

# **Gordon Institute of Business Science**

University of Pretoria

## **ANALYSING THE SYNERGY BETWEEN STRATEGIC PLANS OF GPG DEPARTMENTS AND GOVERNMENTS ECONOMIC POLICY PRIORITIES AND THEIR IMPLEMENTATION**

**Sthenjwa Ngcobo**

**15389066**

**A research project report submitted to the Gordon Institute of Business Science,  
University of Pretoria, in partial fulfilment of the requirements for the degree of  
MASTER OF BUSINESS ADMINISTRATION**

**6 November 2017**

## ABSTRACT

Most governments fail to effectively implement their economic policies, rendering the economic environment uncertain and un conducive to investment. This study explored the synergy between strategic plans of government departments and government's economic policy priorities and their implementation, with reference to Gauteng Provincial Government. The mixed-method research approach was used with questionnaires, semi-structured interviews and document analysis as tools. The study targeted seven government departments, five being central to implementing two key provincial economic policies, i.e. Gauteng Township Economy Revitalisation Strategy and Gauteng Spatial Development Framework and two responsible for province-wide policy coordination, resourcing and monitoring and evaluation. The following were key findings:

- *Deeper understanding of economic policy priorities by the management structure of the provincial government was lacking*
- *Departments attempted to plan for implementation of economic policy priorities but monitoring and evaluation systems were not utilised properly to improve implementation.*

GPG managers need to:

- *Go beyond familiarity with economic policy priorities, and have a deeper understanding ensuring that strategic planning institutionalises economic priorities thus improving chances of their implementation*
- *Manage strategically with an understanding of linkage between economic policy priorities, strategic planning and performance management through effective monitoring and evaluation regimes to ensure achievement of planned outcomes.*

## KEY WORDS

Policy priorities, policy implementation, strategic planning, strategy management, monitoring and evaluation

## DECLARATION

I declare that this research project is my own work. It is submitted in partial fulfilment of the requirement for the degree of Master of Business Administration at the Gordon Institute of Business Science, University of Pretoria. It has not been submitted before for any degree or examination in any other University. I further declare that I have obtained the necessary authorisation and consent to carry out this research.

---

**Sthenjwa Ngcobo**

---

**Date**

## TABLE OF CONTENTS

<b>LIST OF FIGURES .....</b>	<b>vii</b>
<b>LIST OF TABLES .....</b>	<b>viii</b>
<b>CHAPTER 1. INTRODUCTION TO RESEARCH PROBLEM.....</b>	<b>1</b>
<b>1.1 Background.....</b>	<b>1</b>
<b>1.2 Research Problem.....</b>	<b>4</b>
<b>1.3 Motivation for the Study .....</b>	<b>6</b>
1.3.1 Relevancy to Business and Government.....	7
1.3.2 Relevancy to Theoretical Knowledge .....	7
<b>1.4 Purpose of the Study .....</b>	<b>9</b>
<b>1.5 Research Objectives .....</b>	<b>10</b>
<b>1.6 Structure of the Research Study .....</b>	<b>11</b>
<b>CHAPTER 2: LITERATURE REVIEW.....</b>	<b>14</b>
<b>2.1 Introduction.....</b>	<b>14</b>
<b>2.2 Defining Policy and Policy Development Process.....</b>	<b>14</b>
<b>2.3 Policy Options and Prioritisation .....</b>	<b>16</b>
<b>2.4 Policy Implementation.....</b>	<b>16</b>
2.4.1 Policy Implementation Approaches .....	18
2.4.2 Policy Implementation Challenges and Failures.....	19
2.4.3 Policy Implementation Successes.....	21
<b>2.5 Strategic Planning in Public Sector.....</b>	<b>22</b>
2.5.1 Unpacking the Concept of Strategic Planning .....	22
2.5.2 Strategic Planning in the Public Sector .....	24
2.5.3 Approaches to Strategic Planning in the Public Sector.....	24
2.5.4 Strategy Implementation Challenges and Failures within the Public Sector	26
2.5.5 Achieving Success in Strategy Implementation within the Public Sector	28
<b>2.6 Strategic Planning within South Africa’s Public Sector: A High Level Summary .....</b>	<b>29</b>
<b>2.7 Linking Implementation of Policy Priorities and Strategic Planning .....</b>	<b>30</b>
<b>2.8 Strategy Implementation and Role of Monitoring and Evaluation .....</b>	<b>32</b>
2.8.1 Strategic Management within the Public sector .....	32
2.8.2 Role of Monitoring and Evaluation in Strategy Implementation within Public Sector.....	33

2.9	Synergy between Policy Priorities, Strategic Planning and Monitoring and Evaluation .....	34
2.10	Conclusion.....	35
<b>CHAPTER 3: RESEARCH QUESTIONS AND PROPOSITIONS.....</b>		<b>36</b>
3.1	Introduction.....	36
3.2	Rationale for the Research Questions .....	36
3.3	Research questions.....	37
3.4	Conclusion .....	38
<b>CHAPTER 4: RESEARCH METHODOLOGY .....</b>		<b>39</b>
4.1	Introduction.....	39
4.2	Research Design and Rationale.....	39
4.3	Population.....	40
4.4	Sampling Method and Size.....	41
4.4.1	Sampling Technique .....	41
4.4.2	Sample Size .....	42
4.5	Data Collection .....	43
4.5.1	Quantitative Data Collection.....	43
4.5.2	Qualitative Data Collection.....	44
4.6	Data Analysis .....	45
4.6.1	Quantitative Data Analysis.....	45
4.6.2	Qualitative Data Analysis.....	46
4.7	Data Validity and Reliability .....	46
4.8	Limitations.....	47
4.9	Ethical Consideration .....	48
4.10	Conclusion.....	48
<b>CHAPTER 5: PRESENTATION OF RESULTS .....</b>		<b>49</b>
5.1	Introduction.....	49
5.2	Sample Obtained .....	49
5.3	Data Reliability and Validity .....	50
5.4	Data Cleaning and Transformation.....	51
5.5	Results Presentation.....	52
5.5.1	Quantitative data presentation .....	52
5.5.2	Qualitative data presentation .....	56
5.6	Conclusion .....	69
<b>CHAPTER 6: DISCUSSION OF RESULTS.....</b>		<b>71</b>
6.1	Introduction.....	71
6.2	Reflection on Key Issues .....	71
6.3	Discussing Results.....	72

Research Question 1:.....	72
Research Question 2:.....	73
Research Question 3:.....	74
Research Question 4:.....	75
Research Question 5:.....	77
<b>6.4 Conclusion .....</b>	<b>78</b>
<b>CHAPTER 7: CONCLUSION.....</b>	<b>80</b>
<b>7.1 Introduction.....</b>	<b>80</b>
<b>7.2 Principal Findings .....</b>	<b>80</b>
Finding One:.....	80
Finding Two.....	80
Finding Three.....	81
Finding Four .....	81
Finding Five.....	81
Finding Six.....	82
Finding Seven.....	82
<b>7.3 Management Implications.....</b>	<b>83</b>
7.3.1 Economic policy implementation issues .....	83
7.3.2 Strategic management.....	83
7.3.3 Significance of monitoring and evaluation .....	83
7.3.4 Appreciating the synergy between policy priorities, strategic planning and monitoring and evaluation.....	84
<b>7.4 Research Limitations.....</b>	<b>85</b>
<b>7.5 Future Research Suggestions .....</b>	<b>86</b>
<b>REFERENCES.....</b>	<b>87</b>
<b>APPENDICES.....</b>	<b>92</b>
<b>APPENDIX 1: QUESTIONNAIRE FOR MANAGEMENT OF GPG DEPARTMENTS</b> .....	92
<b>APPENDIX 2: SEMI-STRUCTURED INTERVIEW SCHEDULE FOR</b> <b>MANAGEMENT .....</b>	<b>97</b>
<b>APPENFIX 3: ANALYSIS FRAMEWORK FOR THE STRATEGIC PLANS.....</b>	<b>99</b>

## LIST OF FIGURES

<b>Figure 1: Policy priorities-strategic management model</b> .....	3
Figure 2: Economic policy awareness and familiarity graphs.....	53
Figure 3: Graphs showing level of understanding of key economic policy priorities .....	54
Figure 4: Graphs showing the degree to which departments deal with economic policies .....	54
Figure 5: Graphs showing the degree to which strategic plans of departments cover economic priorities .....	55
Figure 6: Graphs showing frequency of reporting on implementation.....	56
Figure 7: Graphs showing attitudes of respondents regarding to usefulness of economic policies.....	56



## LIST OF TABLES

Table 1: Summary of the flow of literature reviewed.....	14
Table 2: Factors influencing policy implementation.....	22
Table 3: GPG departments and key functions.....	40
Table 4: Results of Cronbach's Alpha Reliability Analysis.....	51
Table 5: Response rate and management levels and experience.....	52
Table 6: Analysis framework .....	66

## CHAPTER 1. INTRODUCTION TO RESEARCH PROBLEM

### 1.1 Background

Policy implementation and/or policy failure is a vast area of academic and political interest. Zittoun (2015) argues that this subject has been “regularly used by politicians in the political arena, it is also a concept that policymakers, experts, bureaucrats, the media or interests groups adopt during policy process” (p. 243). Numerous studies have been undertaken to assess effective policy implementation and implementation failures. Savio and Nikolopoulos (2010) acknowledged this by arguing that “policy implementation has been a topic of considerable research with several papers offering reviews and critiques” (p. 89).

