in how the public service operates/ is structured as long as the public managers deliver against the overall development agenda? The assumption of the role of the executive would not hold in the instance of the developmental state.

6 CONCLUSION

Chapter 3 explored theoretical constructs devoted to different approaches to policy-formulation and different possibilities were highlighted. The limitations of the study were identified and the peculiar role of the researcher in the topic under discussion was stated. The chapter serves as the starting point for the research into the transformation of the Public Service since 1994.

CHAPTER FOUR

THE SOUTH AFRICAN PUBLIC SECTOR TRANSFORMATION PROCESS: 1994-2005

1 INTRODUCTION

Although an integral part of the international reform movement, which since the 1980s has swept the world, the profound institutional changes, which, in 1990, began the transformation of public administration in the Republic of South Africa, have, in several respects, followed a distinct path. This makes the reforms in South Africa quite a unique experience. This chapter will focus specifically on changing the structure and organization of the state, changing the organizational culture and ethos, under the rubric of Batho Pele, as well as changing the composition of the human resource contingent.

2 TRANSFORMATION AGENDA

The transformation and reform agenda in the South African Public Sector was, and still remains an integral part of the larger South African democratic transformation endeavour. The transformation programme in the public sector is not technocratic or managerial, but fundamentally political given, the nature of the democratic transition that preceded this. It is essential to realise that no technocratic influence had free run in the shaping of how the reform process manifest itself. Such influences were always shaped, reigned in and ameliorated by deeply embedded politically informed goals and objectives. These are captured through analysis of key policy documents of the ANC (See Table 4.1 and Table 4.9).

As a participant observer with a very direct role as the Minister of Public Service and Administration since 1999, the reflections contained in this work will be informed by the author's direct involvement at both the policy-making and the implementation level of the reform initiatives of South African Government.

Chapter 10 of the Constitution of the Republic of South Africa, of 1996 reflects a set of basic values and principles governing Public Administration. These are in line with the vision of "the democratic state", a concept that is elaborated in many policy documents of the ANC and other academic journals. These values and principles capture the tenets of a responsive public service, participatory policy-making, transparency, accountability as well as matters related to 'redress' and 'broad representation.'

Notwithstanding the deep cleavage between the ideological underpinning the reforms – essentially political – in the South African context, and the New Public Management (NPM) which was the dominant paradigm during that critical period, South Africa needed to modernize traditional administrative practices hence the influence of NPM could be felt in certain areas of South African reform, notably the micro-level. There is a need to distinguish between the 'macro' and 'micro' dimensions of reform and acknowledge that NPM has influenced the 'micro' dimension notably on account of its focus on the three E's, but also on the basis of the philosophy of 'putting the citizens first' which underpinned the movement in favour of 'citizens charters' in Britain in particular. By contrast not surprisingly the minimalist, neo-liberal ideology of NPM clashed with the democratic and radical approaches of the ANC especially with regard to the 'macro' sides of reform. But such association could not detract from the potential these tools offered to result in greater efficiencies in state administration which in turn could lead to improved service delivery and freeing up more money for infra-structural development and so forth -- all key aspirations of the ANC's transformation agenda.

Two public administrations related challenges faced South Africa in 1994. Firstly, there was the issue of the democratic transformation of the public service and secondly, the modernisation of the public service in order to optimally utilise developments and improvements in technology and systems thinking, to improve on the effectiveness and efficiency in the administration. The latter being the "micro" reform level. Both these challenges had to be faced simultaneously in order to improve government's response to

the plight of those citizens whose needs were previously under-serviced by the apartheid regime.

Worldwide "modernization" and "best practices" were used by management experts as marketing tools in promoting the NPM. "One size fits all" solutions fitted well into this approach. Precisely on this account, they enjoyed a certain measure of success even in South Africa and elsewhere though it needs to be said that receptiveness to NPM was very unevenly spread among departments of government in the Republic of South Africa. For example, the Department of Transport (RSA) virtually denuded its departmental organizational structure and formed a number of public entities that took over the bulk of the departmental functions. This transfer of functions did not necessarily translate in more efficient delivery of services. Other departments, for example, like Education retained an arrangement of government as the major direct provider of services.

With respect to transversal administrative arrangements, some human resource and financial management practices were adopted that were associated with the New Public Management (NPM). This included an emphasis on issues of output and outcomes focus under the label of '*Performance management.'* The introduction of these tools in the South African setting was primarily motivated by the desire to improve on public service delivery and the reputation of government. It was not done with the intention to adopt the ideological notions associated with neo liberal agenda, i.e. 'less government', hollowing out the state and minimizing the role of the state.

As stated in the introductory paragraph, this chapter will deal essentially with three aspects of the transformation of the South African public sector post-1994: structure, culture and demographic composition. Prior to 1994, the public service was styled and managed along racial and ethnic lines in terms of the various administrations, Bantustans and self-governing territories resulting in a highly fragmented public administration. The immediate period prior to and post 1994 prioritised the amalgamation of these public service machineries into a single South African public service extending across the national and provincial sphere of government. Challenges were massive in terms of

undertaking the structural adjustments, but also aligning the supporting systems and organizational culture. The period (*1994 – 1999)* experienced major policy and legislative changes that reflected the transformation agenda. These included the introduction of a new Public Service Act, (1994) accompanied by a supporting set of regulations and the constitutive legislation of SAMDI and SITA. The policy framework was also created by policies such as the 1995 *White Paper on the Transformation of the Public Service* as well as the 1997 *White Paper on the Transformation of Public Service Delivery (Batho Pele).* In and by itself these changes could not constitute the complete transformation of Public Service and Public Administration in South Africa.

In addition to structure, one should consider the question of human agency. Central to the transformation initiative are the people, the human resources, that should effect change as well as the attitudinal and cultural changes that are essential to make this transformation a reality. Hence there was a conscious adoption of a range of programmes and measures to give effect also to the more complex aspects of the change agenda, such as the motivational and value base. The Batho Pele programme is one such initiative, which focused on the value base and improving service delivery. While the language used was reminiscent of the Blairite NPM ("putting the people first") there was some element of styling it along their lines, the inspiration flows from the national experience on non-whites in South Africa and the needs to undo the wrongs of the apartheid regime. No such need existed in Britain. The Batho Pele programme captures the essence of the "Freedom Charter," that is, 'People shall govern" which is the reflection of the struggle to build a non-racial, non-sexist society and a public administration machinery of the state.

3 CHANGING THE CULTURE: BATHO PELE

3.1 People-centred government: a range of initiatives

The policies of the ANC and government encompassed the vision of placing citizens central to the governance process. Various ANC resolutions and documents have spoken to this dimension (*ANC Speaks, The Freedom Charter 1977; RDP document 5.10.2. 126;*

ANC NGC, 2002, Policy Review Documents, (3):73; The *Peoples' Contract***,** the ANC Election Manifesto of 2004). In addition, participatory democracy is a constitutional imperative and various statutory mechanisms were put in place to realise participatory governance.

In line with the value base reflected in the policy documents of the governing party, the focus of the democratic government on inclusiveness and participation resulted in the establishment of institutions such as *National Economic Development and Labour Council (NEDLAC)* which was formed in February 1995. The formation of NEDLAC was based on the importance of consensus seeking on major economic, social and development policies and in recognition of the need for a social dialogue. Briefly, the stakeholders within NEDLAC are Government, Business, Labour and Organised Community. NEDLAC largely conducts its work through four chambers which are: the Labour Market chamber, the Trade and Industry Chamber, the Development Chamber and the Public Finance and Monetary Policy Chamber. There is no attempt to reflect on the functioning of NEDLAC in this study. The reference is merely to capture structures established in recognition of the importance of social dialogue and to ensure inclusiveness in the stated policy areas. It is important to note that the NEDLAC Act of 1994 provided for the establishment of NEDLAC.

In addition, to an institution like NEDLAC, and at the level of the legislatures, Parliament and the provincial legislatures, all policies (*White Paper*s) and legislation involved public processes which among others took the form of public hearings. These public hearings allowed for submission by members of the public and a range of stakeholders to make inputs on public policies and legislation. This marked a stark departure from the un-democratic Parliament of pre-1994. The pre-1994 Parliament was actually a dis-empowered institution. Cabinet through the security establishment dominated the policy processes at that point.

3.1.1 iZimbizo

In the second term (1999 to 2004) government's attention shifted more in the direction of reforming the structures and processes required for the design of policy and programme implementation. Extensive provision was made for citizen involvement and encouraging feedback from organized civil society as well as citizens regarding service delivery issues with a more direct interface between the Executive (at all spheres of government) and communities. To this end, government has used and is experimenting with a host of tools and processes, including iZimbizo, citizen forums, citizen juries, citizen satisfaction surveys and integrated development planning. The iZimbizo forums bring together elected and appointed officials across the three spheres of government with the community into unmediated community forums. It allows for and encourages direct feedback by communities on their daily experience with accessing government service. *iZimbizo* is an nguni word, which means *gathering or council, which in traditional society involves a gathering at the level of a village or community under the auspices of the Chief or village elder.* This gathering/meeting discusses matters of interest to the community. The *izimbizo* initiative is a practical response, embedded in African traditional culture, to the Constitutional requirement that 'Public services must be accountable' (*Chapter 10, 195.1. (f)).*

3.1.2 Presidential Working Groups

The Presidency has a range of cross-sectoral Presidential working groups. These Presidential working-groups range from organized labour, organized business, and the religious sector to youth, the disabled and women. The President and stakeholders representing particular sectors, prominent individuals in society who may be specialists in a specific field, within a particular sector to address specific issues of national concern, convene these meetings. These working groups allow for direct interaction between the identified sectors, and the President along with members of the executive on a number of governance matters. The ongoing focus of the working groups ranges from the eradication of poverty, economic growth, an analysis of the budget, reflecting on the

government programme of action and discussion. These working groups allow for interaction beyond a structured and confined government environment. It creates the tempo for an open dialogue to exist.

3.2 Participatory Governance: Statutory bodies

3.2.1 Nedlac

The establishment of NEDLAC was ground breaking and, in the instance of South Africa, focused on redefining the relations and partnerships between Government, Business, Organised labour and Organised Civil Society. Within the NEDLAC environment there are bound to be challenges and these are reflected upon in passing without thorough analysis. In instances, the consultation processes within NEDLAC developed into protracted negotiations that delayed key pieces of legislation. The complexity of problems Parliament confronted was the consideration that there has been extensive consultation and in instances tenuous negotiations with NEDLAC, which have taken place between the respective social partners. An example being the Labour Relations Act, yet Parliament is mandated and expected to conduct its own public processes.

3.2.2 Ward Committees

The introduction of the ward committee system, at the sphere of local government, as a statutory mechanism contributes towards building 'developmental local government' and is aimed at ensuring popular/community participation and giving effect to participatory democracy. The ward committees are intended to be the nerve centres of popular participation and interaction at the level of local government. The ward councillors are required to ensure that there is an ongoing and vibrant interface between the local community and the council. *iZimbizos* take place between the political leadership across the spheres of government including with members of the ward committees.

Ward committees are statutory structures set in place for participatory governance. At the local sphere of government, it consists of a range of stakeholders within the community and liaising with municipalities and local government councillors. It is yet early days with the ward committees charting their role and they have as yet not proved to be as effective as anticipated. Members of ward committees have raised concerns with regard to the tenure of two years for ward committee members is too short as it does not allow for the committee to get to grips with their mandate and develop a strong working relationship between stakeholders. Concern about the tenure has been raised directly with the President of the Republic of South African in a *Project Consolidate* Imbizo in Sedibeng (Gauteng province), in October, 2005.

The centrality of the citizens to the governance processes is also encapsulated in the *White Paper on the Transformation of the Public Service* and the associated value system of the Batho Pele. The Batho Pele policy initiative emphasizes the issue of accessibility by the public to information, about available services as well as accessibility to the actual services. The rationale for the importance of accessibility to services is offset in some detail in the *White Paper on the Transformation of Public Service (1995; Chapter 11.6 Strategies).* All these initiatives point to the integral nature of the transformation and reform agenda to the larger programme of democratic transformation and all these work to the same policy goal. The remainder of this particular section will only concentrate on the Batho Pele concept.

3.2.3 Batho Pele

The *White Paper on Transforming the Public Service (1995*) captured the commitment of government to the citizen. It is more popularly known as the Batho Pele policy and as stated earlier whilst the language used was sometimes reminiscent of Blairite NPM ("putting the people first") the inspiration was largely drawn from the South African National experience i.e. one of "Ubuntu". The Batho Pele initiative is central to the required culture change within the Public Service and in order to ensure citizen participation. It is a bold initiative, which by virtue of the colossal issues, that it attempts

to redress, necessitated a change management intervention, and obviously met with some resistance within the Public Service. This resistance to change was not only from the quarters of those white South Africans who were loyal to the previous regime but also reflected the fear that accompanies large scale organizational change and transformation.

The Batho Pele principles that underpin the policy are: *consultation, service standards, access, courtesy, information, openness and transparency, redress and value for money.*

What follows is a short elaboration of each of these:

Consultation:

The public should be consulted about the level and quality of services that they receive and, if at all possible, are given a choice about the service being offered.

Service standards: Citizens should be informed about the level and quality of service they will receive in order to know what to expect. This is essentially about benchmarking the quality and levels of service.

Access: All citizens must be able to access services equally.The implementation of equal access to services will be achieved incrementally against the backdrop of a backlog of provision of services.

Courtesy: Services must be provided in a courteous environment.

Information: The citizens/public service users must be provided with the information about the services that they are entitled to receive.

Openness and transparency: All departments of government should inform the public about the cost of services and the details of the running of the departments. The public is also entitled to know who runs the services.

Redress: If the promised standard of service has not been achieved the public should be provided with reasons for the non-achievement/non-performance. Value for money: 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)

The *White Paper* provides the policy framework for the Batho Pele orientation with the expectation that it would be woven into the fabric of government. *(*Batho Pele Handbook 2003:8) In spite of the intent of the policy and notwithstanding its official launch in 1997 the policy struggled to be fully integrated into the mainstream of public sector reform. It was initially treated as separate of, and in addition to, the core change management efforts and transformation of the public service machinery, in parts of the South African administrative system.

The Batho Pele programme was not equally embraced and internalised by government departments across the national and provincial departments and hence the need for the repeated "revitalisation of [the] Batho Pele Strategy" or re-thinking the implementation of this policy, e.g. 2001 and 2004. In parts of the administrative system, it was treated as an 'add on' to the core programmes of government departments rather than the catalyst ensuring the implementation of those programmes within a changed service delivery ethos. For some departments the Batho Pele programme was merely associated with the principles outside a holistic view that saw the principles as indicators for improved service delivery *(Report on the implementation and promotion of Batho Pele*, DPSA (June 2004). The programme must be comprehensive and include "back office processes, functions and systems such as finance, procurement, logistics, human resources, technology and infrastructure…" (*Report on implementation and promotion of Batho Pele,* DPSA, 2004:29) it is not surprising that Batho Pele has not invariably exerted the hoped-for impact in every corner of the South African public administration, as this goes to show the residual weaknesses of the implementation mechanisms, which put it into effect.