Suggestions on policy implementation come from various schools of thought, with two broad approaches

- The well-structured and clearly defined **top-down policy approach**
- The more participatory and democratic **bottom-up approach**.

Brynard (2005) argued that the top-down approach has policy designers as central actors with the focus on manipulating and driving things from the national level while the bottom-up approach allows for participation by target groups and service delivery. Attempts have been made to combine the two approaches. Matland (1995) devised “ambiguity/conflict model” which sought to provide a more comprehensive and coherent base for understanding policy implementation

While policy implementation is important, it is argued here that policy implementation should not be discussed in isolation from government departments or institutions or agencies that are supposed to implement policy. This brings to the fore the issue of policy divergence, which Oosterwaal and Torenvlied (2011) explain as a situation where an agency/institution/department would decide to do what would not have been a decision of political authority that would have been made in the legislature. Departments’ behaviours and attitudes towards a policy are central to the success or failure of implementation. The central question is then, t do managers do to implement policy? Tummers (2011) indicated unwillingness, by professionals (managers), to implement new policies.

For the implementation of policy priorities to happen, managers in government departments need to undertake strategic planning whose purpose is to craft “a broad,

long-term orientation to how and organisation (government department) should conduct its operations” (Walker, Andrews, Boyne et al, 2010). Hart 1992 (as cited in Walker, et al, 2010) explained strategic planning as a process where an organisation’s objectives and actions are selected or formulated. This study highlights the need for the alignment of government departments’ strategic plans with their implementation of policy priorities. Such alignment is argued by Demir and Nyhan (2008) who argued that administration, using its specialised knowledge and skill would act as an instrument for translating policies into concrete results. Moynihan and Soss (2014) simplify this alignment by arguing that administrative organisations are sites of political action. These alignments and linkages assist in ensuring that policy priorities are planned for and resources allocated adequately, to ensure implementation strategic planning processes. Rochet (2004) stated that strategic planning “links up policy value and value-enhancing policy” (p. 202) and that the value of the policy lies in its design and implementation by the parent administration.

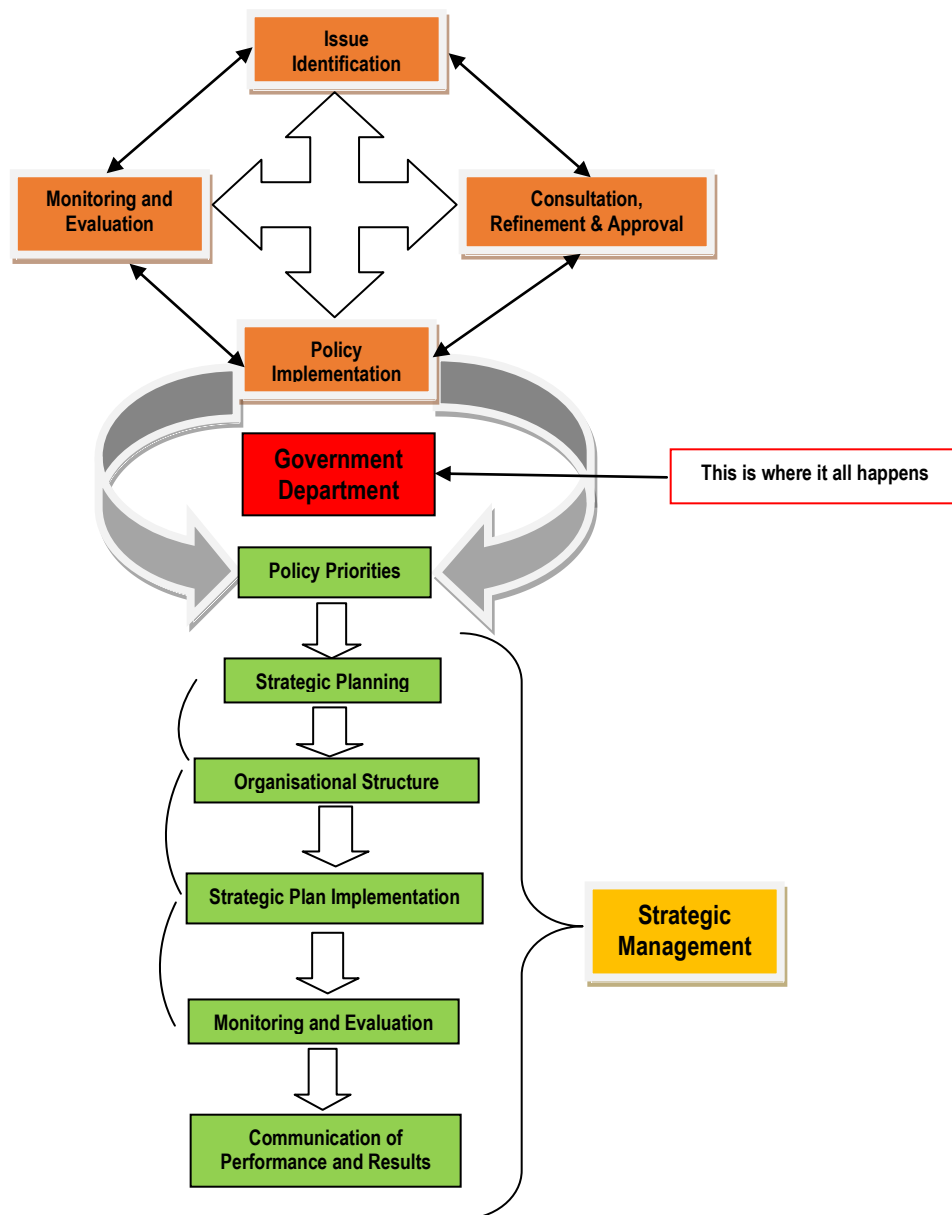
Since strategy (as a product of the strategic planning process) “is believed to set a direction for collective effort, help focus that effort towards desired goals and promote consistency in managerial action...” (Boyne and Walker, 2010), its implementation and management assists in the achievement of planned goals aligned to policy priorities. Implementation and management of strategy involves effective and efficient monitoring and evaluation which assist in improving organisational performance. Poister, Pasha and Edwards (2013) explained the relationship between strategic planning, implementation, monitoring and improved performance by asserting that “when clear goals are established concerning performance and outcome, through strategic planning, monitoring outcomes...will generate useful information that can be utilised by programme managers (to) make better decisions (leading) to improved better performance”. Bryson (2010) argued that the above is largely strategic management as he defined it as the appropriate and reasonable integration of strategic planning and implementation across an organisation whose intention would be to enhance achievement of mission and delivering on mandates and continuous learning and sustained creation of public value.

This means that implementation needs to be monitored to ensure that the envisaged outcomes are achieved and policy priorities realised. Effective and efficient monitoring and evaluation would assist in shaping interventions to improve implementation.

This study seeks to outline important linkages between policy priorities of government and strategic plans of departments looking to implement these policy priorities. It further highlights the relationship between the implementation of strategic plans and

monitoring and evaluation to ensure achievement of planned results and realisation of policy priorities. This relationship is depicted in the model below.

**Figure 1: Policy priorities-strategic management model**



The model shows that as much as policy development has its own discourse, its primary objective is to come up with policy choices and priorities that, when implemented, would change people’s lives. The model shows that all its four key elements are interdependent and that the policy development process is not linear. The central interest of this study is at the level of policy implementation of the model and at this level that the intervention either succeeds or fails in yielding desired outcomes.