Notwithstanding implementation difficulties, the imagery and rhetoric of Batho Pele has been firmly embraced and resonates across the spheres of government. The Batho Pele Handbook (2003) refers to the enthusiasm around the branding of improvement of service delivery, across government, whilst failing to translate it into a tangible change management programme, *"...while the policy has been enthusiastically received and has become an effective brand name to signify the intention to improve service delivery, its actual implementation has been slow."* At a public meeting in the Eden district municipality (9 December 2005), in George – Southern Cape, both officials and residents referred to 'batho pele' as they talked about the provision of services. This reflects that the rhetoric has reached the different corners of the country.

In the early years of the introduction of the Batho Pele programme, the public service directors general and heads of department failed to adequately integrate Batho Pele into their strategic plans or their performance management plans and as result the policy were left largely unimplemented and only recognized for its symbolic value.

As Batho Pele is key to the improvement of service delivery across the public service and local government and discussions on the programme, at the level of the executive, has always been intense. In many instances these discussions were driven by anecdotal evidence and specific experience within departments or/and within sectors by the executive, rather than by empirical information that pertains to the whole of the Public Service.

The pace of implementation of this policy, given its centrality to the change agenda, prompted the Minister to once again flag it during her 2003 Budget Vote. The Minister pointed to the relationship with the overall transformation and democratisation effort. She expressed herself as follows on the matter

> *"[W]e know that we seek to create a developmental, citizen-oriented public service that delivers services effectively and are actively working to making this vision a reality. We have achieved much as South Africans in terms of our public service successes, but we are*

> *also aware that more remains to be done, and that while we have created frameworks and foundations, consistent implementation and long term application is required if we are to succeed in our venture."* (*MPSA Budget vote speech 2003)*

In addition, a 'toolkit', called the *Batho Pele Handbook*, introduced in 2003, to provide guidelines to frontline managers outlining what they could do to implement Batho Pele and its importance as a management tool. (MPSA Speech to Kagiso Trust, 2003).

The *Batho Pele Handbook* deals with topics such as:

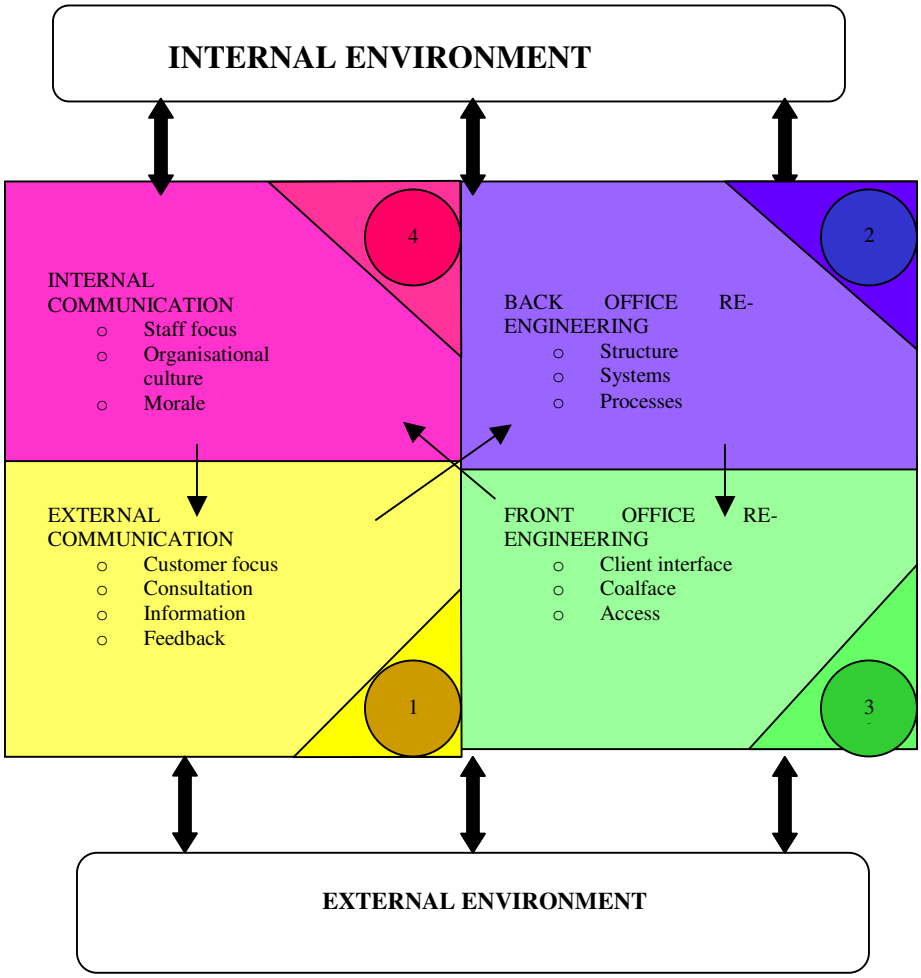
- *The context of service delivery and the machinery of government.*
- *Translating strategic plans to operational plans.*
- *Delegation.*
- *The service delivery charter.*
- *Developing service delivery standards*
- *How to consult with community structures*
- *Way finding and signage improvement at government offices*
- *Handling of complaints.*
- *Self-Assessment and Peer review.*

Each chapter of the Handbook details advice to users/operational managers on how to make linkages between the legislative frameworks and the reality they encounter on a day-to-day basis. The Handbook is aimed at empowering and assisting operational managers involved in service delivery with skills to enable them to fulfil their tasks.

Copies of the Handbook are distributed across the Public Service to all the directors-general and heads of department and the Batho Pele champion in every government department. Departments are also encouraged to replicate the handbook for circulation. In order to facilitate access to this practical source, the Handbook is also distributed at important learning events hosted by the DPSA such as the Learning Laboratory for Middle Managers held in Port Elizabeth in July 2004.

Figure 4.1: The Four Pillars of the Batho Pele Revitalisation Strategy

THE FOUR PILLARS OF BATHO PELE REVITALISATION STRATEGY



Source: Batho Pele Handbook (2003)

Figure 4.1, through the four quadrants, represents the four pillars of the revitalisation initiative. The revitalization initiative provides an overall framework for the improvement in service delivery that requires a number of elements for its success. In this instance the requisite elements have been represented as four pillars that have an inter-relationship with one another.

The four pillars (*see figure 4.1*) are:

1. External communication (Quadrant 1), which involves the consultation with the citizenry and other stakeholders on their needs and expectations, related to service delivery. This quadrant also reflects on the importance of access to information about services available to the public as well as the rights and responsibility of the user.

2. Back Office Re-engineering (Quadrant 2) deals with the structures, systems and processes required to meet the expectations of the user. The arrow between quadrant numbers 1 and 2 show the inter relatedness between these two tasks in order to meet the service delivery requirements.

3. Front Office Re-engineering (Quadrant 3) relates to the actual contact with citizens and the public. This is the 'face' of the public service and the direct contact point at which public servants interact with the public. This quadrant relates, among others, to the very basic issue of courtesy when delivering a service to a member of the public and the environment within which the service is provided. In order for this quadrant to be effective back office systems should be in place in order to facilitate faster and qualitatively better service delivery. This quadrant deals in essence with accessibility to service delivery.

4. Internal Communication (Quadrant 4) is the life blood of an organization, as good internal communication goes a long way to ensuring that the people working

> within the organization has an understanding of the culture and value system within that organization. They are kept abreast of changes and the reason for changes within an organization. They are also given constant feedback on their work from the public, the leadership and management of the organization; and ideally input from their peers within their working environment... Good internal communication can sustain the three other quadrants when there is high morale within the organization. (Batho Pele Handbook: 2004)

In essence all four quadrants are inter-related as external information is as important as internal information which is dependent on sound back-office operations in order to ensure that the consultation process is based on and supported by a sound organizational structure. This particular diagram dealing with the interface between the internal and external environment should be seen in the context of the larger framework of the reform project within the public sector. Internal and external communication is equally important to develop a shared appreciation and understanding of the future course of the South African administrative development and to ensure the attainment of success in the course set. It also provides the opportunity to share information on the delays in service delivery and the reasons for such delays. In addition, it should provide the opportunity for officials to reflect on the impact of new policy direction on service delivery. To give meaning and purpose to the communication the back office and front –office re-engineering allows for the required changes and improvements to match the scale of change required in a South African context.

3.2.4 Batho Pele: a Sequel

Prompted by the Cabinet's determination to drive the policy agenda the Department of Public Service and Administration reviewed the implementation of Batho Pele and investigated why in spite of the extensive embrace of the rhetoric the programme was not evenly implemented, in practice, across government.

Methodology: The review was conducted through letters sent to all national and provincial departments accompanied by a template which included a structure indicating the required content. The data analysis and synthesis were drawn from the information received; desktop research and secondary data were analysed and synthesized; the documents drawn on included a report by the Public Protector *(Report on the investigation into causes of delays in Communication in Public Administration by the Public Protector*, June 2002); a Citizen satisfaction survey by the PSC, 2003 *(Citizen satisfaction survey: Overview report* 2001/2002, PSC: 2003); Batho Pele white paper (*White Paper on Transforming Public Service Delivery 1997 – Batho Pele); White paper on the Transformation of the Public Service, 1995*; "[Interviews] with some officials in the DPSA and PSC on their perspectives on programme implementation." (Report on the Implementation and promotion of Batho pele; Department of Public Service and Administration, June 2004: 12) Limitations in the review related, among others, to the fact that departments not meeting the deadlines for the submissions; a significant number of departments failed to make submissions in the format provided; the reports did not necessarily reflect all the Batho Pele activities in a department. "[The] survey of 74 % of national and 25% of provincial departments responded. In summary, information was requested from 136 departments of which only 51 responded – bringing the total percentage of respondents to 37%". (Report on the Implementation and Promotion of Batho Pele; Department of Public Service and Administration, June 2004:14)

3.2.5 Review of Batho Pele principles (2004)

The report of the [Batho Pele] policy indicated in relation to the eight principles that some departments and public servants had a rather narrow interpretation of Batho Pele without recognizing that these principles are effectively outputs or indicators. In the analysis of the implementation of the eight principles, the following came to the fore.

It was noted that **consultation** is rather varied with some departments consulting more than others (DPSA – Report on the implementation and promotion of Batho Pele, June 2004:16).

The responses to **service standards** indicated a mixed response in relation to the development of standards and the communication thereof to the public. Some departments had developed standards or service charters, other departments had less formal service standards whilst others had none. Generally there was differing understanding of what service standards should consist of. (DPSA- Report on the implementation of the promotion of Batho Pele, June 2004:18-19)

Access proved to have better results as a range of initiatives have been underway to improve this principle in the form of multi purpose community centres, Batho Pele Gateway and its variations in the provinces, mobile service delivery units and the use of ICT and the PIT for sharing information, the greater use of indigenous languages in the sharing of information. The most recent has been the introduction of Community Development Workers (CDW.)

Courtesy: In this regard there has been a concerted effort to improve the relations and interface with the public.

Information: Promotion of Access to Information Act (2000 (Act 2 of 2000) is seen as evidence of the commitment of the public service to 'information creation and dissemination' (DPSA – Report on the implementation of the promotion of Batho Pele, June 2004: 22). However, it must be noted that the compliance by government departments to both the *Promotion of Access to Information Act,* (2 of 2000) and the *Administrative Justice Act 2000 (Act 3 of 2000)* are low.

Openness and Transparency: Provincial departments reported on 'Open days,' consultancy forums set-up and the display of the photographs and names of institutional managers. The report states '…there was some evidence that Public Service transparency is compromised by perceptions that the Public Sector is unsympathetic and unresponsive. The lack of courtesy and sympathy of many public officials would appear to inhibit the quality interaction of citizens.' (DPSA – Report on the implementation of the promotion of Batho Pele, June 2004: 25)

Redress: Redress is handled by the majority of government departments either formally or informally through a range of measures such as complaints help desks, suggestions boxes, in the area of corruption there are national help lines. What the review could not answer was how "how formalised the mechanisms are for handling complaints; the quality and frequency of redress; the extent to which redress is monitored; whether the frequency of cases of redress has resulted in changes in systems, procedures and personnel." (DPSA- *Report on the implementation of the promotion of Batho Pele*, June 2004: 25)

Value for money: The bulk of the departments stated that they complied with this principle. The departments attributed this to "the alignment of strategies and operations to budgets; use of expenditure controls; improved internal controls on the private use of official telephones, vehicles and facilities; more stringent tender procedure; in some cases, the removal of affordability as a constraint to access to information and services; and the adherence to the Public Finance Management Act. (DPSA – *Report on the implementation of the promotion of Batho Pele*, June 2004: 27)

3.2.6 Transversal, systemic issues and challenges (2004)

The review report considered key transversal and systemic factors that are inhibitors to successful service delivery. Among the factors identified were: the absence of a "common and shared understanding of Batho Pele" (DPSA – *Report on the implementation of the promotion of Batho Pele*, June 2004: 29); the lack of adherence to the basic of management practice, service delivery deficiencies in the Eastern Cape to common factors such as management, human resources, basic administration, performance management, planning – execution and monitoring, regulatory inhibitors (e.g. red tape), corruption; local government; monitoring and service delivery accountability. (DPSA – *Report on the implementation of the promotion of Batho Pele*, June 2004.) The range of some of the specific issues identified through the survey are: inadequate management and supervision; limited delegations; critical posts are vacant;

vacant managerial posts are unfilled for long periods; high number of disciplinary cases are not concluded; not all procedures are followed in the appointment processes of the senior management service; performance management systems have not been adjusted to establish clear links between a departments service delivery performance and the performance of individual staff members. The non-adherence to basic practices of public administration also surfaced starkly in the intervention, in the Eastern Cape, that was jointly done and managed by national and provincial government.

> "*The IMT report indicates that basic administrative practices such as not filling key vacant positions for long periods; lack of a performance culture (such as not signing performance agreements); lack of proper handling of disciplinary cases; among others, led to poor service delivery."* (*Internal Interim Management Team report*, 2004:5)

The review captures the responses by government departments to the Batho Pele principles and highlights those problems that cut across all departments that are of a human resource or leadership nature. There is no doubt that there are numerous and varied interventions to improve service delivery however there is an urgency to bring these together in a manner that reflects a holistic approach to the improvement of service delivery and thus the importance to deal with the cultural issues as well as the back and front office challenges. This emphasises the point that Batho Pele cannot merely be seen as a desk within a department but should form a central part of the transformation thrust within.