The link between policy priorities and departments’ strategic planning also occur this level. It shows that the strategic planning process should produce plans that are about implementing the policy priorities. Implementation needs to be monitored and

evaluated to ensure improved organisational performance and achievement of planned outcomes and objectives. Communication of results forms an important part of accountability. The model also shows the upward relationship from monitoring and evaluation to implementation to strategic planning. This relationship is the feedback loop and it is at the centre of organisational learning and improvement

## 1.2 Research Problem

There is a general perception that governments, especially in developing countries, fail to effectively implement socioeconomic. McConnell (2015) stated that “policy failures seem pervasive, with no policy sector or country appearing immune to the operational challenges and political pitfalls of failure” (p. 222). He further outlined some of the causes for policy failure as, perverse policy outcomes, corrupt practices or misjudgement of public officials. This shows that no country could claim to be immune to policy failure. Head and Alford (2015) argued that governments are usually effective in providing and delivering on simple standardised routine and high volume tasks but are challenged when it comes to non-routine and complex policy challenges.

According to Ugwuanyi and Chukwuemeka (2013), poor policy implementation is one of the reasons Nigeria is still rooted in the category of least developed country. The authors cited corrupt political leadership, over-ambitious policies, lack of requisite manpower, and political influence on public administration, as some of the key sources of poor policy implementation. Given the above articulation, it is clear that policy implementation seems to be a very complex matter. Daly and Sigham (2012) confirm this by stating that “even in the best of times, delivery is hard for governments: objectives are not always clear; they change in response to events or leadership transitions” (p. 1).

For the past ten year, the South African government’s inability to implement its economic policies has been at the centre of public and academic debates. Paine-Cronin and Sadan (2015) argued that a contributory factor to poor implementation within the South African context, is poor utilisation of evidence when developing and implementing policies. Development and implementation of policies based on scientific or empirical evidence and rational analysis would improve the chances of achieving planned policy objectives.

The DPME (2014) argued that “evidence-based policy-making (EBPM) helps policy makers and providers of services make better decisions, and achieve better outcomes, by drawing upon the best available evidence from research and evaluation and other

sources” (p.1). It should, also be noted that implementation evidence is largely produced by effective and efficient systems of monitoring and evaluation which, together with policy implementation and strategic planning, is a central to this study. Motala (2009) stated that the biggest cause of failure of South African policies and constitution was the inability to link economy towards fundamental goals of increasing employment and dealing with poverty and inequality.

The South African government has also acknowledged policy implementation challenges. In its diagnosis of the performance of the Public Service, the National Planning Commission raised the issue of lack of policy implementation by government. The National Planning Commission Diagnostic Overview Report (2011) stated that “performance of government is uneven” and that during the policy development process “institutional capacity to implement (policy) is seldom factored in” (p. 22). This invariably results in poor implementation and in some instances, no implementation at all. The National Development Plan (NDP) (2011), a long-term plan for economic development of South Africa, raised concerns about “a real risk that the South Africa’s national plan could fail because the state is incapable of implementation” (p. 22).

The NDP emphasised that the “implementation of economic policies...must be the top priority in the short to medium term” (NDP, 2011 p. 94). The Medium Term Strategic Framework (2014-2019) argued that achievement of economic transformation and inclusive growth “does not require new strategies, but better implementation of existing ones” (p. 6). This perceived government track record makes some people even question the effective implementation of the NDP. Poor implementation of the NDP would result in the country missing opportunities to grow the economy and address the three key socioeconomic challenges, unemployment, poverty and inequality. In one of the responses, the South African Government has in the recent past established a Department for Planning, Monitoring and Evaluation with the aim of strengthening the monitoring of implementation of departments’ strategies and improving data gathering that will inform improvements in implementation and achievement of outcomes. It should be noted that utilisation of evidence in the entire policy development cycle increased chances of making relevant policy choices.

Social progress, economic growth and stability of developing countries is largely dependent on their ability to, not only develop good economic policies, but to implement these in a manner that is effective and consistent, and have systems in place to monitor and evaluate implementation and its levels of success. Rahman, Naz and Nand (2013) argued that “policy planners in the developing world seem to have spent more resources in policymaking than addressing the policy implementing

challenges” (p. 982). Their study explored the policy implementation processes in Fiji and they discovered that one of the critical challenges in public policy implementation for developing countries is “a lack of well-prepared implementation framework and culture change” (p. 982).

Within the South African government (including Gauteng Provincial Government) and central to this research, the strategic plans of government departments should provide this implementation framework, as argued by Rahman, Naz and Nand (2013). Goals and objectives of these strategic plans should be linked to policy priorities and there needs to be provision for an efficient monitoring and evaluation system that will track implementation to ensure achievement of the planned goals and objectives. As previously, Poister, Pasha and Edwards (2013) argued for centrality of strategic planning in defining a clear path through goal clarification and monitoring of implementation to ensure improved performance.

### **1.3 Motivation for the Study**

In the media, in conferences and in many other platforms, the public raises an issue about poor policy implementation by government of South Africa. The argument and/or perception is that the South African government has good policies but it fails to implement them. Bruggemans (2014), in his article on South African economic policy argued that while the National Development Plan established a framework for policy coherence, “coherence is absent in other policy proposals which, necessarily, leads to policy contradictions and policy failure”, (p. 2). As an example of this Bruggemans (2014) mentioned policy proposals as made by industrial policy, that there should be an increase in industrial development without acknowledging the deficiency in electricity supply. As one engaged with such issues, a pertinent question was, what causes the South African government not to implement its renowned policies?

Upon exploration of policy implementation literature, it was discovered that policy implementation is a vast area and a decision was taken to focus on strategic planning by government departments as a means to translate policy priorities into government programmes that get implemented. As part of the focus of the study, an acknowledgment was made that proper monitoring of implementation is central to the realisation of planned goals and policy priorities. Motivation to focus on strategic planning and monitoring is the insider’s knowledge of the researcher as he is a senior government employee who understands what the government seeks to achieved by strategic planning and monitoring and evaluation.

### 1.3.1 Relevancy to Business and Government

Faulkner, Loewald, and Makrelov, (2013) argued, “the core requirements for more rapid and sustained growth are greater savings, investments, better skilled workers... and moderation in unit labour costs” (p. 2). They put forward policy options, for South Africa, that could to reduce unemployment, poverty and inequality. Seville (2014) asserted that the high savings rate, improving healthcare, improving education, favorable demographic structure, stable policy environment and economic openness were six elements that were essential ingredients for sustained economic development for any country. For business to thrive and for the economy of a country to grow, the macro environment needs to be stable. There is evidence showing that the behaviour of the private sector or business largely follows what happens at the macro level.

While the above are very important, it is argued here that a “stable policy environment” is the anchor for all of them. The success of all six ingredients centres on the ability of government to implement its (health, education, economic, etc.) policies in a consistent way, which allows for more stability and predictability. Such stability and consistency attracts foreign direct investments and encourages more domestic investment. It is, therefore, important that policies adopted by the South African government, are implemented in a consistent manner. Poor policy implementation and random changes in policy frightens investors, and are therefore not good for economic growth.

As this study seeks to analyse the synergy between strategic plans of GPG departments and government’s economic policy priorities and their implementation, it focuses more on strategic planning and strategy management (which includes monitoring and evaluation) as part of the value chain of policy implementation. The study also suggests improvements in that regard, that when implemented, such improvements would go a long way in contributing to improved policy implementation, which would result in the necessary consistency and stability of policy environment.

### 1.3.2 Relevancy to Theoretical Knowledge

There is a vast amount of literature on each of the disciplines like *policy implementation* (Zittoun, 2015; Oosterwaal and Torenvlied, 2011; Tummers, 2011; Savio and Nikolopoulos, 2010; Brynard, 2005; Metland, 1995; etc.) *strategic planning in public sector* (Favoreu, Carassus and Maurel, 2015; Bryson, 2011; Walker, Andrews, Boyne et al, 2010; etc.) and *monitoring and evaluation inclusive of*



*performance management* (Ibrahim, Cadotte and Berstein, 2015; Abrahams, 2014; Acevedo, Rivera, Lima and Hwang, 2010; etc.). There is also evidence of exploration of the relationship between policy implementation and strategic planning as well as strategic planning and monitoring and evaluation or performance management.

This study seeks to foreground the importance of the synergy, linkage and interdependency of all three aspects (policy priorities, strategic plans, and implementation with effective monitoring and evaluation) for improved implementation and achievement of policy priorities. Central to the argument is the need to, during the process of formulating a strategic plan, ensure that goals and objectives identified as part of the plan are linked to policy priorities and that during implementation of this plan (whose goals and objectives are linked to the policy priorities), there is effective monitoring and evaluation to ensure achievement of these goals and objectives. The achievement of these planned goals and objectives would ensure that policy priorities are achieved thus ensuring the effective implementation of policy.