Flowing from the various review and revitalization processes the Batho Pele Change Engagement process – *Together beating the drum for service delivery* - was launched by the Minister of Public Service and Administration in early 2004. The belief set *'we belong, we care, we serve'* was unveiled as part of the Change Engagement Programme to create an excitement and sense of belonging and commitment to the Public Service and the transformation agenda. It includes a strong focus on the culture and work ethic within the public service and included the identification of Champions (role models within the public service) and developing partnerships between DPSA and national and provincial government departments.

Aligning the 'revitalisation process' with the 'Public Service Wide Change Engagement Programme' required the re-introduction of issues related to the organizational culture prevailing in government institutions, along with ensuring efficiently and effectively functioning organisations. (*See Figure 4.1 on the "four pillars on the revitalization strategy.")*

The Change Engagement Programme affirms the centrality of people within organizations. The attitudes, mindsets, the ethos, behaviours and beliefs of officials could lead to the lack of the required transformation within the work organization. As processes, systems, technology, information and infrastructure would be incomplete without people with the correct orientation, value system and attitude that affirms People First and contributes to building a developmental public service have to be inculcated.

An engagement by Cabinet in May 2004 raised the need to utilize tools such as the 'balance score card' which forms part of the Batho Pele tool kit along with the introduction of compulsory induction aimed at developing a common and shared set of values within the public service. The May 2004 Cabinet meeting restated that the Batho Pele programme should be internalised by all departments and that it should not be seen to be the 'programme of the DPSA'. (Minister of Public Service and Administration, notes: 11 May 2004.)

Specific suggestions of simple, smarter and better ways of working, within the public service, were proposed. The suggestions included the introduction of flexi-time, which involves reviewing the office hours of targeted service delivery departments, such as the Department of Home Affairs. The proposal of flexi-time included consideration to work over weekends in targeted programmes such as with the provision of identity documents. Some basic proposals include the reviewing of the time at which officials break for their lunch and also taking into account the time at which larger numbers of members of the public access the services of the Department of Home Affairs. The rights of the employees would be taken into consideration whilst responding to the needs and expectations of the public.

An additional initiative, arising from the issues raised in the DPSA survey, coined *Khaedu* was introduced. *Khaedu* has been piloted in Mpumulanga and Kwa Zulu Natal provinces. The initiative involves the deployment of senior managers to frontline service delivery points. The initial proposal was the consideration of thirty days per annum at a service delivery facility, this proposal was reduced to one week per year. The purpose of the *Khaedu* initiative is to expose all senior managers to practical work in frontline service delivery facilities. Officials who generally find themselves in a policy-making or regulatory environment would be exposed to the rigours of direct service delivery which would contribute to a shared learning of the circumstances to which a front office worker is exposed. The opportunity provided a direct appreciation of the impact of the regulatory environment in the front office. Through *Khaedu,* mobility between head offices and service-delivery points was introduced.

3.2.7 Changing the paradigm

Changing the paradigm within which public servants work, has been a consistent thrust within the public service and has been at the core of Batho Pele. The whole thrust of Batho Pele has been and is the move to a culture that ensures greater accessibility by the public to service delivery. The value system of 'serving, belonging and caring' has also been the subject of publications such as *Future Watch.* The publication resulted from a partnership between the Centre for Public Service and Innovation (CPSI), the Department of Public Service and Administration (DPSA) and the State Information Technology Agency (SITA). The essence of this focus is to improve the working environment and study the impact and cost of cumbersome bureaucracy and 'red tape' on service delivery

The first *Future Watch* report entitled "Government unplugged" was published in June 2003 followed by the second report, *From Red Tape to Smart Tape* published in March 2004. The edition '*From Red Tape to Smart Tape'* was based on inputs from public servants, civil society and the private sector reflecting on bureaucracy in government. Specific solutions were identified to reduce red tape in government. The intervention

proposed that government services and regulatory requirements should prevent duplication without losing the requisite accountability in the use of public resources.

The process resulting in and following the publication was part of a programme culminating in an awards winning ceremony for those public servants, and members of the public (the private sector with a particular focus on smme's) who have developed innovations to improve service delivery.

In 2004 the innovations focussed in reducing the bureaucracy in service delivery whilst retaining accountability as required by the *Public Finance Management Act,* 1999. Submissions came from across the public service and interestingly enough from lower levels officials and members within the senior management service. What was striking was that police, correctional and revenue service officials made numerous submissions and in instances they won awards. This event has since become an annual event which involves the public and private sectors with anchor sponsors.

Public Service Watch, as with the service delivery journals, serve as important learning tool for government and other stakeholders. The content of the edition *From Red Tape to Smart Tape* dealt with the following issues.

- The notions of red tape and smart tape
- The context of red tape reform
- Comparing red tape with smart tape
- Trends in achieving smart tape
- Case studies on progressing from red tape to smart tape
- Interventions that points to the road ahead *(Future Watch 2004:1,2)*

The initiative *From Red Tape to Smart Tape* is a part of the Batho Pele intervention in order to debunk the notion that it is acceptable to view public services as synonymous to red tape, bureaucracy and poor service delivery. There is also a sense that *'No formal consideration has been given to the impact of administrative compliance on government's clients.'* (Future Watch: 2004 – 15). As from 2004 in particular there has been greater focus on reviewing the impact of administrative compliance on small

businesses, among others. This particular initiative will be expanded across government in order to involve all public servants in the battle against bureaucracy that undermines and impedes easy access to public services. The *Centre for Public Service Innovation* (CPSI) must develop a flagship programme, on the 'cost administration on the clients' of the public service.

The Batho Pele programme of government is essential to ensure that all public servants embrace the value system of the democratic developmental state. The values 'we care, we serve, we belong' must resonate across the public service. The consistent involvement by all stakeholders in policy and implementation of government programmes will give credence to 'the people shall govern.' The programme is framed in language such as 'customer service,' greater 'efficiency' in the provision of services, which is associated with the NPM, with the intention of ensuring a better quality of service delivery.

4 THE DEVELOPMENTAL STATE

The developmental state in South Africa is a strong concept that must intervene in policy issues in order to combat poverty and underdevelopment and engender economic growth, among others through public investment. The developmental state is required to undo the legacy of apartheid and lay the foundation for a democratic platform, the normative, deliberative and distributive, reformative and other tasks of government that behoves the state, must be seen in the light of the role of the developmental state in the South African context.

The importance of the role of the state, particularly in terms of redressing past imbalances as well as driving the transformation agenda, appears consistently in the thinking of the ANC and is particularly pronounced in *Strategy and Tactics.* The intervention of the state is required in a broad spectrum of areas from the provision of basic services to utilization of government investment into infrastructure financing in order to ensure investment from the private sector. The de-racialisation of society requires a proactive lead by the state. *State Property Relations and Social Transformation and the Developmental State*

(ANC Website - undated) contain the most direct exploration on the thinking around the "development state". The document 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*

A central characteristic of the developmental state is its ability to intervene with uniform commitment and adequate mobilization across institutions, within the public sector and across the spheres of government, to achieve the developmental vision. This is the point where not only South Africa, but also other developing countries part company with the NPM. This parting of company demonstrates the irrelevance of doctrines expressed as categorical imperatives and a "one best way" prescription. The NPM as a concept was good as long as the language of its message could be used to sell the ideas of cost effectiveness and the procurement of better service delivery to the customer, clients and citizens".

The inter-connections between the macro-organisation of the state, is paramount that for an enhanced cooperation to exist, different spheres and other departmental functionaries must work in synergy. The question as to whether the initiatives introduced in terms of restructuring the state have indeed resulted in what we set out to do remain an open question. This section will engage with issues related to devolution and decentralisation as dominant structuring forces, the role of public entities and even alternative service delivery vehicles, such as partnerships.

In line with the central thesis in this research, there is the vital need to acknowledged that these various structural initiatives were influenced by the dominant paradigm of public administration at the time, as well as the thinking of the ANC both as collective, but also

as individuals who were influential in shaping the thinking an the provision of direction and giving advice.

The *White Paper on the Transformation of Public Service (1995.9)* makes reference to the global environment in which South Africa operated in 1994. According to this document, South Africa was still at a point where the 'redefinition of the role of the state was paramount. The state has moved from that of acting as the principal agent of social and economic developments to those of integration with the global economy. After an initial period of 1999 and 2000 in which the influence of the NPM was relatively strong, there was an overwhelming sentiment that it is inappropriate to equate the state narrowly to the private sector or a corporate entity. As the discussion regarding the developmental state deepened, so did the position that the state needs to provide services to all citizens especially those who do not have the means to purchase necessary goods and services from the private sector. The mere fact that a service could be rendered via the market mechanism did not absolve the state from its responsibility in the direct provision of some of these services. A convincing argument was made that the state should provide basic services to people who are poor and who have previously been denied access to government services. It was this acknowledgement of the role of the state as the "principle agent" in socio-economic development that has prevented us from fully embracing the idea of the "minimalist state".

South Africa's history and value base politically, strongly informed the need for a developmental state which would ensure access to services by all citizen more especially in particular to those who were disadvantaged and previously denied access. This value base was in spite of a strong world-view that equated the role of the government to that of a private enterprise offering services to customers. The rhetoric of the New Public Management did creep into the policy documents including the Batho Pele White Paper in their reference to 'customers.'

4.1 Early Period: 1994-1995

The most important initiative in the transformation and reform initiatives in South Africa has been the successful integration of the government after its balkanization by the apartheid state. The Presidential Review Commission Report (1998) identifies this complex and difficult task of rationalizing and integrating the eleven different former administrations of the Republic of South Africa and the "independent" and "self governing" homelands and Bantustans into a single and unified Public Service, operating at national and provincial spheres as the most difficult.

The way in which the rationalization and integration challenges manifested themselves in the different provinces differed. For example, in the Northern Cape, the integration of public administration and its operations at a national and provincial sphere required the building of a provincial government as it had no public sector infrastructure to draw on, whereas in the case of a province such as the North West, the challenge was to integrate the Bophuthatswana administration with that of the South African public service. In the case of the Eastern and Western Cape, for a fair number of years some of the challenges related to finding a workable arrangement regarding the shared administration of certain services.

The fragmented administrative systems also had an enduring self-interest built into it that be-deviled a number of provinces. For example in the instance of the Eastern Cape and Limpopo provinces a number of their problems could be directly attributed to the incorporation process.

Integration of the public administrations involved institution building and change management. The different administrations brought with them different accounting and financial systems, different levels of job-grading, skills profiles and work experiences, different conditions of service, and different organizational and work ethics. There was the need to align the employment conditions not only to deal with the issue of the alignment of systems between the different administrations but also to overcome the

reality of employment inequity and more specifically inequity in the conditions of service in terms of race and gender.

4.2 Right-sizing

The rationalization process anticipated some duplication of staff after the amalgamation of the various administrations. It also soon became clear that it was imperative to reduce the wage bill if sufficient resources were to become available for investing in the development of much needed infrastructure across the country, but specifically areas that were previously under-serviced by the state. This resulted in an exercise in 1996 to 'right- size' the public service. This process included a number of initiatives that included Voluntary Severance Packages (VSPs'), freezing of employer initiated retrenchments, voluntary termination of services and the identification of supernumerary personnel.

The 'right sizing' exercise led to 39,501 employees 'agreeing to leave the public service by February 1997' (PRC report, 27 February, 1998, p89.). The manner in which the particular VSPs process was applied had some negative implications as a number of skilled people left the public service and some later returned to the public service as consultants. The instances of loss of skills that may have been required within the public service arose from the fact that the agreement with organized labour did not make provision for the Executive Authority to reject a request for a voluntary package if it was considered that the skill of the individual was still required in the public service. It must be emphasized that this instrument of the voluntary severance package (vsp), did contribute to greater representivity within the public service.

4.3 Reform

The *White Paper (1995*) clearly states that whilst studying the various international models on administrative reforms and reflecting on both the successes and shortcomings, South Africa would be critical and cautious in how it applies and incorporates these reforms into South Africa's transformation process. This caution would particularly relate

to privatization, cost-reduction and outsourcing of services which Government is looking at, among others, towards the broadening of access to public services.

It is undeniable that the *White Paper (1995)* makes extensive use of definitions and concepts, relating to the macro organization of the state, which is generally associated with the NPM. For example, the *White Paper* refers to three categories of agencies when referring to government departments and statutory bodies. The agency is broken down into administrative agencies (the Ministry of Public Service and Administration is a transversal department which offers services within government rather than direct services to the public), service delivery agencies (referring to executive agencies in an arms-length arrangement to service delivery departments such as the Social Security Agency) and statutory agencies such as the Public Service Commission, the Auditor-General (refer to *White paper on the transformation of the Public Service, 1995, Chapter 1.4).*

The reference to different categories of agencies implies the integration of a corporatist approach into the public service and hence largely an emulation of the private sector which is associated with the New Public Management. Beyond the reference in the *White Paper (1995*), and other than in the instance of very specific departments such as Transport, or by establishing a public entity, the reference to the three categories of agencies did not materialize.

Coinciding with the processes of rationalization of the public service and the right sizing process has been the creation of and in instances the proliferation of public entities. In the early 2000, Cabinet identified the need to review the prevailing dispensation of schedule 3(a) and 3(b) Public Entities.

In line with the focus on the role of the developmental state in the provision of goods and services to the citizens a review was commissioned to determine whether public entities are meeting their mandate in terms of their current functioning.

The review of schedule 3A and 3B public entities is currently conducted by the Department of Public Service and Administration and the National Treasury. The review was tasked to consider at issues related to corporate governance based on the King Report and its application as well as whether the public entities are indeed fulfilling their mandate to meet the basic needs of the citizens as intended by the developmental state. Questions arose related to the role of boards and their inter-relationship with the executing authority as sole shareholder on behalf of government. There is a view that there has been a very narrow legalistic approach by the boards in their functioning and in the process neglecting to act in the interest of the sole shareholder - government. The review reflects the need to strengthen the use of service level agreements and performance instruments.

The review further focuses on human resources that include aspects of remuneration, conditions of services, collective bargaining and whether the public entities should be included in a centralized bargaining chamber along with the public sector. In addition, the question of performance assessments of the executive directors/chief executive officers is under consideration with a recommendation that there should be a central mechanism to make the assessment.

The review recommends the reclassification of public entities, as the existing definition does not allow for a range of corporate forms with attributes that specify accountability arrangements, performance measures, corporate governance practices, and human resource practices. This review has proven to be one of the major exercises conducted by the Public Service of South Africa.

There is a consideration that the current legislative framework/legislation does not provide sufficient guidance on corporate governance, as in the King code or guidelines on the appointment and the management of the performance of the governing bodies. The legal mandates in the public entities tend to be over-emphasised and there is generally not an effective utilisation of service level agreements and performance management

instruments. There is a focus on the need to avoid duplication of functions either between public entities or among public entities and government departments.

4.4 Human Resources Management and Development

The Public Service Act, 1994 through Proclamation 103 of 1994, constituted the first framework legislation after the 1994 elections. This was complemented by legislation covering the employment of police, teachers/educators and other sectors. Since then these pieces of legislation have undergone an evolution consistent with the reality of a transforming public service.

One of the most important of these changes was the transfer of the management authority for the public service from the Public Service Commission to the Minister of Public Service and Administration. Following the *Public Service Laws Amendment Act* (47 of 1997), the policy making and executive powers and functions with regard to the administration of the Public Service were firmly vested in the Minister of Public Service and Administration. This legislative amendment summarized the policy areas of responsibility as:

- The functions of, and organizational arrangements in the public service
- Employments and other personnel practices, including the promotion of broad representivity as well as human resources management and training
- Salaries and benefits
- Labour relations
- Information management and information technology and
- Transformation and reform.

In addition the Minister has to:

- Provide a framework of norms and standards with a view to give effect to any of the above-mentioned policies
- Make regulations regarding the above-mentioned policies and other matters.

- Advise the President on the establishment of national departments and related matter
- Allocate, transfer and abolish Public Service functions and
- Advise the President, Ministers, Premiers and Members of the Executive Councils on a range of public service and related issues.

In essence, the legislative reform in 1999 dealt with the problem of the provision of the executive powers to the Public Service Commission as captured in the *Public Service Act,* 1994 that was in conflict with the provisions of the 1993 Interim Constitution. It also redefined the powers and functions between the Public Service Commission and the Minister.

4.5 Devolution of powers

Legislative amendments, especially the 1999 Amendment of the Public Service Act, laid the basis for the devolution of powers - particularly relating to the management of human resources - to the line function ministries and heads of departments. The drive for this particular devolution was one of the boldest attempts to move the balance of power to the senior officials. It was substantially about managerial autonomy. This should also be interpreted together with the issue of who is responsible for what – the artificial split between responsibility for outcomes (politicians) and outputs (managers).

The uniform devolution of the human resource management function has not come without complexities especially due to the uneven levels of the capacity of the human resource practitioners and the human resource management function within departments. However, the Minister of Public Service and Administration still maintains the overall responsibility for a regulatory framework that sets the norms and standards, including authority to determine salaries and other conditions of service.

4.6 Decentralisation

The decentralisation process must be revisited with particular caution. Firstly, decentralisation and delegation must only take place where prior capacity exists or where additional resources, human and other will be made available (*Project Consolidate* is an example where this is happening.) The decentralisation question necessitates a further discussion with a thorough understanding and insights of existing roles and functions, questions that should be dealt with are what is desirable for the developmental state, and the what processes are required to move from the status quo to the desired state.

As part of the decentralisation process, there was a need to repeal the centralized Public Service Staff Code to enable sectors and departments to adapt public service frameworks to peculiarities of the sectors. This was achieved by the institution of the Public Service Regulations on 1 July 1999 based on the Public Service Amendment Act of 1997. The manner in which this decentralisation of the staff code has been implemented points to the human resources function and in turn to the complexity of decentralisation within an environment where there may be capacity limitations. It has also led to a focus on the competency of the human resource practitioners within the departments and the realisation that there is a greater capacity to deal with personnel management than human resource management. A need exists to fast-track and professionalise human resource management across the public service to place it on par with financial management; to ensure close monitoring and assistance by the responsible departments; and to revisit the decentralisation framework in order to ensure the necessary capacity by the responsible transversal department.

By December 1999 the majority of managers (67%) were based in national departments, whilst 30% of the public service employed by national departments, with 33% of managers located in provincial departments. The deployment of managers between national and provincial reflected the under-management in the provinces by 1999. The current statistics, for December 2004, reveals that there has been a redistribution of human resources with 57% of managers at national sphere and 43 % at provincial sphere.

The distribution of members of the senior management between national and provincial government is still disproportionate to the number of public servants at those spheres; however, the shifts have already been quite remarkable. The increase in the numbers of managers at the provincial sphere, it reflects an aspect of the policy focus in the first few years of democracy and the greater focus, especially since 1999, to move from policy development towards more effective policy implementation. The distribution of personnel particularly in management and middle management has been a focus since 2000.

4.7 Governance to support developmental state

Government, through the Executive and directors-general, has over the past three years grappled with the vexed question of capacity, and the development of capacity that would ensure that the public service responds to the challenges confronting the developmental state. There was a process to identify priority interventions that Government should concentrate on in the third term in line with the reform and transformation agenda of the public service and public administration. A research process was undertaken to identify priority challenges. This is not an attempt to provide a comprehensive or detailed report and analysis of the survey findings, what follows will be largely descriptive.

A quick and intense research process was developed involving persons with present and past linkages to government and administrations, these included, political representatives, past and serving directors-general, trade union leaders, development activists, academics and consultants in the public governance arena and journalists with a public governance interest. A questionnaire was designed in order to elicit a range of opinions and to generate ideas by way of a postal survey (30% response rate to a purpose sample of 220). The questionnaire was accompanied by three focus group discussions, in February 2004, facilitated by the Minister of Public Service and Administration. The questionnaire was designed to elicit ideas and opinions rather than quantifying particular responses.

Certain responses to the questionnaire are pertinent to different aspects of the Batho Pele programme:

> Key obstacles in my view are that there is a mixture of 'old' and 'new' public sector employees and therefore different mindsets on approaches as well. Values that need to be strengthened in my opinion would include internalizing and understanding the letter and spirit of the code of conduct.

In relation to inefficiency and ineffectiveness*:*

> Get the basics right. There should be programmes to address the commitment to service delivery and the ethics of the public service. Induction courses for all prospective public servants before working in the public service to ensure that new people understand what are expected of them, to ensure that they appreciate and implement programmes or policies such as Batho Pele.

The inputs point to the reality that governance and administration are complex and require a more integrated and strategic approach consistent with the comments to date. It is not about "a range of unconnected small interventionist projects, but should draw on a big picture, strategic understanding supported by a programmatic and integrated approach in dealing with issues that [re]quires attention." (Governance and Public Administration to Support the Developmental State 2004). Opinions in the focus groups emphasised the "the importance of the most basic aspects; the foundations and those things that we assume are in place, but often are not and therefore render any more ambitious interventions impractical and beyond implementation."

Based on the inputs received both in the questionnaire and the focus group pointed to the following areas of intervention are in line with needs of an administration in support of the developmental state. There is evidence that supports the "…establishing public administrative practice in line with the notion of the developmental state; focus on our human resources for the public service; improving on governance, leadership and management; revisit the macro organisation of the state and the relationships that underpins it." (Governance and Public Administration to support the Developmental State 2004:6).

The research process showed that the assumption that there was a shared understanding of 'development' and the 'developmental state' was misplaced even among senior managers in the

Public Sector. There is a need to establish a shared South African understanding and inculcate this understanding across society. In the context of the two economies it is clear that there is a challenge before the administration to specifically take into account the poor, in addition to constantly improve all citizens' quality of life, especially that of the marginalised and vulnerable in society. Respondents to the survey repeatedly warned and urged Government to move towards a "truly developmental platform and move away from one that creates dependencies and undermines the strength of independent and responsible communities." (Governance and Public Administration to support the Developmental State 2004:7)

In the research the question of the *Human Resources for the Public Service* arose the notion that public servants, their capacity and their work ethic was seen as the greatest obstacle for South Africa to attain its full potential. Very direct and strong language was used in reference to public servants in relation to their work ethic. Patterns of issues that arose in the research were: the importance *recruitment and selection processes;* resolving and finalising the matter on who is responsible for *human resource management* (this relates to the difference in the PSA and the PFMA in this regard); *mobility* across the public service, public sector and other sectors; *professionalism*; need for c*apacity development* at all levels of the public service in relation to training, job rotation, mentoring, on-the-job assistance among others.

Retention is not only influenced by remuneration but also by the *quality of the work experience*. Less than a desirable *work environment* can create highly problematic *performance management* where it does exist. Transversal policies and framework that are in place but poorly implemented, inadequately monitored and supported by the originating department can lead to corruption, nepotism and fraud.

Improving on governance, leadership and management, the research attributed the success achieved to date in the South African transformation project to good political leadership and its ongoing ability to inspire, to construct the vision and to formulate the correct policies. There is recognition of a difficulty in the executive's oversight role of the administration and the senior management's ability to deliver against the vision of the policy frameworks. The survey particularly makes reference to the nature of partnerships

required in service delivery whilst retaining the central role of government. Reference was made to the accountability framework; the relationship between the executive and senior manager/director-general; management capacity and the environment created by the Public Finance Management Act, 1999 the retention of highly sought after management skills and the need to further investigate the contract appointment of directors-general and the need to review the Senior Management Service.

The research also *revisited the macro organisation of the state and the relationships that underpins it.* Reference was made to the undue complexity in the macro organisation of the South African state hence imperative to create a workable framework of intergovernmental relations; review the dispensations, structural and governance arrangements of the Public Entities and State Owned Enterprises in order to optimise their input into development; develop a public service dispensation in terms of the conditions of service and operational modus operandi that also applies to the local government sphere. A caution was sounded on the application of decentralisation and it was proposed that decentralisation and delegation should only take place where prior capacity exists or where specific arrangements will ensure that speedy capacity development are in place, the latter will require an additional resource allocation and commitment.

5 DIVERSITY MANAGEMENT

South Africa exhibits diversity on a large number of typical diversity factors, the most notable being race and ethnicity. South Africa has fundamentally negative lessons from the apartheid experience of the separation of people on the basis of race, colour and ethnicity which serves as a lesson for the rest of the world and for public administration. Whilst diversity management takes on a special significance because of apartheid, it also encompasses some more generic features, which can be found in other cultures, and nations like: race, gender and disability.

5.1 Employment Equity

The policies of the ANC and government are unambiguous on the question of equality among people from the perspective of race, gender and disability. These policy statements - as further elaborated in *Table 4.1* (see pages 145-146) pertain to achieving representivity in all three arms of government, i.e. the legislative, executive and judicial branches and across all spheres of government.

The ANC policy documents (*Freedom Charter*; *Ready to Govern*; *Strategy and Tactics* and other related documents) and the Interim Constitution of 1993 and the Constitution 1996 points to a non-racial, non-sexist society as fundamental for this new democracy. Certain of the policy documents take this further and as an implementation measure refers to the need for affirmative action programmes which will enforce the representativeness required to change the South African public service.

The question of equality and equity is central to the transformation agenda and the quest to build the developmental state. Policy statements were made from the beginning of the nineties that "the whole civil service will have to be opened up to make it a truly South African civil service…" (*Ready to Govern*: 1991:8) This issue received Constitutional endorsement in 1996. Section 195 (1) (i) states that "Public administration must be broadly representative of the South African people with employment and management practices based on…the need to redress the imbalances of the past to achieve broad representation."

5.2 Race, gender and disability

State and Social Transformation (1996) identifies the need to deal with "the challenge of the fundamental transformation of the state. This would be done to ensure that organs of the state reflect the new reality and are capable of carrying out and actually carry out programmes that emanate from the new order." Such transformation, according to the discussion document, should deal with a number of matters including the structural

changes of the state machinery; personnel changes affecting the civil service; and the political and ideological orientation of the individuals and institutions that make up the machinery of state.

The *RDP* requires that a comprehensive and far-reaching programme of affirmative action must be instituted to achieve the kind of public service that is reflective of South African society, particularly at the level of management and senior employees (1994). (also see *Table 4.1, pages 145-146*). The affirmative action programme as presented in the RDP can be argued to be developmental in order to ensure redress that will be sustained, as it should have the required support programmes for those public servants who will enter the public service. Training to those who have been previously excluded from holding responsible positions is regarded as a critical part of affirmative action.

The RDP set a very tight timeframe to complete the affirmative action initiative. "Within two years of the implementation of the programme, recruitment and training should reflect South African society, in terms of race, class and gender. Mechanisms must be put in place to monitor implementation of the programme." [*The RDP:* 5.10 The Public Service Par 5.10.3: 127] In recruitment, the RDP target was met in relation to race, the gender target set for the SMS was not met (30% women by 2005; South Africa is at 29%); the target for recruitment of disabled people was not met at all.

Strategy and Tactics (1997) also elaborates on the issue of the transformation of the state machinery. It draws on the RDP document and provides further detail to the RDP vision in this regard. *Strategy and Tactics* states that "…it is a critical part of the ANC's programme to change the doctrines, the composition and the management style of all these structures to reflect and serve South African society as a whole. This includes the involvement of more and more of those who were discriminated against, especially blacks, women and the disabled, and a particular sensitivity to their needs and interests. The principles to guide these are contained in the constitution and the relevant new statutes." *(ANC Website – pages not numbered)*

The references to various policy and discussion documents reflect the centrality of the notion of building a non-discriminatory society that is non-racial and non-sexist in character. The targets that were set, dealt with three aspects of composition. These were race, gender and disability. Given the fact that racial and gender biases were particularly prevalent at the more senior levels; the targets were formulated to address the creation of situations of equity at the managerial levels. In terms of race the initial targets set out to achieve that 50% of managers by 1999 need to be from the black population. In terms of women the target sought that women should constitute 30% of new appointments to the managerial cadre by 1999. The policy also set the target that by 2005 2% of all positions in the public service should be filled by people living with a disability. (*White Paper on Affirmative Action for the Public Service:1998).*

By 1999, 63% of DGs and DDGs were categorized as black (inclusive of African, Coloured and Indian), whilst only 39% of directors and chief directors were from the black community. By 2002 when the Employment Equity targets were re-set the picture has already changed with approximately 70% of managers and senior managers being categorized as Black.

In respect of women the target set within the public service was 30%. In 1995 there were 8% women in the senior management service of the public service, by 1998 the percentage has increased to 18% and in December 2004 it was at 28%, these are captured in *Table 4.3*. Notwithstanding a more representative trend, the target of 30% women managers has yet to be met. The Cabinet meeting of 7 December 2005 revisited the targets set for women in senior management to 50% women by 2009 and retained the 2% target for disabled persons for 2010.