Although Poister, Pasha and Edwards (2013) make some attempts in pulling all three disciplines together, they fall short in linking back to policy priorities as they only explain the relationship between strategic planning, implementation, monitoring and improved performance. The aim of their research limited itself to exploring whether performance management led to better outcomes. The challenge with their explanation as it relates to what this study seeks to explain and add to theoretical knowledge, is the possibility that whatever would have been planned for during the strategic planning process as goals and objectives, would have no link to policy priorities, thus the implementation of the plan and the achievements of goals would have no link back to policy priorities.

The central aim of the study and what it wants to add in the knowledge space is informed by the vast literature and evidence of failure of policy implementation by government and non-achievement of planned policy priorities. Reasons for such failures include, but are not limited to, policy divergence as argued by Oosterwaal and Torenlid (2011), inadequate resource allocation as explained by Hupe (2011) and policy alienation as argued by Tummers (2011). This research and what it seeks to achieve is inspired by what Zittoun (2015) explained as policy failure as he argued that it is “lack of coordination between expected and achieved goals” (p. 245). Given this definition one could argue that coordination that is lacking should be the practical management of the link and synergy that should exist between policy priorities, strategic plans and implementation and this is what this study seeks to add to the theoretical knowledge

## 1.4 Purpose of the Study

The topic of this research is ***“analysing the synergy between strategic plans of Gauteng Provincial Government departments and government’s economic policy priorities and their implementation”***

The study seeks to establish whether there are relationships between economic policies priorities that government develops with strategic plans of government departments that are supposed to implement the same policies and explore the implementation thereof. The point of departure is that for policy priorities to be implemented and achieved, government departments need to plan to implement them and during implementation ensure effective monitoring and evaluation thus ensuring achievement. The planning process of government departments results in five-year strategic plans that map objectives and targets for the following five-year period. Such a point of departure is confirmed by National Treasury (2010) as it stated that the “Five-Year Strategic Plans set out an institution’s policy priorities, programmes and project plans for a five-year period”

Government exist, inter alia, to provide services to the population of a country. It does this through formulating policies that are implemented through translating policy vision and objectives into government programmes implemented by government departments. Mothae and Sindane (2007) argued that “public policy provide information for strategic, operational and financial plans...decisions are made throughout the policy process (including policy implementation) on the appropriate goals and objectives to be pursued as well as the plan to execute them” (p. 146). Mothae and Sindane (2007), in their article provided a context and rationale for the development of strategic plans by government departments and ensuring proper implementation. Schmidt (2015) argued that “policy and planning combine as the organisation’s primary decision-making apparatus, involving both the executive and the units supporting it” (p. 490). The translation of policy vision and objectives is done by government departments through a process of strategic planning, the result of which is a five-year strategic plan which is implemented in a cumulative approach through annual performance plans that operationalises the five-year strategy into annual milestones and deliverables.

Given the above, it can be argued that the strategic planning process (and its output – strategic plan) that government departments embark upon, is a critical link between policy priorities, their implementation and ultimate achievement. There is a great

possibility that a strategic planning process that does not consider policy vision and objectives is unlikely to result into a strategic plan that seeks to foreground the implementation of prioritised policy objectives.

### **1.5 Research Objectives**

Mothae and Sindane (2007) argued that, “the rationale for the existence of the public sector is to improve the lives of the people through multiple public organisations that are mandated to deliver a variety of public service” (p. 146). Therefore, government, as the enabler for economic growth and improvement of the economic conditions of the country and its people, should go beyond developing good policies; it needs to effectively implement these for the greater good of the country. Governments cannot afford to fail in this regard. As cited earlier, Zittoun (2015) argued that policy failure is due to the lack of coordination between expected and achieved outcomes. He went on to argue that “policy failure is thus inextricably linked to the implementation of public policy” (p. 245). Based on this argument and prevailing acknowledgement of poor policy implementation by the South African government (as cited in the problem statement), there is a need to establish the reason behind the poor implementation of government policies.

Since the aim of the study seeks to explore the synergy between strategic plans of Gauteng’s provincial government departments and government’s economic policy priorities and their implementation, the following are the study's main objectives:

- 1) To ascertain the level of understanding of economic policy priorities of the provincial government by the middle and senior management structure of the Gauteng Provincial Government;
- 2) To ascertain the strategic planning approach that government departments use to develop their strategic plans;
- 3) To analyse the extent to which strategic plans of departments reflect key objectives of policies they are supposed to implement;
- 4) To ascertain what is done by the Gauteng Provincial Government to ensure alignment of strategic plans with its economic policy priorities
- 5) To establish the systems that departments use to ensure monitoring, evaluation, reporting and communication.

The link between the research problem highlighted by this study and its objectives is clearly discernible. It should be noted that the problem highlighted in this study relates to challenges that government, especially in developing countries, face with regards to policy implementation. Given that policy implementation is a vast area, the focus of the

study is on the existence of the synergy between strategic plans of provincial government departments and its economic policy priorities and their implementation.

In South Africa, government departments are required by law to develop five-year strategic plans and one-year annual performance plans. According to Public Service Regulations, 2001 Section B.1 “the Executing Authority (Minister) shall prepare a strategic plan for her or his department”. National Treasury (2010) in its Framework for Strategic Plans and Annual Performance Plans, stated that institutions (departments) need to “produce and table a Strategic Plan with a five-year planning horizon (and) produce and table an Annual Performance Plan including forward projections for a further two years” (p. 2). As cited above, National Treasury (2010) further argued that the “Five-Year Strategic Plans set out an institution’s policy priorities, programmes and project plans for a five-year period, as approved by its executive authority, within the scope of available resources (while) the Annual Performance Plan sets out what the institutions intends doing in the upcoming financial year to implement its Strategic Plan” (p. 6-7).

Based on the above, conclusions can be drawn that within the South African context, strategic plans of government department are tools used to implement policies of government. Therefore, if government departments are expected to implement policy priorities and their implementation is centred around the departments having developed five-year strategic plans, it becomes clear that for policy priorities to be implemented they need to be planned for in the department’s strategic plans and annual performance plans.

## **1.6 Structure of the Research Study**

The interest of this study was to explore the issue of government failure to implement its policies. Reviewed literature showed that reasons for this could be wide-ranging. The focus of this study, given the many reasons that could cause failure in policy implementation by government, was the synergy between strategic plans of provincial government departments and its economic policy priorities and their implementation

The study targeted departments of the Gauteng Provincial Government that played a leading and/or coordinating role in the implementation of priorities of the Gauteng’s Township Economy Revitalisation Strategy and the Gauteng Spatial Development Framework as policies that are central to economic growth and redressing the economic injustices of the past. As the study was conducted, both quantitative and qualitative data was collected thus steeping the study to mixed-method design. While

quantitative data was collected through the administration of the questionnaire to middle and senior managers of the sampled provincial departments, qualitative data was collected through analysing strategic plans and interviewing senior managers of sampled departments responsible for policy, strategic planning and/or monitoring and evaluation.

This research report comprises of the following seven chapters:

### **Chapter 1: Introduction to the research problem**

This chapter provides background and context to the issues of policy implementation, strategic planning in government and importance of monitoring implementation of strategy. It further raises issues on the need for a conscious and deliberate synergy and linkage among the three and it introduces a model called ***Policy Priorities-Strategy Management Mode***

### **Chapter 2: Literature review**

The chapter reviews arguments raise by academics, scholars, practitioners and specialists in fields of policy formulation, policy implementation, strategic planning in government, the link between policy implementation and strategic planning in government, importance of monitoring and evaluation in ensuring improved institutional performance in realising planned outcomes that are linked to policy priorities. The literature reviewed elucidates some aspects of the research question of this research project.

### **Chapter 3: Research questions and propositions**

This chapter outlines the purpose of the research narrowing it down to the thematic research questions that assist in raising issues that seek to address the broader research problem. It reiterates the purpose of the study and provides the link and the relationship between the broader research problem, the purpose of the research and the research questions. This link and relationship is crucial since the lack of it could result in data collected not responding or relating to the broader research problem.

### **Chapter 4: Research methodology**

This chapter does not only describe how data was collected and what instruments were used, it also provides the rationale of why certain methodologies and data collection approaches were used in relation to the research aim and research questions. Part of what the following section on “research methodology” does, is to

unpack the relationship between data collection strategies and the theoretical posture of the study.

### **Chapter 5: Presentation of results**

This chapter deals with results as informed by data collection. Results are presented in themes as informed by the research questions. Tables and graphs and other forms of data presentation have been in used various forms and these include graphs and tables.

### **Chapter 6: Discussion of results**

This chapter links what has been found through data collection with theory in Chapter Two and aims of the study in Chapter Three. It explains the extent to which the research questions have been answered. It provides the analysis of what emerged during data collection.