5.3 Measures and tools

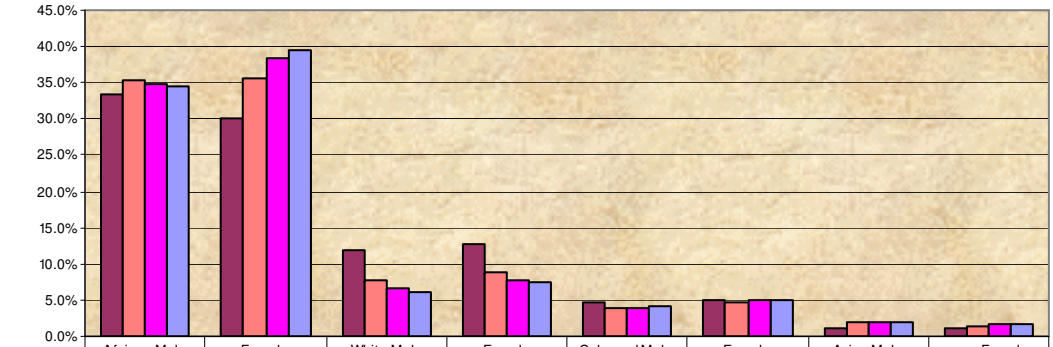
The Departments of *Labour and Public Service and Administration* monitor progress towards the equity target set. Department of Labour focuses on the labour market as a whole whilst the Department of Public Service and Administration monitors the public

service. In addition, the DPSA sets the targets for employment equity within the public service. The Department of *Public Service and Administration* is successful at monitoring the numbers but has to improve on follow up with departments.

Table 4.2 shows in more detail the progress that has been made over the past decade with the race and gender transformation of the public service.

Table 4.2

Race and gender distribution for the Total Public Service from 1995 till July 2005



	African Male	Female	White Male	Female	Coloured Male	Female	Asian Male	Female
Sep-95	33.5%	30.1%	11.9%	12.8%	4.7%	4.8%	1.2%	1.0%
Dec-99	35.5%	35.7%	7.7%	8.9%	3.9%	4.7%	2.1%	1.5%
Dec-03	34.7%	38.4%	6.6%	7.8%	4.0%	4.9%	2.1%	1.6%
July-05	34.5%	39.6%	6.0%	7.3%	4.0%	4.9%	2.0%	1.7%

Source: Persal, July 2005

Table 4.2 captures the data reflecting the demographics according to race and gender of public servants across the public service over the period September 1995 to December 2004.

The growth of 1,1 % African males is seen over this period; African females have increased by 9%.

White males have dropped in percentage terms by 5,6 %: White females have dropped by 5,4 %.

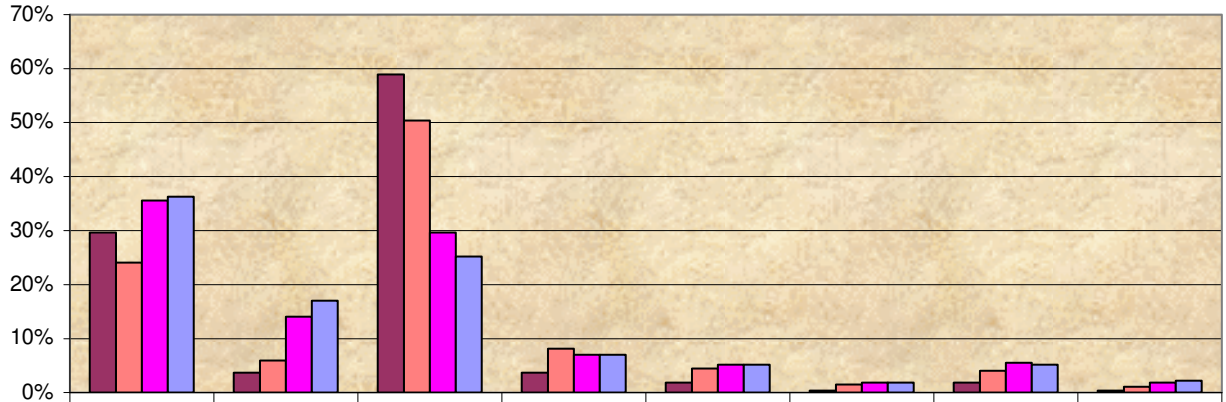
Coloured males have dropped by 0,7 % and coloured females have increased by 0,1%. Asian males have increased by 0,8%

There is a need to investigate the movement in numbers between December 1999 and January 2001. There are some interesting movements.

It is relatively easy to comment and confirm the data on the change in composition of the Public Service in terms of race and gender. However, against the changing status of previously disadvantaged people in society, data on class representation (RDP document) is more difficult and will not be attempted in this study.

Table 4.3

Changes in the race and gender distribution for salary levels 13 and above



	African Male	Female	White Male	Female	Coloured Male	Female	Asian Male	Female
Sep-95	30%	4%	59%	4%	2%	0%	2%	0%
Dec-99	24%	6%	50%	8%	5%	2%	4%	1%
Dec-03	35%	14%	30%	7%	5%	2%	5%	2%
July-05	36%	17%	25%	7%	5%	2%	5%	2%

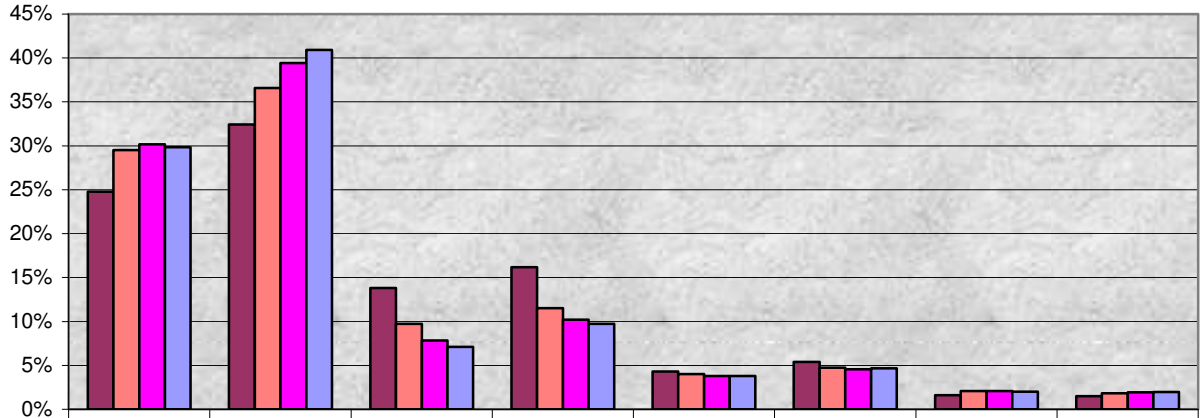
Source: Persal, July 2005

The management echelon as referred in Table 4.3 is more representative in terms of race and is showing good progress. The 50% target set in terms of race at a management level has been surpassed.

On the gender dimension the achievement has not been as successful and the target of 30 % has been re-confirmed. However, at the level of the African Union (AU) the Heads of Government and State have committed themselves to gender equity which translates to meeting a 50% target of women representation in all spheres of society.

Table 4.4

Changes in the race and gender distribution for salary levels 9 to 12

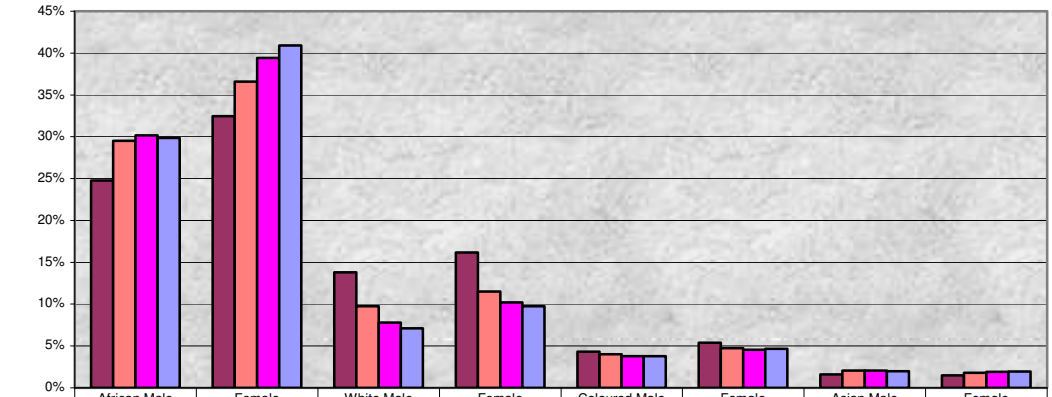


	African Male	Female	White Male	Female	Coloured Male	Female	Asian Male	Female
Sep-95	25%	32%	14%	16%	4%	5%	2%	1%
Dec-99	30%	37%	10%	11%	4%	5%	2%	2%
Dec-03	30%	39%	8%	10%	4%	5%	2%	2%
July-05	30%	41%	7%	10%	4%	5%	2%	2%

Source: Persal, July 2005

Table 4.5

Changes in the race and gender distribution for salary levels 6 to 8

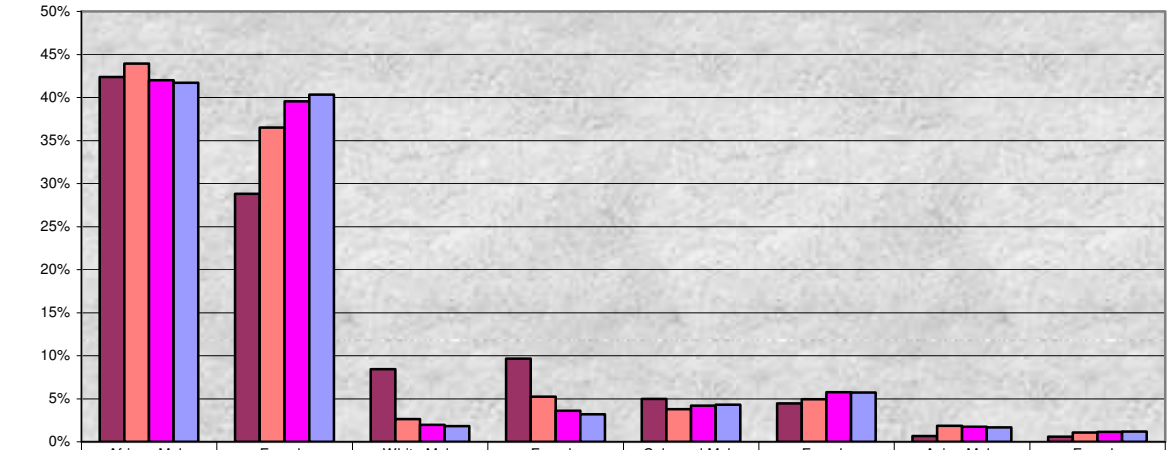


	African Male	Female	White Male	Female	Coloured Male	Female	Asian Male	Female
Sep-95	25%	32%	14%	16%	4%	5%	2%	1%
Dec-99	30%	37%	10%	11%	4%	5%	2%	2%
Dec-03	30%	39%	8%	10%	4%	5%	2%	2%
July-05	30%	41%	7%	10%	4%	5%	2%	2%

Source: Persal, July 2005.

Table 4.6

Changes in the race and gender distribution for salary levels 5 and below

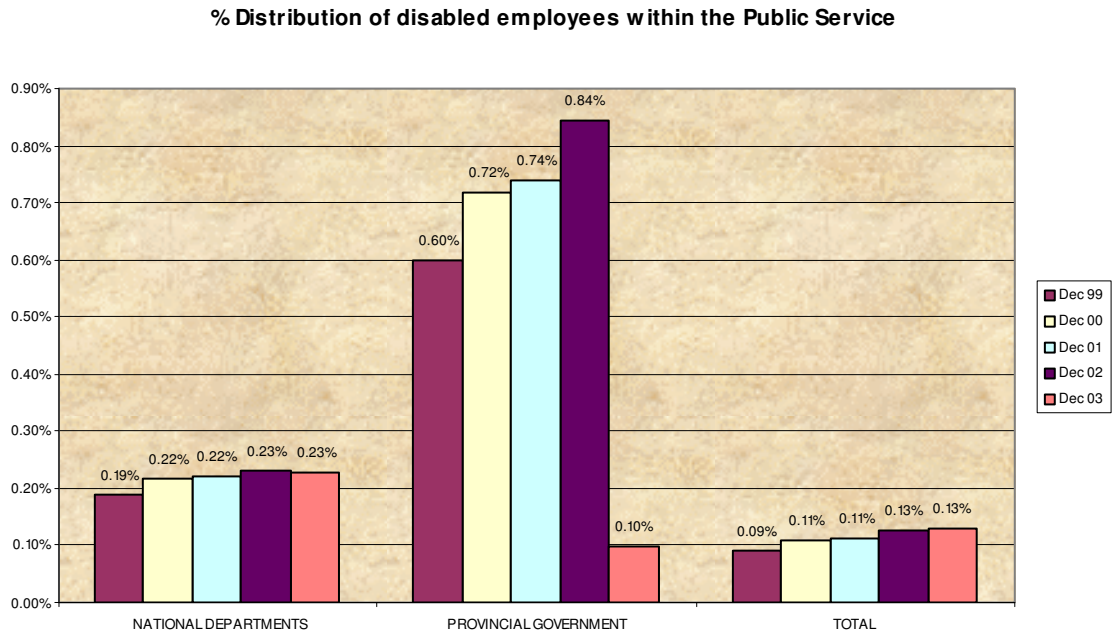


	African Male	Female	White Male	Female	Coloured Male	Female	Asian Male	Female
Sep-95	42%	29%	8%	10%	5%	4%	1%	1%
Dec-99	44%	37%	3%	5%	4%	5%	2%	1%
Dec-03	42%	40%	2%	4%	4%	6%	2%	1%
July-05	42%	40%	2%	3%	4%	6%	2%	1%

Source: Persal, July 2005.

In *Table 4.7,* disability targets, i.e. 2% at all levels, have been largely unmet with the total national (including the provinces) percentage being at 0,13% in December 2004.