### **Chapter 7: Conclusion**

It is in this chapter that the key findings of the research are cohesively pulled together. The chapter also highlights recommendations and implications to relevant stakeholders. Limitations of the research and suggestions for future research are also raised in this chapter.

## CHAPTER 2: LITERATURE REVIEW

### 2.1 Introduction

Having unpacked the research problem and what motivated the study and further elucidated the research objectives. It was important to explore what the literature pronounced on policy, policy development process, policy prioritisation and agenda setting, strategic planning in public sector and monitoring of implementation to improve achievement of planned outputs and outcomes. Added to the referred themes was exploration of the link between implementation of policy priorities and strategic planning and monitoring of implementation within public sector. The approach in reviewing the literature was informed by the research objectives and was structured such that it along the research objectives.

**Table 1: Summary of the flow of literature reviewed**

LITERATURE REVIEWED	RESEARCH OBJECTIVES ADDRESSED
Defining policy and policy development process Policy options and prioritisation Policy implementation	Ascertain the level of understanding of economic policy priorities of the provincial government by the middle and senior management structure of the Gauteng Provincial Government;
Strategic planning in public sector Strategic planning within the South Africa's public service Linking implementation of policy priorities and strategic planning	Ascertain the strategic planning approach that government departments use to develop their strategic plans; Analyse the extent to which strategic plans of departments reflect key objectives of policies that are supposed to implement; Ascertain what is done by the Gauteng Provincial Government to ensure alignment of strategic plans with its economic policy priorities
Strategy implementation and role of monitoring and evaluation	Establish the systems that departments use to ensure monitoring, evaluation, reporting and communication.
Synergy between policy priorities, strategic planning and monitoring and evaluation	Pulling it all together

### 2.2 Defining Policy and Policy Development Process

Policy studies and literature have been around for a long while. Public policy discourse, as old as it might be, evolves with time and with societal changes. New theories emerge on how policy needs to be developed, implemented and evaluated. Public policy, as argued by Mothae and Sindane (2007), was a response by government to an identified socio-economic problem and by working together, the problem would be resolved in an effective, efficient and economic manner. Meiring and Parsons 1994 (as cited in Mothae and Sindane, 2007) defined policy as “the authorities exposition of objectives that indicates what the policy makers wish to do, what they want to achieve and where they want to go with the development of the community: (p. 146). Nzuki, Hassan and Mbilinyi (2013) provided a rather clear and concise definition, “policies are



made by policy makers...to make decisions” (p. 1). They further explained that policy makers were “persons bestowed with power, either by society or a group of people in a society” (p. 1). These definitions show that policy making is a powerful undertaking, and that those who embark on it, do so with legitimacy and trust from their constituency. Therefore the process of policy development and its implementation would not be devoid of political influence.

The development of policy happens in different, complex stages. In public policy literature, the public policy cycle is explained as having at least five steps, namely Agenda, Formulate, Implement, Budget and Evaluate (Hayes, 2002). Having argued that policy involved a purposive course of action involving actors, Perkin and Court (2005) stated that “the policy process is by nature complex and somewhat haphazard; any policy making model will be simplified by default” (p. 14). They further introduced the policy cycle, (sometimes referred to as policy process) and argued it contained four main functional components and these included:

- **Problem identification and agenda setting** – awareness of and priority given to an issue or problem.
- **Policy formulation** – how analytical and political options and strategies were constructed.
- **Policy implementation** – the forms and nature of policy administration and activities on the ground.
- **Policy monitoring and evaluation** – the nature of policy monitoring and evaluation of policy need, design, implementation and impact  
*(Perkin and Court, 2005)*

The literature also advised on the over-emphasis and strict adherence to such a linear approach as public policy development is a messy process. Perkin and Court (2005) advised that “we stress that policymaking is not linear and does not in reality work through these stages logically” (p 14). While the above steps are critical milestones within the policy development cycle, each step should not follow the other in a linear way. While embarking on policy implementation, policy monitoring and evaluation should occur.

This research study focused on the “policy implementation” step of the public policy cycle and how this step could be improved by awareness of its link to strategic planning, thereby improving alignment between the two.



### **2.3 Policy Options and Prioritisation**

Nzuki, Hassan and Mbilinyi, (2013) stressed that as part of policy development, policy makers need to make policy decisions through exploring available policy options. This means that, choosing policy options and prioritising what comes first, were not options in the current policy development process. Perkin and Court (2005) advanced that policy formulation, as part of policy process dealt with identifying and choosing policy options and strategies, with policy implementation dealing with administration and activities on the ground.

The prioritisation process was informed by the availability of resources needed to implement the policy. Schments, Rajan and Kadandale (2016) contended that because resources for policy implementation were not unlimited, priority-setting was necessary and they continue to define policy priority-setting as “to select among different options for addressing the most important needs” (p. 165).

Head (2016) claimed that there was “pressure for improved effectiveness in service delivery” and “a focus on better design policies and programs for improved effectiveness” (p. 472) was central to embracing evidence-based policy development process. In defining evidence-based policy development, Head (2016) asserted that “evidence-informed decision making process, relies on transparent use of sound evidence and appropriate consultation process are seen as contributing to balanced policies and legitimate governance” (p. 472). Given these arguments, it could be concluded that, central to making and prioritising policy choices was a need to take into account evidence.

It could also be argued that priority-setting could be an important step to capture priorities that could inform the strategic planning processes of government institutions. Schments, Rajan and Kadandale (2016) stated that “priority-setting often provides a key milestone for strategic planning, strategic options are weighed in the priority-setting process” (p. 175)

### **2.4 Policy Implementation**

The implementation of policy priorities or policy implementation has been acknowledged to be a complex matter, but this has not thwarted attempts to define policy implementation. Recently Hupe and Hill (2015) defined policy implementation as the “ultimate realisation of policy goals” (p. 104). Hayes (2002) maintained that policy implementation was about the implementation of policy priorities or goals. He explained

policy implementation within the context of the public policy cycle as a “process consisting of organised activities by government directed toward the achievement of goals and objectives articulated in authorised policy statements” (p. 1). O’Toole (2000) argued that policy implementation “is what develops between the establishment of an apparent intention on the part of government to do something, or to stop doing something, and the ultimate impact in the world of action” (p. 266). In other words, this definition recognised policy implementation as a critical step that exists between the approval of policy intentions and the visible outcome.

There has been some acknowledgement of the complex nature of both the concept and practice of policy implementation. Hupe and Hill (2016) acknowledged that policy implementation was not to be taken “for granted as a seemingly technical matter, simply prescribed by policy objectives” (p. 103). They also raised, as a challenge, the view of policy implementation being “subordinate to the preceding stages (of policy development) of agenda setting and policy formation” (p. 103). Quoting a speech from the White House which seemed to support a general view of policy implementation as a political administrative process, Hupe and Hill (2016) warned against assumptions that policy implementation was linear with causal logic. Savio and Nikolopoulos (2010) also asserted that “policy implementation can take many forms and can be accomplished through various alternatives and competing strategies”, (p. 88). They further stated that it was up to governments to be mindful of these various alternatives and competing strategies as they contend with the complex nature and competing pressures against minimal resources.

Within the South African context, complexity of policy implementation is acknowledged. Brynard (2005) argued that in South Africa, policy implementation could not be viewed outside service delivery and advocated for “enhanced policy implementation strategies to ensure successful service delivery”, (p. 649). The degree of complexity in policy implementation, being situational and dependent on differing variables could be surmised in Brynard’s (2005) statement that “although one expects all implementation to be dynamic and complex, not every episode of implementation is likely to be equally complex” (p. 649).

DeLeon and DeLeon (2002) argued there had been three generations of policy implementation research, with each contributing to the complexity of the concept of policy implementation. They argued that the first generation of implementation studies “consisted of case study analysis that considered immense vale of troubles that lay between the definition of a policy and its execution” (p. 469). These numerous case study analysis did little to foreground a generic implementation theory. The second

generation offered some theoretical understanding, as top-down and bottom-up analysis of policy implementation, emerged. That generation “posed a relatively rigorous, empirically based model” (p. 470). The third generation saw the emergence of the “contingency theory as a way of adapting to the obvious complexity of implementation studies” (p. 471).

Having explored the complexity of implementing policy priorities, it was important to look at the key issues of policy implementation. These included policy implementation approaches, policy implementation challenges and failures and key factors that contribute to successes in policy implementation.

### **2.4.1 Policy Implementation Approaches**

Policy implementation studies have been, for the most part, evolving and with that, the conceptual understanding of what policy implementation actually was. The definition of policy implementation has been made more complex by the analyses of policy approaches.