Table 4.7

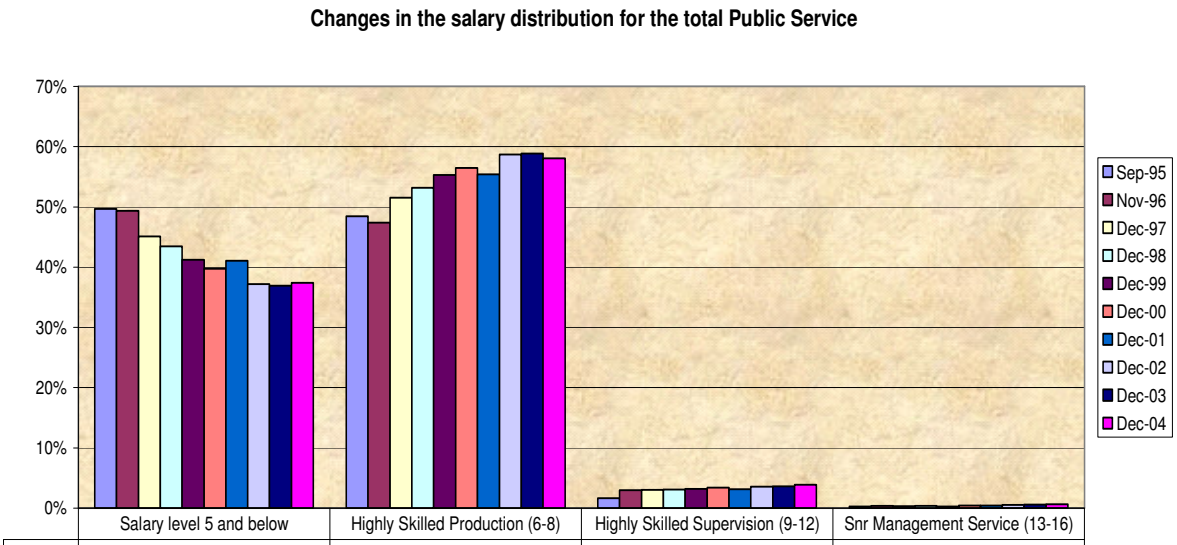


Source: Persal, 2004

It is important to consider that the definition for disabled officials have only been finalised in the late nineties and hence the requisite fields were not created on the Persal system in order to capture staff employed prior to the date. It can thus be concluded that not all disabled officials are captured on the Persal system.

5.4 Changing the skills profile of the public service

Table 4.8



	Salary level 5 and below	Highly Skilled Production (6-8)	Highly Skilled Supervision (9-12)	Snr Management Service (13-16)
Sep-95	50%	48%	2%	0.3%
Nov-96	49%	47%	3%	0.3%
Dec-97	45%	52%	3%	0.3%
Dec-98	43%	53%	3%	0.3%
Dec-99	41%	55%	3%	0.3%
Dec-00	40%	56%	3%	0.4%
Dec-01	41%	55%	3%	0.4%
Dec-02	37%	59%	4%	0.5%
Dec-03	37%	59%	4%	0.6%
Dec-04	37%	58%	4%	0.6%

Source: Persal, December 2004.

Refer to Table 4.8. Salary levels 5 and below: Resolution 7 of 2001, *Restructuring and transformation of the Public Service*, resulted in the reduction of number of personnel at these levels. This largely affected lower level staff in the former Bantustans and the self-governing territories. For example, in the Eastern Cape farm workers in the Department of Agriculture were in excess to the establishment as the farms had been sold and they were no longer productively employed. The real trend may also be that the manual work

has been outsourced in view of the higher level of skill required in the workplace. A critical focus is required to ensure that Government is not cutting back too much at these levels.

Highly skilled Production (6-8):

With the thrust to strengthen the core business of departments there has been growth in the 'highly skilled production' category. The mechanical move towards core business of departments is showing a downside at present where, for example, professional nurses are expected to also perform cleaning work. With the capacity assessments that have been conducted in 2004/2005 the absence of administrative support in education and magistracy has come to the fore. It has been found that educators and magistrates are bogged down by administrative work. The introduction of personalised notches is prevalent across the respective categories in order to retain staff in particular posts. It should also be noted that roads, construction workers and extension officers' numbers have dropped.

Highly skilled production' salaries have grown by 10%.

There is insufficient staffing the public service in the areas of project management and contract management. The Senior Management Service (SMS) has doubled starting out from a very low base (from 0,3% to 0,6%). The highly skilled supervision category has also doubled. The perennial and persistent problem lies in the low proportion of managers in relation to officials. There is a realisation that merely tinkering with the proportion of managers to officials will lead to an escalation in the wage bill and hence the approach to have a comprehensive review of remuneration in the public service. These graphs are quite insightful on the composition and skills base as well the composition of skills and the remuneration levels as well as variations that may have occurred. The focus has been more to strengthen core business and less on support functions which is starting to show now.

5.5 Representativeness

In 2000 the Commission dealt with 'The state of representativeness in the Public Service'. The study reflected on whether the public service attained its set targets in the areas of race, gender and disability, and accurately stated that 'the monitoring of numeric targets by the Public Service Commission is only one facet that complements the entire transformation process. The monitoring of transformation will be a continuous process….' *(The state of representativeness in the Public Service,* (PSC), 2000, p.8)

The Commission pointed to limitations in the Persal system in 2000 due to inconsistent updating of information on the Persal system by departments. There is a question of the veracity of the data utilized, in the report, as 'Departments have not been requested to analyse the information for authenticity.' (PSC, 2000:26). Furthermore, heads of department and directors-general were not required to provide reasons for not meeting the set targets, as stated in the White Paper, as it was considered premature for the 2000 study.

5.6 Strengthening the Management Capacity of the Senior Management Service

Improved service delivery remains the fundamental priority of government. In order to be responsive to the challenge (of improved service delivery) a public service is needed that can deal with the complexity and opportunities presented by the developmental state headed by capable leaders and managers. The establishment of the senior management service was an endeavour to strengthen the management within the public service against the concern about the ability of the government departments to implement their policies into practice and to effectively utilise the resources placed at their disposal. Matters that were considered were the recruitment and selection of senior managers and professionals, their retention and ongoing development.

One of the ongoing debates in relation to senior management and professionals within the public service has always been the perceived tension between professionalism and

political allegiance. A number of founding documents of the African National Congress, as well as, the Constitution of the Republic of South Africa, 1996 analysed in Tables 4.1 and 4.9 refer to the issue of professionalism and the requirement for allegiance to the Constitution.

TABLE 4.9: DOCUMENTARY ANALYSIS OF STATEMENTS ON ALLEGIANCE AND PROFESSIONALISM

Freedom Charter (ANC Speaks: Documents and statements of the ANC 1955-1976)	**1993 Interim Const**	**The Constitution of SA 1996**	**Ready to Govern**	**RDP**	**2002 Strategy and Tactics**	**Resolutions**	**National General Council (ANC Policy Review Conference w/shop Papers. June 2002)**
	Career oriented and non-partisan (S212 (2a))	Services must be provided impartially [Chpt 10 (S195 (1d)]	The civil service should be impartial in its functioning …(Ready to Govern. p.8)	The ethos should be professional, in the most positive sense of the word; the public service must internalise the concept of 'serving the people.' [5.10.1. (p.126)]	It entails introducing a new orientation in the provision of services to society, rooting out corruption and introducing a new organisational culture and motivational values. (S&T Transformation of the State machinery p.70)		

	Loyally execute the policies of the government of the day in the performance of its administrative functions; (S212 (2e))	Within public administration there is a public service for the Republic, which must function, and be structured, in terms of national legislation, and must loyally execute the lawful policies of the government of the day. [Chpt 10 (S197 (1))]		The Code of Conduct must incorporate the principles of the new South African public service as outlined in the RDP. The ethos should be professional, in the most positive sense of the word; the public service must internalise the concept of 'serving the people.' [RDP programme. (5.10.1. (p.126))]			
				While the public service must be based on merit, career principles, suitability, skills, competence and qualifications, these standards should not be interpreted to further minority interests as in the past. [RDP programme 5.10.3 (p.127)]			

Source: Geraldine J. Fraser-Moleketi (December 2004)

A key challenge identified, in April 2000, for the public service was the need to attract, develop and retain capable managers, This is part of the endeavour to attract the most talented in South African society to run the public service institutions with the view to develop a uniformly high standard of management across the public service. This led to a review of the approach to the senior management corps and the introduction of key changes which included the professionalism of the senior management service (SMS).

A special focus will be placed on the move towards a professional senior management echelon and will include the following objectives.

- Enabling mobility between departments, where appropriate, across the most senior rank, improving pre-recruitment screening to ensure that only the most suitable individuals enter the Senior Management Service.

- Creating a remuneration structure for management that is risk- based and linked to performance As such a performance assessment system, with suitable bonuses for top performers had to be introduced.

- Creating a dispensation with greater contract flexibility and a transparent salary package which will be a 'total cost to employer package'.

- Making a system of competency profiling compulsory for all management positions in the Public Service

- Granting greater powers for Heads of Departments (HOD) to hold senior managers responsible for outputs, to reward performance and carry out disciplinary action in the case of poor performance.

- Introducing clearly established guidelines regarding the conduct of senior managers, e.g. with respect to governing the financial interests of senior managers and other aspects of conduct.

- Broadening the definition of management to include managers of service delivery institutions such as hospitals, prisons, schools and other operational entities.

- Strengthening the capacity of accounting officers through the Presidential Leadership Development Programme for Directors-General and HOD's (GJ Fraser-Moleketi, Minister of Public Service and Administration; *Budget Speech 13 April 2000*).

- In addition, Cabinet (7 December 2005) has adopted the development of sustainable pools of middle managers in order to ensure the supply side for the SMS.

The reason for development of the SMS was the need for a strong management cadre in the upper echelons of the public service. At the same time, career-pathing for middle and senior professionals was strongly identified. The practice that professionals had to occupy management positions in the quest for improved remuneration packages was considered undesirable in terms of the needs of the public service and the appropriate utilisation of available skills.

5.7 Frame-work for creation of SMS

A reference group was set up to draft The 'Senior Management Project Report' of April 2000 developing proposals on a special dispensation for senior managers. This project was based on the need for a particular senior management cadre to drive the Public Service transformation agenda. The focus of this intervention was largely better recruitment, retention and ongoing development strategies for senior managers. This input does not attempt to deal with all the proposals captured in the project:

Conditions of service (total package and cost to employer)
Ways of simplifying the package structure and incorporating benefits
Financial and non-financial benefits
The determination method for annual adjustments
The desirability of contractual employment

The monitoring and rewarding of performance
The systems of recruiting and retaining senior managers
Special retention problems
Skills and competency needs
Interest declarations and restraint in trade matters, etc.

A key recommendation in establishing the senior management service was the de-linking of salaries of senior managers from collective bargaining and as result their removal from the Public Service Co-ordinating Bargaining Council (PSCBC). Senior managers who were part of the 'closed shop' agreement were excluded, from the closed shop agreement, after the adoption by Cabinet of the senior management service and the subsequent effecting of the regulatory changes.

Specific proposals were made on the determination of salaries of heads of departments (HODs)/directors-general and the role of the Executive Authority in consultation with the Minister of Public Service and Administration. The Minister of Public Service and Administration would effect the adjustment of salaries on an annual basis. The actual adjustment date would be 1 January of every year and not 1 July as was the case until January 1, 2001.

Individual SMS members can renegotiate their contracts on an annual basis. There is allowance for a review of the level at which they have been appointed, six months after their appointments, in case they had been placed at the wrong starting level. The recommendations resulted in different outcomes within and for the SMS. Reference will be made to some of the recommendations as well as the consequences of its application.
The introduction of a flexible package at 'total cost to employer' formed the basis of the new salary structure for the senior management. In terms of the package, two options were presented, the option implemented was a structured package with the senior manager receiving 70% as a pensionable salary and with the rest of the package (30%) structured in a tax efficient manner. *Figure 4.2* serves as an example of the structure of the package for the SMS.

The question of contracts for the whole of the senior management service whether 'fixed term' or 'open term' evoked much discussion. The study recommended that fixed term contracts only be applied to the most senior appointments which would translate into the Directors-General and Deputy Directors-General. The practice is that with the exception of one or two departments only the Directors-General or Provincial Heads of Department are on fixed term contracts.

The fixed term contracts, for the senior management, were informed by higher remuneration packages which would merit an element of 'risk.' In the instance of the Director-General or Head of Department, additional benefits of a 10% on their remuneration packages and additional pension benefits. The intention was to elicit greater productivity across the public service.

In the instance of the United States of America, fixed term contracts accompany greater risk and allow for greater depth for political accountability into the public service. Those employees who do not want to subject themselves to the same time bound performance contracting would go on the 'open–term' and forfeit the remunerative benefits. The deviation in South Africa resulted in a hybrid that combines the practice of 'open-term' and 'fixed term' in the sense that the benefits of 'fixed term' contracts are enjoyed by management whilst operating in a career public service environment. Much as there are additional benefits for the DGs' and HODs,' in view of the fixed term contracts, the senior management service as a whole benefited from the new dispensation through the flexible remuneration package.

The argument in the position paper suggested that the distinction and limitation of 'fixed term' contracts to directors-general and heads of department was required to limit political interference to the top layer of the public service. This is linked to the earlier reference to the American public service. The draft document also made a recommendation that the contract of the director-general be terminated within six months of the end of term of office of the Executive Authority. This recommendation was not placed before Cabinet and hence not included in the existing senior management service

handbook. The basis for the proposed recommendation was and is an interesting one linked to the fact that the director-general is employed on a fixed term contract. As it could be argued that the position of the director-general or head of department is the closest to that of a political appointment, in the South African situation, there is a need for an exit mechanism in the event of a change of the executive authority.

The proposal took into consideration the cost linked to the re-determination of the contract of the director-general or head of department in event of a break down in the working relationship between an HOD and Executing Authority hence the recommendation of termination, of the contract, six months post a new executive appointment. It should be noted that the appointment is subjected to a process of open competition. Improving remuneration of professionals has been a subject of extensive discussion and research over a considerable period of time with a concern about their retention within the public service. The particular focus in 2000 was on professionals within the senior management service. The overall approach was that a particular dispensation must be developed in order that professionals do not need to occupy management roles for better remuneration. Specific proposals included a recommendation that a professional may be remunerated at a salary level higher than that of the director-general and yet be accountable to the director-general, as accounting officer. An example of this in the judiciary is that court managers are purely administrative and not dealing with legal matters and hence they should not be paid higher than the professionals in the Judiciary. The implementation of the proposal on professionals requires a culture change within the public service. The question of the career-pathing of professionals within the senior management service is outstanding and presently, 2005, work is underway to take this matter forward.

The introduction of performance management and the subsequent role of the Public Service Commission in the annual evaluation of directors-general is a direct outcome of the introduction of the senior management service.

5.8 Senior Management Service – A Sequel

The senior management was introduced on 1 January 2001 through an amendment to the Public Service regulations. The amended regulations were supplemented by a SMS handbook (2001). The SMS includes all managers and non-managers to whom the *Public Service Act* (1994) and the *Public Service Regulations* (PSR) apply and who were remunerated at salary levels higher than level 12 before 1 January 2001. All public servants appointed at these levels subsequent to 1 January 2001 are included in the SMS.

On 1 December 2003 a second edition of the Handbook was issued. This edition incorporates all the determinations, directives and guidelines issued by the Minister of Public Service and Administration as at the date stated (1 December 2003). The legal mandate of the Handbook is based on regulation 1D of Chapter 4 of the Public Service Regulations (PSR). The Handbook should be read in conjunction with the Public Service Act, the PSR and relevant collective agreements and circulars. The chapters of the handbook include both compulsory and advisory aspects.