Policy implementation, as part of the policy development cycle, has been explored quite extensively, more so in developed countries than in developing and underdeveloped countries. That resulting in the formulation of policy implementation theories, approaches, models and frameworks. Approaches to policy implementation could be broadly defined as either top-down or bottom-up. Matland (1995) described the top-down approach to policy implementation as an approach which sees “policy designers as central actors and concentrate their attention on factors that can be manipulated at the central level” (p. 146). In contrast to the top-down approach, Matland (1995) explained the bottom-up approach to policy implementation as “emphasising target groups and service deliverers being core drivers of policy implementation” (p. 146). Having explored the two extremes, Matland (1995) argued for the “Ambiguity-Conflict Model of Policy Implementation” (p. 145). This model identified four policy implementation paradigms, namely “low conflict-low ambiguity (administrative implementation); high conflict-low ambiguity (political implementation); high conflict-high ambiguity (symbolic implementation); and low conflict-high ambiguity (experimental implementation)” (Matland, 1995, p. 145).

Brynard (2005) argued for a 5-C Protocol, which captured five “critical variables which shape the directions that (policy) implementation might take” (p. 16). The five variables, to consider when implementing policy are: - context, commitment, capacity, and clients and coalitions. As a basis for advancing the 5-C Protocol, Brynard (2005) argued that

policy implementation was not a simplistic, mechanical, administrative exercise but rather a complex political process, and that studying that process became “an attempt to unravel the complexity of following policy as it travels through the complex, dynamic maze of implementation” (p. 16).

#### **2.4.2 Policy Implementation Challenges and Failures**

Zittoun (2015) explained policy failure as “lack of coordination between expected and achieved goals” (p. 245). Given the definition, one could argue that the “space” between expectations and achieved reality when it comes to policy discourse is “implementation”. Thus, lack of proper coordination of implementation between expected and achieved goals would result in policy failure.

Hupe (2011) argued that in cases with little or inadequate resources allocated for policy implementation, one was bound to experience obstacles in the way of stated policy goals and he argued that this was because “public policy or a specific policy programme are supposed to have been decided upon in a legitimate and therefore binding way” (p. 64). This indicated that during policy development, there was a need to think about and clearly articulate resource implications for the implementation of that policy. Good policies are often crippled by insufficient resources resulting in policy failure. Hupe (2011) acknowledged the work started regarding “the effects of intermediary variables between government intentions and government performance” (p. 63).

Complexity of government, poorly managed policy implementation roll-out and partisan politics were highlighted as contributing to challenges in implementing any policy reform (May, 2015). In unpacking these three central challenges, May (2015) argued that central issues involved expediency in crafting a politically viable reform, resulting in policy gaps that were not ideal. Administrative hurdles reinforced the challenges and failures of multi-actor and multi-layer implementation of policies. Backlash against the reform and poor constituency support could add to the recipe of challenges as argued by May (2015). Given that, the issue could be the need to understand the nexus between embracing and adopting specific policies to deal with specific societal challenges and implementing those policies to address the challenges. Of critical importance could be the appreciation of how policies change during their implementation and such change might not necessarily be bad, but could be a demand to adapt to new developments and circumstances.

Citing the policy alienation concept, Tummers (2011) claimed that “within the public administration literature, there are indications of professionals being unwilling to implement new policies” (p. 556), which he linked to “willingness of employees to accept or reject change” (p. 556). He explained the policy alienation concept as consisting “of five dimensions: strategic powerlessness, tactical powerlessness, operational powerlessness, social meaninglessness and client meaninglessness” (p. 560).

- **Strategic powerlessness** – meaning perceived influence of professionals on decisions concerning the content of the policy
- **Tactical powerlessness** – meaning perceived influence of professionals on decisions concerning the way policy is implemented within their own organisations
- **Operational powerlessness** – meaning perceived degree of freedom in making choices concerning the sort, quantity and quality of sanctions and rewards on offer when implementing the policy
- **Societal meaninglessness** – meaning perceived added value of the policy to socially relevant goals
- **Client meaninglessness** – meaning perceived added value of their implementing the policy for their own clients

Of importance in Tummers (2011) articulation of policy alienation could be the need to be cognisance of the role of government officials in policy implementation. The literature raised an issue that professionals always want to be part of the policy development process, and to be involved and consulted on the employment of strategies to implement policies. Otherwise there is a risk they might not fully commit to the implementation of the policy.

Cairney (2009) warned against what he termed “exaggeration of policy failure” (p. 357) as it might lead to a feeling of powerlessness with a perception that no one seemed to be in charge and knew what needed to be done. He stressed the need to appreciate the complexity of governments and highlighted the following issues:

- (Government) departments are made up of more than one programme, and hence intra-departmental conflict may occur
- Few policies are fully implemented by one organisation...this makes it difficult to force decisions on implementations structures employed by other organisations (Cairney, 2009 p. 357)

In an attempt to define policy failure, McConnell (2015) noted that no universally accepted understanding of policy failure exists. He argued that “understanding (policy)

failure would be straight forward if there was universal agreement on failures being defined by breach of a universally agreed benchmark of X” (p. 227). He urged for a consideration of what he referred to as a grey areas when discussing policy failure. One particular argument that he raised was the appreciation of existence of multiple goals for policies and the difficulty regarding a comparison and weigh-up of failure in one goal against the success in the other.

Cairney (2009) and McConnell (2015) attempted a balancing argument that as much as there might be strong discussions and research and even proof of policy failure, there could be a need to reflect on the possibility of oversimplification of the policy failure concept. McConnell (2015) indirectly advanced the position as he argued that “failure is rarely all-or-nothing” (p. 228).

### 2.4.3 Policy Implementation Successes

As a foundation for success in policy implementation, are strong policy regimes which could reinforce political commitment and ensure a shared sense of purpose and establishment of appropriate institutional arrangements, which could establish focus on policy goals and a supportive constituency May (2015). May (2015) asserted that policy legitimacy, policy coherence and policy durability were underlying elements of policy process and success, and defined these concepts as:

- **Policy legitimacy** – acceptance by the governed of the goals and approach for resolving problems.
- **Policy coherence** – consistency of actions in addressing a given set of policy problems or target groups.
- **Policy durability** – sustainability of political commitments over time.

In reference to work done by previous scholars on policy implementation, failures and successes, Zitoun (2015) raised issues that had been argued as conditions for successful policy implementation as being “goal clarification...trend description...analysis of conditions...projection of development...invention, selections of alternatives and evaluation” (p. 245). These condition were an integral part of the entire policy process. The argument that could be raised here is that of a need to pay attention to all aspects of the policy development cycle so as to ensure achievement of policy success.

Giacchino and Kakabadse (2003) revealed eighteen factors that could influence successful implementation of a major policy decision within government. The authors started by defining successful policy implementation to mean “a policy implementation

initiative in which the strategic action adopted by the administrative arm of government was considered to have delivered the intended policy decision and to have achieved the intended outcome” (p. 140). They went on to identify the eighteen factors that could influence successful policy implementation and argued that these factors were a foundation for building a self-confident government. The following is a template that unpacks the said factors and provides their explanations:

**Table 2: Factors influencing policy implementation**

SUCCESS FACTOR	DEFINITION/EXPLANATION
<b>Effective Approach</b>	A well-researched and structured process to implementation, characterised by clarity of vision through attention to detail and fast decision making
<b>Positive Attitude</b>	An optimistic team oriented disposition and persistent determination to succeed
<b>Commitment</b>	A tangible and visible political and administrative will to deliver policy
<b>Cooperation</b>	Collaborative behaviour between stakeholders to a policy, characterised by goal alignment, strong personal relationships and high willingness to share skills
<b>Effective Planning</b>	A detailed organisation of activities ( <i>it should be noted here that this is an indication of the link between policy implementation and strategic planning</i> )
<b>Effective Resourcing</b>	Focused deployment of skilled and motivated resources in quantities sufficient to provide a critical mass
<b>Enthusiasm</b>	A heightened level of personal/team motivation characterised by an intrinsic belief in the policy, the presence of incentives and visible political support
<b>Leadership</b>	Ability to develop and command a following characterised by clarity of vision and a legitimate mandate
<b>Location of Political Responsibility</b>	The power emanating from the place or position that holds political ownership of the policy and its ability to command authority over the deployment of resources
<b>Management Style</b>	Enthusiastic and optimistic behaviour of management and their ability to adapt to prevailing circumstances
<b>Ownership</b>	A perceived state of belongingness to and responsibility for a policy implementation programme
<b>Project Team</b>	Presence of a group of individuals with different but complimentary skills and expertise, working collaboratively towards a common goal
<b>Role Delineation</b>	Clear demarcation of responsibility between individuals particularly between politicians and civil servants
<b>Skills And Abilities</b>	Ability and resourcefulness of individuals involved in implementation characterised by qualities like extensive experience, adequate training and qualification
<b>Stakeholder Involvement</b>	Broad and active consultation with persons and entities likely to affect or be affected by the policy
<b>Trust</b>	A high degree of confidence in persons involved in the implementation initiatives characterised by the belief that individuals will not sabotage the initiative or cause deliberate harm
<b>Use Of Networks</b>	Utilising one’s personal-informal relationships with others to gain access to or control over resources
<b>Values/Beliefs</b>	People’s conviction of the rightness of a policy initiative because it is consistent with their personal values

Source: Giacchino, 2002 in Giacchino and Kakabadse, 2003

## 2.5 Strategic Planning in Public Sector

### 2.5.1 Unpacking the Concept of Strategic Planning

When defining strategy, Rumelt (2011) explained that strategy was not ambition, leadership or plan but it was about “discovering the critical factors in a situation and designing a way of coordinating and focusing action to deal with those factors” (p. 2). He further explained what strategy was, by exposing bad strategy as avoiding critical and specific challenges facing the organisation and embracing and foregrounding broad goals and ambition. These explanations could indicate that strategy is a conscious response to important organisational challenges. Rumelt (2011) further explained that most of human thought was not intentional and that could lead to



leaders generating ideas and strategies with little attention on the internal process and testing. Rumelt (2011) argued that in order to create better strategies there was a need to “think about thinking” (p. 240). This could mean that it might be helpful for a leader to pause and think before putting into action his/her thoughts.

Bryson, Crosby and Bryson (2009) argued that while there were harsh critics of organisational planning, in their critical discourse, they failed to see strategic planning as “a highly variable and malleable process emerging from and performed in very specific circumstances and intended to change those circumstances in some way” (p. 175). That could mean that strategic planning was a fluid and possibly discursive process that is supposed to deal with particular strategic challenges of an organisation within a particular context and time. Therefore a strategic plan, which is a resulting document of strategic planning process, should be a living document rather than a static or rigid document. In support, Bryson, Crosby and Bryson (2009) maintained that strategic planning was a highly changeable mediator.

Bryson (2010) defined strategic planning as a “deliberative, disciplined effort to produce fundamental decisions and actions that shape and guide what an organisation is, what it does and why it does it” (p. 256). Simply put, strategic planning should be about unpacking the purpose for the existence of the organisation. In the public sector, most departments and entities could locate the purpose of their existence in legislations, for them, strategic planning involves unpacking how the legislative mandate could be achieved. Bryson (2010) further outlined the functions of strategic planning as, designing and integrating organisational work that needs to be done, in a formalised way, for the following reasons:

- Clarifying organisational purpose, mandates, goals, issues, strategies and requirements for success
  - Building the enterprise capacity for, and deliver of, success over time
- (Bryson, 2010 p. 256)

The difference between strategic planning and strategic plan is important to understand. Walker, Andrews, Boyne, et al (2010) explained the difference between the two by advancing an argument that strategy process, strategy making or strategic planning referred to how organisations in the public sector developed objectives and actions, and the result of that process is the strategy content or stance. That stance was the strategic plan which contained content on the approach to delivering service. In short, the strategic plan is the output or product of the strategic planning process.



## 2.5.2 Strategic Planning in the Public Sector

All organisations, whether private or public need to define their existence and how to achieve their objectives and goals and as noted above, such definition of existence and achievement of goals would be about strategic planning. Rose and Cray (2010) stated that continued survival of any organisation was dependent on the ability to formulate and execute strategy, given the organisational limitations and environmental constraints. Comparing private sector firms and public sector organisations, Rose and Cray (2010) posited that while private sector firms needed a plan to deal with competition, suppliers, customers, regulatory environment, and changes in political and commercial contexts, public sector organisations, while experiencing these differently, needed to deal with “additional considerations of an election cycle that may cause changes in leadership, a wide variety of stakeholders with competing agendas and the subjective nature of success given these diverse perspectives” (p. 453).

In clarifying the difference in strategic planning between private and public sectors, Hendrick (2003) claimed that within the public sector there was a need to focus on transparency and openness of government. This was largely due to the nature of existence and business of government; it is for the public and public should know what the government is doing. Linked to this is his argument that there was greater attentiveness of stakeholder when it came to operations of governments.

Bryson (2010) argued that for government and non-profit organisations, strategic planning often works and is “typically pursued by senior elected officials and/or general managers” (p. 257). He further raised benefits for strategic planning in public sector institutions as:

- Promotion of strategic thinking, acting and learning
- Improved decision making
- Enhanced organisational effectiveness, responsiveness and resilience
- Enhanced effectiveness of broader societal systems
- Improved organisational legitimacy
- Direct benefit for the people involved

## 2.5.3 Approaches to Strategic Planning in the Public Sector

Favoreu, Carassus and Maurel (2015), identified three types of strategic approaches prevalent within the public administration sector. These strategic approaches were “rational approach, political approach and collaborative approach” (p. 3-6). They defined these approaches as follows:

- **In the Rational Approach** – strategy is the result of an intellectual methodology of reflection and design, and is organised in a sequential, structured process that guarantees objectivity and rationality, and thus the effectiveness of the strategic choice.
- **The Political Approach** – is in opposition to the principles and assumptions of the rational planning model. This approach is governed by the rationality that planning is constrained or limited by the intellectual ability and cognitive bias particular to each individual.
- **Collaborative Strategic Governance and Management** – organised and structured process through which inter-organisational and multi-player groups, both public and private, develop, implement and evaluate collective strategies  
(*Favoreu et al., 2015, p. 3-6*).

It could be argued that each of the approaches has merits. The process of strategic planning should indeed be an intellectual exercise that is supposed to be both reflective and forecasting. Since strategic planning should be an intellectual exercise, there is a need to be conscious of the intellectual economy within the organisation, as argued in the political approach, so as to undertake the process of strategic planning at an intellectual level prevalent within the organisation. Involvement of relevant stakeholders within the strategic planning process and consideration of, and taking into account multi layers intra- and inter- organisation, should be encouraged as it would allow buy-in and ownership of the strategy, which are essential ingredients of strategy implementation.

Bryson, Crosby and Bryson (2009) argued for strategic planning as a way of knowing and for an actor-network theory as approaches and theories that guide understanding of strategic planning in public sector. Their unpacking of these concepts revealed that:

- When viewing **strategic planning as a way of knowing**, it becomes clear that, as a practice and customary way of doing things, strategic planning allows those embarking on it to jointly develop, show or possess knowledge or understanding.
- With **actor-network theory**, strategic planning was viewed as a practice that amplifies all associations involved in the process of strategic planning including leaders, managers, other stakeholders and other non-human elements like actions, analysis, reports, etc.

Pulling both together, might be important for all those involved, and all things essential, in the strategic planning (including implementation and monitoring) should treat the processes as a knowledge building process that hinges on the involvement of

everyone and everything essential to the process. Strategic planning is all-encompassing.

Bunning (1992) advanced three approaches in strategic planning that he discovered during facilitation of strategic planning work within government organisations. It should be noted that these were the times during which strategic planning had recently been introduced to the public service. Evidence of this is captured in his assertion that five to ten years earlier, a number of public agencies had commenced with strategic planning. The argument raised in the article was that there were three critical strategic planning approaches and these were:

- **Strategic planning as a ritual** – *where strategic planning would be performed essentially to meet the expectations and demands of others.* This meant that undertaking strategic planning was a compliance exercise which had very little to do with the intended achievement, but very much to do with acquiring necessary resources and acknowledgement
- **Strategic planning as decision-making process** – *the purpose of which was to resolve what was to be done.* This meant ensuring that both the process (strategic planning) and product (strategic plan) were rationally and impersonally sound, with major focus on implementation. Given this posture, the underlying assumption was that everyone knew what to do.
- **Strategic planning as a consensus-seeking process** – *the purpose of which was to identify strategy which was not objectionable to any of the major power holders who would be affected.* This meant that focus was more on pleasing power-holders than focusing on the client needs and mandate achievement  
**(Bunning, 1992 p. 55)**

#### **2.5.4 Strategy Implementation Challenges and Failures within the Public Sector**

There is a need to ensure that transversal organisational factors are aligned, to enable effective strategy implementation. Higgins (2005), as he advanced the “Eight S’s of Successful Strategy Execution”, argued that effective strategy execution was dependent on aligning key organisational factors with strategy and these organisational factors include “structure, systems and processes, leadership style, staff, resources and shared value” (p. 4). These transversal organisational features are essential in driving key elements of strategy implementation as defined by Noble (1999) in Andrews, Boyne, Law and Walker (2011). The definition explained strategy implementation as “the communication, interpretation, adoption and enactment of strategic plans” (p. 644). Proper leadership combined with systems and processes

would ensure proper communication and interpretation within the organisation structure, thus ensuring adoption and enactment.