The Handbook examines issues of:

(1) Recruitment and selection
(2) Remuneration and Conditions of Service
(3) Performance Management and Development
(4) Competency Framework
(5) Ethics and Conduct
(6) Misconduct and Incapacity
(7) Employment of Heads of Department
(8) Financial Disclosure"

The Handbook is a guide that serves as an easy reference for members of the SMS as well as members of the public who may have an interest in the senior management service or who may be interested in joining the SMS. This Handbook can be accessed both electronically and in hard copy.

Mobility between departments

Chapter 4 of the Public Service Regulations allows the Minister for Public Service to facilitate the deployment of members of the SMS. The Minister of Public Service and Administration may on her own initiative or at the request of the Executing Authority facilitate the transfer of a senior management service member in terms of s14 of the Public Service Act or effect a secondment in terms of section15 of the Public Service Act. The compliance in terms of section 14 relates to the public interest, ensuring the retention of salaries and obtaining the approval of the Executing Authority. The Minister of Public Service has not extensively utilized this mechanism to date.

Improved pre-recruitment and screening

Chapter 2 of the SMS Handbook has a detailed focus on the recruitment and selection of members of the SMS. The intention is to encourage good practice and to develop uniform norms and standards with regard to selection and recruitment, conditions of service, performance assessment, conduct and ethics and the termination of employment.

Remuneration of management should be risk based and linked to performance

At present senior managers are entitled to cost of living increases. To be considered for pay progression an effective performance rating of 65% and higher must be achieved. Pay progression is effected every twenty-four months. Managers qualify for cost of living adjustments on an annual basis. The Minister of Public Service and Administration determines the annual cost of living adjustments for the senior management service, and through convention, in consultation with the Minister of Finance, Minister of Education and the Minister of Safety and Security.

Contract flexibility with a transparent salary package

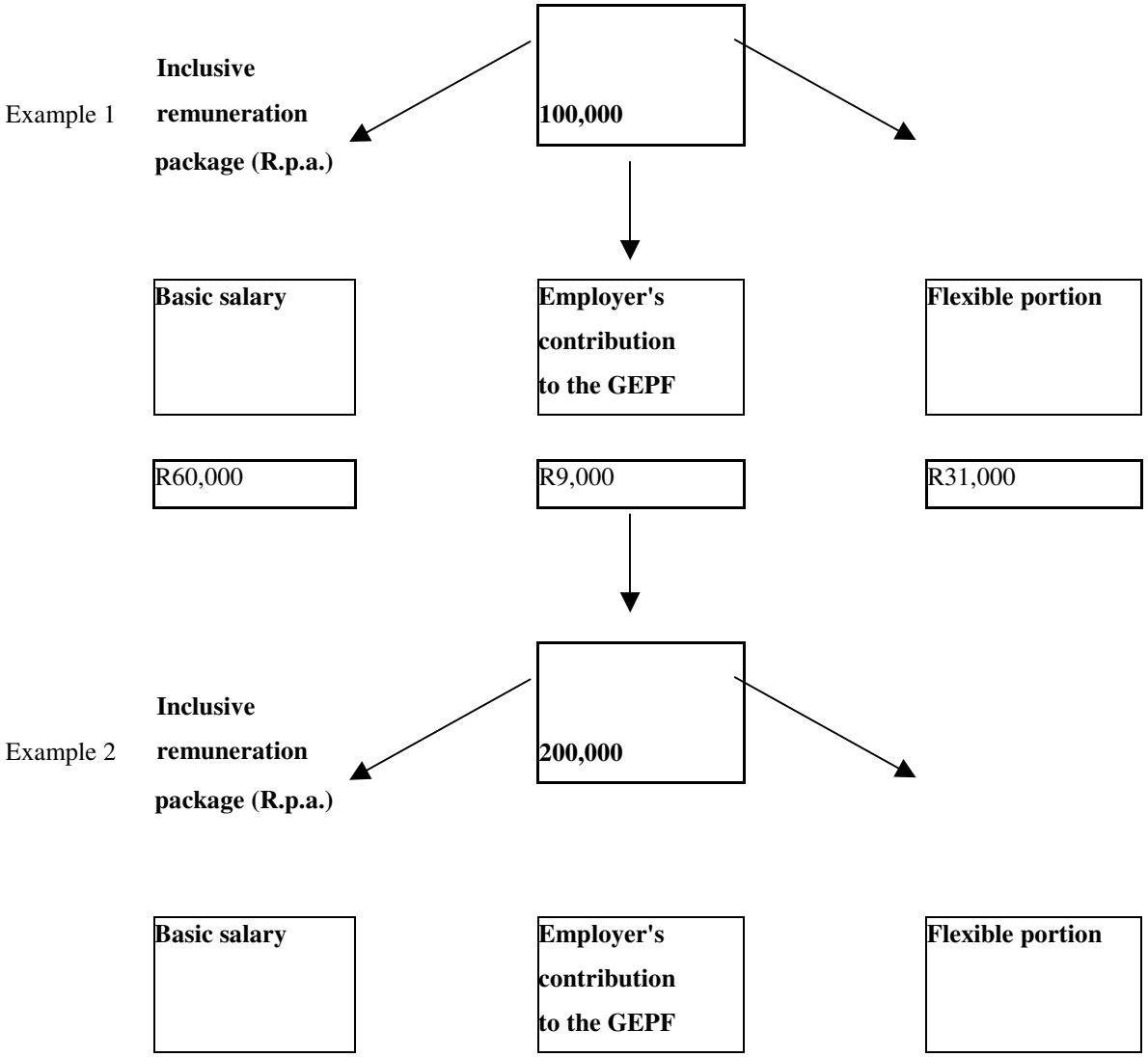
All members of the SMS must enter into an employment contract, as from 01 January 2001 a flexible remuneration package was put in place for senior managers. The main characteristic of flexible remuneration is that managers are able to decide on the 'component mix' of the flexible portion of the salary package.

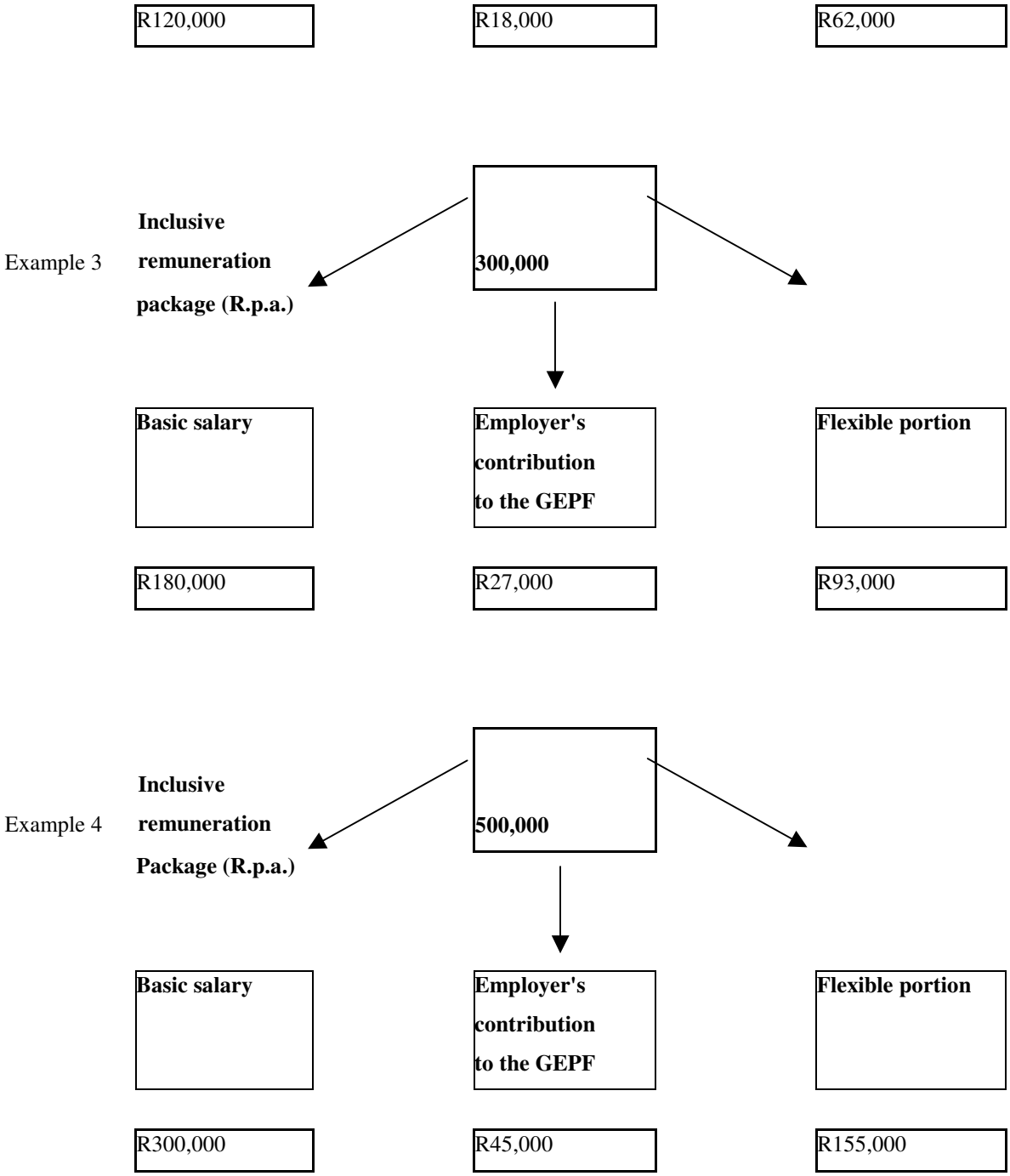
Figure 4.2 provides an example of how this was structured from its inception.

FIGURE 4.2

Annexure A

EXAMPLES OF STRUCTURE OF INCLUSIVE PACKAGES





Source: SMS Handbook. 2001

The inclusive remuneration package consists of the basic salary, the government's contribution to the GEPF (Government Employee Pension Fund) and a flexible portion. [See *figure 4.2*.]

The flexible portion must be structured according to certain provisions and into certain items:

Motor car allowance: 25% of the total package per annum

13th cheque: Employees/SMS members who are permanent or on contract and admitted to the GEPF structure a 13th cheque equal to one twelfth of the basic salary, to be structured as a once-off non-pensionable bonus and paid in the anniversary month of birth.

A member on contract and not admitted to the GEPF is not allowed to restructure the 13th cheque.

Medical Assistance: The executing authority shall pay the total subscription only directly to a registered medical scheme. A formula is provided on the way in which this will be structured in terms of the flexible portion and the employees input.

A tighter system of performance assessment with suitable bonuses for top performers was also put into place. What follows is a selective description of the SMS Handbook.

Chapter Four of the Handbook captures a comprehensive and integrated Performance Management and Development System (PMDS). This system has been implemented since 1 April 2002 and provides a greater degree of uniformity in performance management and development for the SMS. The Public Service Commission has played a direct role in the performance evaluation of directors-general at a national and provincial level. The practice over the past four years has thrown up challenges in the area of evaluation clearly reflecting a need for support to members of the Executive Authority in the evaluation process.

Age distribution and average term of office, levels 16 and above, in the national departments:

The age profile of the directors-general and the HODs' is important as it would also provide some insights on the question of the mobility of this cadre to other positions. The peculiarity in the current situation arises in terms of the high proportion of lateral entrants in the age bracket: 30 – 40 years (See Figu*re 4.3*). It is unlikely that they will remain in the DG and HOD position in the same organizational environment for more than ten years. At present current DGs have served an average of 3,4 years in the same portfolio (see fig.4.4), this does not take into account the rotation of DGs between portfolios (See *Figure 4.4).* This is worrying in terms if stability and continuity in portfolios to complete programmatic implementation. In terms of the challenges confronting the building of the developmental state there is a need to retain certain skills sets. There is the further dilemma of career pathing for DGs who have reached the pinnacle in their careers at a fairly young age.

FIGURE 4.3

Count of Persal Number	Scale tab				
Age	SMS: Prosecutors	SMS: Publ Serv Act	SMS: SAPS	Grand Total	
30-34		3		3	3%
35-39		12		12	12%
40-44	1	14		15	15%
45-49	1	27		28	28%
50-54	2	22		24	24%
55-59		9	2	11	11%
60-64		7		7	7%
70-74		1		1	1%
Grand Total	4	95	2	101	100 %

Persal, July 2005: levels 16 and above

FIGURE 4.4

Distribution of the current in-service DGs based on their term of office in their current portfolio

Less than 1 year	1 – 3.5 years	More than 3.5 years	Average terms in years
24.4%	34.1%	41.5%	3.42

Persal, July 2005: levels 16 and above

In an ideal situation DGs should reach the pinnacle towards the end of their careers whilst ensuring young entrants for new and innovative experiences and ideas. There should always be a consideration that the younger crop will leave after serving a particular term on a fixed contract. This is a vexed question against the background of the revolving door concept whilst dealing with the challenges within the public service.

There is a need for an extensive review of the senior management service and its application especially since the Public Service is entering the fifth year since its implementation. It will allow us an opportunity to evaluate the successes and challenges confronting the senior management service. Such a review will also allow an opportunity to determine the areas that should be improved to deepen productivity within the public service led by the senior management service. There is a clear need to speed up the outstanding work on Professionals within the Public Service and in this instance with a particular focus on the senior management service. There is a need to review the impact of the select 'fixed contracts' and its impact in particular re-considering the three year term which was introduces in 1999. The matter of the termination of office of a director-general after the change in Executive Authority may once again be considered. Consideration must be given to the performance evaluation process of the directors-general and its application within the senior management service as a whole. There should also be a greater and closer focus on the distribution of senior management across the public service, that is, between national and provincial government.

In terms of achieving the outcomes on the SMS within the South African public service: In terms of moving forward and achieving the targets set out the supply side does affect the change particularly in some professional groups. The implementation of the selection process to the SMS is still weak. It must be emphasised that the system is well structured, but the implementation is not sufficiently rigorous. The management of poor performers are still weak. Support to new appointments, to the SMS, is weak at present. At this point in the absence of the review of the SMS, which is currently underway, evaluating its impact on improved service delivery it can merely be stated that it differs between institutions and departments.

6 CONCLUSION

Much as the international reform movement, that introduced profound institutional changes, has impacted upon South Africa it followed its own distinct path impacted upon by the constitutional imperative of building a developmental public service. This chapter has addressed selected transformation issues in the South African public service from 1994 to 2005. There is reference to the 'then' public service of 1994 as well as the evolution and challenges of the present day Public Service.

The selective transformation issues raised in Chapter 4, ranges across the transformation process and the developmental state; the challenges confronting the second decade; the changing culture within the public service (Batho Pele); human resources challenges including diversity management, employment equity in relation to race, gender and disability; the changing skills profile and strengthening the management capacity.

This chapter tracks the details of the achievements of the past eleven (11) years and critically focuses on some of the complexity and challenge confronting South Africa in the second decade as the success of the second decade will be dependent on resolving the identified challenges and lessons from the first decade. This chapter is all about self-revalidation on policies, issues, values and will allow us to adumbrate on future and impending issues.

CHAPTER 5

CONCLUSIONS AND RECOMMENDATIONS

The South African transformation and reform case is one that reflects an ambitious national project attempting to initiate a critical, yet sustaining transformation project within public administration. This will allow us to reflect while we move from an apartheid past to a *developmental future* which is governed by the democratic values and principles enshrined in the *Constitution of the Republic of South Africa*. The challenge in South Africa involves*, reversing a course and repairing the damage* caused by apartheid to the administration through the integration of the fourteen administrations into a single unitary Public Service, which will provide service to all South Africans irrespective of race, ethnicity or geographic location.

In the South African instance "right-sizing" and "rationalisation" needed to be introduced not as deterrence to the principle of the New Public Management or otherwise but rather, as a corrective measure to bring together disparate public administrations that were divided along racial, geographic and ethnic lines. The past with which a break had to be made, yet to which there has been an inextricable link, is what compels the South African administration to cautiously deal with decentralisation as the implications of decentralisation without the requisite capacity and support could have disastrous consequences in service delivery. At its inception the democratic state was confronted with the challenge of simultaneously having to restructure and establish new institutions for the formulation of new policies, whilst extending and improving on the provision of public services.

The complexity and magnitude of the transformation and modernisation challenge confronting South African society required an interventionist state, developmental in character, which would, among others ensure the proactive intervention into a capitalist market economy to generate economic growth and development and to eradicate poverty and address income inequality. The South African public service must be appropriately

capacitated to play its national, regional and global roles to contribute towards the implementation of NEPAD and the achievement of the Millennium Development Goals.

To reiterate, the dissertation covers the following areas:

Chapter 1, essentially deals with the background and history, in brief, of the system of public administration the current Government inherited; it reflects on the nature of the compromise reached during the multi-party negotiations and the impact it had on the present day Public Service.

Chapter 2, reflects on the methodology of the research and includes an important questionnaire that was used along with focus groups to consider the challenges facing the developmental state during the second decade.

Chapter 3, is a selected literature review section considering the questions and the requisite comparative literature.

Chapter 4, deals with the South African case of the transformation process and selected cases were considered ranging from the developmental state and challenges for the second decade; a holistic overview of Batho Pele; Human resources development including diversity in terms of race and gender; and the Senior Management Service.

In order to achieve the identified roles of the developmental state, specific macro and micro obligations rests on public administration. The obligations relate to macro challenges relating to the human agency in its totality and specific mirco issues such as inadequate management and supervision. One example, of inadequate management and supervision is the absence of a director-general, involved in ongoing international travel, without first stabilising the department and putting the required institutional programmes and systems in place. Departments flourish where institutional capacity has been strengthened, sound systems have been put in place and the strategic and management

plans are in place with a progressive implementation of a monitoring and evaluation system which tracks progress on joint programmes as well as portfolio specific priorities. The intergovernmental framework must be monitored in order to ensure the effective functioning of seamless government by supporting and assisting those municipalities that experience service delivery problems. The citizen should not see boundaries between provinces as a rigid divide that may mean better of worse service as public administration must be improved evenly to improve the levels and quality of services.

There must be better implementation and monitoring of the Batho Pele programme across the Public Service; deepening of participatory democracy with a greater understanding by public servants of the networks and partnerships required in service delivery; empowering public servants to manage joint programmes and support it by putting supportive management frameworks in place. SAMDI, and partner institutions, must roll out induction programmes that include a cohort on the value system of the developmental state in order to develop a shared understanding to be embraced by all public servants.

The window of opportunity presented by the period of political transition allowed the devolution of power to take place faster than in most other countries. This has afforded South Africa with a number of lessons which should be built on. The key lesson being the resources required to ensure success with the devolution of power and functions. For example established democracies such as Canada have been more reticent about the devolution of the human resource function. In South Africa, the experience has been mixed in that where the required delegations have been made and the capacity exists within an institution or department the shift has been positive; in instances where there has been an absence of capacity it has further be-muddled the in-efficiencies that exist in the functioning of the department.

At the senior management service, in order to achieve the broadening of the quality and quantity of middle and senior managers and professionals, the supply side must be increased in order to effect the pace of change particularly in some professional groups.

More rigour is required with the implementation of selection processes; support to new appointments and the management of poor performers.

The most basic aspects are important and hence the need for a cross cutting 'back to basics' programme that involves basic administrative practice, for example, steps like improving filing systems; deepening human resources in the public service; improving governance, leadership and management; revisiting the macro organization of the state and the relationships that underpins it; consciously prepare for and focus on policy implementation.

The past eleven years has been an exhilarating experience in terms of the transformation agenda. It could be argued it had been the paradise for policy makers as it provided an opportunity to develop new policies and building the quintessential post modern society referred to by a former Austrian chancellor as a global 'pilot project.' A global pilot project which the world is watching closely knowing that if South Africa gets it right it can be applied elsewhere.

South Africa has taken giant strides in dealing with the challenges of racial, gender and ethnic transformation through its redress programme of affirmative action. There is a need to support the achievements and successes to date through specific human resource change management interventions as part of the Batho Pele programme.

ISSUES and RECOMMENDATIONS

Issue 1:

People/human resources are critical for the strengthening and changing of the public service in order to meet national, regional and global demands. The challenges confronting the developmental state includes identifying, among others, the human resources required to place South Africa on a 6% growth trajectory, specifically considering the human resources and training needs for people in the second economy. Improving both the access and the quality of public services to all South Africans is paramount. At the same time we need to appreciate that the needs and expectations on public services will differ for both the first and second economies.

Recommendation:

> ***At a national sphere Government must ensure that the work is completed and the national skills data base, finalised to determine the exact capacity and skills gaps within the South African public service in order to meet the developmental challenges confronting the South African state.***

Issue 2:

Against the background of the importance of people within the public service, appropriate human resources management and development within the public service is imperative. There is a need for greater investment in the human resource management capacity, within government departments. Among specific actions to be taken are, raising the levels of the human resource components in order to recruit more senior human resource practitioners into government. There is a further need to develop and retrain the current crop of personnel practitioners in order that they are equipped as human resource practitioners by providing ongoing support and training to personnel in the HRM components.

Recommendation:

> ***That the Department of Public Service and Administration must initiate proactive mechanisms in its HRM support role to government at all levels***

Issue 3:

Basic challenges remain like not following the stipulated appointment procedures in the appointments of members of the Senior Management Service; undue delays in the filling of senior management positions. In one government department, interviews for appointments to strategic positions within the SMS, took place in March 2005, appointment letters were sent out in May 2005, there were delays in dealing with the remuneration of the individuals to the posts and by November 2005 letters were sent to the candidates indicating that they could not be remunerated at the levels they requested. The limitations of the human resource components also reflect on the calibre of director-generals and their inability to deal with all aspects of the organisations they manage. The surveys have pointed to inadequate management and supervision. The limitations of the human resource components also reflect on the calibre of director-generals and their inability to deal with all aspects of the organisations they manage. The surveys have pointed to inadequate management and supervision.

Recommendation:

> ***It is recommended that there is a need for greater rigour in the human resource management component as these delays compromise the levels and quality of service delivery.***

Issue 4:

There is still evidence of non-adherence to basic administrative practice, such as maintaining manual filing systems. Electronic document management systems are being introduced across government, however, in order to move to the electronic system there is a need to have efficient management of the manual filing systems.

Recommendation:

> ***That the notion of Public Administration must introduce a very rigorous 'back to basics' programme that equips and deepens the proficiency of public servants in basic procedures and systems that will address the basic poor management practice and the high numbers of outstanding disciplinary cases including the poor handling of these cases.***

Issue 5:

Several *Performance Management Systems* have been put in place across the Government of South Africa with adjustments. In some departments, there is the need to establish clear links between the service delivery requirements of a department or those of a cluster programme and the performance of an individual official.

Recommendation:

> ***That it is vital that the Performance Management Assessment Programmes must be factored into Joint Programmes.***

Issues 6:

The Batho Pele programme must further evolve to ensure a shared and common understanding across the public service and beyond without merely paying lip service to the principles. This requires the Department of Public Service and Administration to proactively ensure that departments are complying with the requirements spelled out in the *Batho Pele White Paper* by reporting annually to the issues raised and those of a broader concern to South Africa. At the same time, it must be noted that the Senior Management Service is entering its 5th year and the requested comprehensive review must be completed in 2006 in order to inform the Government of South Africa of its impact. The limitations of the human resource components also reflect on the calibre of director-generals and their inability to deal with all aspects of the organisations they manage. The surveys have pointed to inadequate management and supervision.

Recommendation:

> ***That the finalisation of the dispensation of professionals within the public service and including the senior management service be completed by 2006.***

Issue 7:

The equity targets have been met in terms of race. A new target has been set to reach gender equity that is 50% women in the senior management echelons by 2009. In order to achieve the 50% target there will be a need to consider the environmental factors that discourage women from applying for SMS positions at this point. The disabled persons' target of 2%, by 2010, has been retained. The sustainable pools programme that will be implemented in 2006 should also be poised towards developing a pool of officials from specially designated groups and drawn from the middle management layers of the South African Public service who will be exposed to the notion of fast tracking in order to prepare them for senior management positions. The sustainable pools programme that will be implemented in 2006 is also poised towards developing a pool of officials from specially designated groups that will be drawn from the middle management layers who will be exposed to fast tracking in order to prepare them for senior management positions.

Recommendations:

> ***There is a need to emphasise the point, that the definition of gender has only been arrived at, in the late 1990s, and hence PERSAL did not capture data based on disability.***
>
> ***That there should also be a greater pressure on departments to ensure that all public buildings and facilities be more accessible to people with disabilities.***.

Issue 8:

The public service must be geared towards managing diversity in a more structured manner in order to avoid conflict in future. It is an acknowledged fact that South Africa is a diverse society that has made a dramatic break with its past, from a political, racial and gender perspective, and hence there is a need to put measures in place to build on the success of the transition. This requires change management programmes that build an environment that takes the workforce along with the commensurate changes within the public service and society, and

Recommendation:

> ***That the South African Government needs to formalise the implementation of the Batho Pele programme in its totality with diversity management programmes running even with the risk of facing a ground swell of resistance against the greater integration of women into senior management positions.***

Issue 9:

South Africa, in terms of a labour relations platform, and as an African nation is also confronting the same challenges as the rest of the developed and the developing world; and that it is experiencing the same problems of mobility as those of the developed world is an issue of reality. The mobility of the workforce in the public sector is compararable to the EU and SADC. From a continental perspective, there has been a loss of professional, technical and artisan skills to North America, Western Europe, parts of the Middle East and parts of South East Asia. One would argue that much of this skills loss, forms part of the continental brain drain that is being experienced globally. It should not be seen as an African continental brain-drain but there should be consideration of how to encourage these professionals to return or to invest into South Africa and Africa whilst being employed elsewhere.

Recommendation:

> ***That a policy on African intellectual scholarship be instated to address the drain that is being experienced continentally; and that a movement of intellectual scholarship within the Africa to Africa geographical space within reason be called a success.***

Issue 10:

It could be insinuated that there is a perception that the executive–managerial interface and the political-administrative interface create a quagmire in the governance of the affairs of the state. This *problematique* should be an issue of study and great debate for the next decade. In the second decade, as instructive in relation to the respective roles and drawing lessons from the past decade, a decisive research agenda must be implemented to address this growing problem of state-society relations. This is particularly important in relation to the developmental state and the importance of synergies across the roles without impacting on the powers and authority of either position.

Recommendation:

> ***That the concept of the developmental state be re-visited in order to address the real or perceived notion of conflict between the various levels of the governance infrastructure.***

Finally, at the onset of this study, it was noted that the rationale for this study was to investigate the extent to which transformation has materialized in the South African Public Service.

This study has been able to identify that one of the post-1994 government's tasks had been to transform the public service into an efficient and effective instrument capable of delivering equitable services to all citizens and at the same time, be in a position to be able to drive the country's economic and social development. However, its ability to do so has been severely limited by constraints beyond the ambits of the Public Service governance. There are financial constraints, resistance to reform and the instatement of new skills paradigms.

During the phase of transition and the start of fundamental transformation, the perception still reflected the heritage of the past and as has been expected, this study had also mirrored the past and the present cleavages and divisions in South African society. By now it should be well established that South Africa has historically been a divided society and after ten years it is still presently in a state of transition. These divisions of the past and their present legacy have had and still have a profound influence on the civil service in terms of equity in the delivery of services.

According to an assessment made at the Presidency in October 2003, the public service has also come close to meeting the targets set for improving representivity in the public service. Although Africans now make up 72 percent of the public service at all levels, government still needs to focus on increasing the number of women in senior positions as well as a more general increase in the number of disabled persons employed in the public service.

It should also be borne in mind that the transformation of the public service carries with it higher expectations than what government has the capacity to deliver on a sustained basis. The process of achieving the transformed public sector is at least as important as the envisaged changes. The process should be continuously negotiated and must allow for

human deficiencies for it to succeed and must be transparent and legitimate. It requires a sustained-structured change management process with specified milestones to be reached, and the public sector transformation process needs to take place in the context of the South African societal transformation agenda. This is what the South African Government has always advocated for.

As a strategic element of public sector transformation, capacity building would serve to establish a capable public service that responds to the needs of the community through service delivery. Thus, capacity building should be aimed at continuously allaying the fears of public servants by the preparation of current outsiders for inclusion in the public sector development leadership agenda. A re-constituted in-service training through the rationalization of a quality-driven reforms programme of training institutions and linking that to the public sector, and linking training institutions to the proposed public sector negotiation forum must be instated.

As South Africa heads into the second decade of democracy, it is still confronted by multiple challenges. This quagmire must be incrementally addressed as there is no government in the world today that has been able to address all of the needs of its disadvantaged people. This is a challenge to all South Africans to become committed to a shared vision that can transcend the legacy of apartheid and usher in a national agenda of sustained democracy and a transformed society.

These conclusive comments serve to reflect on the complexity and myriad of challenges facing the developmental state with a reflection on the importance of public administration in its functioning. As South Africa is continuously faced with the issues associated with most developing states and nations, an incremental, yet sustained developmental agenda is the way to reform its public service.

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