Strategy implementation within government departments or public sector has, more often than not, faced challenges which led to possible failures. Some of the strategy implementation failures directly link to policy implementation failures. That was so because in public service a department's strategic plan should map the implementation of policy priorities which that department would have to implement. Demir and Nyhan (2008) argue that public administration is an instrument used for translating formulated policies into concrete results through the application of specialised knowledge and skills. This could be one argument that raises the links between policy implementation and strategic planning. Policy implementation failures that directly link to strategy implementation failure include the **policy alienation concepts**, which have already been discussed under policy implementation failures. This concept, as argued by Tummers (2011), is about the unwillingness of public sector professionals, to implement new policies. Public sector professionals are tasked with conceptualising and implementing strategy, meant to assist in implementing relevant government policy. Should policy alienation occur, the whole value chain of policy development and implementation, including strategic planning and strategy implementation was likely to suffer.

Rose and Cray (2010) highlighted challenges in the public sector that contribute to failure in strategy implementation. These included the cycle of leadership change, the politicised nature of the strategy formulation process, conflicting policy objectives and government as a powerful bureaucracy that resists change.

- With **Cycle of leadership change**, both political and, in some cases, executive management exit at a point when some stability in both policy and strategy implementation could be taking shape. When new leadership takes over, it usually bring new changes which will take time to stabilise.
- **Politicised nature of the strategy formulation process** is predominant at the early stages of the new political cycle. Within governments, especially in South Africa, this is the time where mid-term strategic plans are developed and approved. For the public sector manager, the whole issue of strategic planning becomes an exercise for ensuring balance in claims of interested parties.
- **Conflicting policy objectives** are a constant prevalence in public service. This could pose a huge challenge for a public sector manager to make choices and prioritise, with conflicting objectives.

- **Government as a powerful bureaucracy that resists change** could be central to the slow implementation of plans, especially if they are about change, which usually happens when new leadership takes over.

Hendrick (2003) raised the issue of ambiguity and vagueness of goals as well as the broadly based external influence and control on the process of strategic planning and strategy implementation in the public service. Latham, Borgogni and Petitta (2008) concurred stating “goal ambiguity that exist at an organisational level in many government agencies” (p. 392). They also raised a critical element of unclear and fuzzy terminology used in legislated mandates, which end up confusing employees (government officials) when they have to implement legislated mandates. Issues raised here resonate well with what Rose and Cray (2010) highlighted previously as challenges in the public sector that contribute to failure in strategy implementation.

Also contributing to the challenges of strategic planning and strategy implementation is the inability of managers in government to understand what strategic and non-strategic issues are. Bunning (1992) stated that “managers who are, by personality, ‘nuts and bolts’ thinkers have great difficulty in appreciating what is meant by ‘strategic’” (p. 55). He concluded that it would be “impossible to get a genuine strategic plan out of a group of managers, who do not, by nature, think strategically” (p. 55).

### **2.5.5 Achieving Success in Strategy Implementation within the Public Sector**

As discussed previously, the public sector has challenges at both policy implementation and strategic planning levels. Furthermore, earlier discussions alluded to ways of improving policy implementation, such as proposals as explained by Giacchino and Kakabadse (2003). Also, there were proposals to meet the challenges in strategic planning.

Rose and Cray (2010) provided some advice on how to tackle the challenges. They argue for the need to finalise the strategic planning process immediately after the assumption of a new government and that “the deliberate strategy formulation component should be timed to permit the launch of new initiatives in the first quarter of the government’s mandate” (p. 461). This was largely the case in South Africa, with the mandatory need to finalise five-year strategic plans within the same year of the assumption of the new government. Rose and Cray (2010) also advised of the need to improve communication within government. They argue that “in the public sector, the multiplicity and interconnections of interested parties heightens the importance of communications not just in the implementation phase but in all segment of the strategy

process” (p. 462). They also advised of the need to adapt and/or change the strategic planning instruments that originally were for private sector. They made an example of the changing SWOT analysis instrument to SWAA where A and A stand for “advocated” and “adversaries”.

Latham, Borgogni and Petitta (2008), as a way of contributing to improved successes in strategic planning, emphasised the need to improve on goal setting during the planning process and delved deeper on the “goal setting theory” as advanced by Locke and Latham (1990, 2002 and 2007); Bunning (1992) provided a list of issues that need to be considered when focusing on an improved and effective strategic planning process, these include:

- Making strategic planning the responsibility of senior management
- Communicating the rationale for strategic planning and never assuming that manager know
- Moving beyond vague, non-contentious goals towards specific strategic thrust and performance objectives
- Developing and effecting operational plans as a way of driving the implementation of the strategic plan Bunning (1992).

## **2.6 Strategic Planning within South Africa’s Public Sector: *A High Level***

### ***Summary***

For policy objectives to be implemented, government departments need a plan to implement them. Within the South African context, the planning process of government departments result in five-year strategic plans that map its objectives and targets for the following five-year period. This was confirmed by the argument in National Treasury (2010) that the five year strategic plans needed to set out the department’s policy priorities, programmes and project plans for a five-year period”

As explained by National Treasury’s Framework for Strategic Plans and Annual Performance Plan published in 2010, each department needed to produce a five year strategic plan, which is aligned with government’s strategic direction as expressed in the Medium Term Strategic Framework. The strategic plan must be linked to the five-year term of office. The process should start with each new electoral cycle when a new government produces a new programme of action.

The MTSF (2014-2019) explained the Medium Term Strategic Framework (MTSF) as  
*Government’s strategic plan for the electoral term. It reflects the commitments made in the election manifesto of the governing party, including the*

*commitment to implement the NDP. The MTSF sets out the actions Government will take and targets to be achieved. It also provides a framework for the other plans of national, provincial and local government.*

Based on this strategic plan, each department should prepare annual performance plans and operational plans. These plans should inform the department's budget allocation with the National Treasury preparing a budget vote for the department that get passed by parliament and becomes law. These plans should contain objectives, targets and measures of performance, as part of the process in-year reviews and reprioritisations that feed into the entire process and integrating planning, budgeting, monitoring, evaluation and reporting.

## **2.7 Linking Implementation of Policy Priorities and Strategic Planning**

The link between policy priorities which is a political process, and strategic planning, which is an administrative process was clearly outlined by Walker, Jung and Boyne (2013) who argued that the attainment of "successful organisational performance in the public sector results from the efforts of both politicians and managers" (p. 833). They further argued that directly elected politicians set out missions, goals and direction of policies that would be implemented by managers (Walker, Jung and Boyne 2013). Therefore cooperation between politicians and managers in the public sector was crucial for synergy between policy priorities and their implementation. Conflict between politicians and bureaucracy can be detrimental to the democratic process and the need for alignment in values and behaviour between the two was very important (Walker, Jung and Boyne 2013).

Rochet (2004) linked policy implementation and strategic planning by arguing that strategic planning links policy value and value-enhancing policy and those strategic management frameworks are intended to assist policy implementation through an iterative approach that had the following four stages:

- Design a strategy
- Implement it
- Evaluate the outcome and
- Adjust where necessary (Rochet, 2004, p. 203).

Brynard (2005) linked policy implementation and strategic planning by stating that "policy implementation is regarded as the accomplishment of policy objectives through the planning and programming of operations and projects so that agreed upon outcomes and desired impact are achieved" (p. 9). Oosterwaal and Torenvlied (2011)



foregrounded a concept of “policy divergence of implementers” and defined it as “a situation in which an implementing agency (government department) follows a course of action...that is not in accordance with the outcome of political decision (the policy decision)” (p. 196).

Furthermore, “agencies may completely or partly refuse to take required action, they may adopt substantively different interpretations of policy decision, or they may simply continue their operations as if no policy decisions were passed by the legislature” (Oosterwaal & Torenvlied, 2011, p. 196). They attributed that to political conflict, which was the “level of disagreement between the policy decision and the policy alternative most preferred by the agency” (Oosterwaal & Torenvlied, 2011, p. 199). This revealed that upon implementation, planning by institutions and managers might result in plans with little assistance to policy implementation. Therefore, for a policy to be implemented properly, responsible institutions and managers needed to plan properly to ensure proper implementation. That planning should embed itself within strategic planning of those institutions.

Noting the definitions of implementation by Hupe and Hill (2015) and Hayes (2002), discussed under Section 2.3, it is clear that for a policy to be implemented by government departments, and it needs to be expressed in the form of a plan or a procedure. The strategic planning process should assist in the articulation of the required plan. Bryson (2011) argued that strategic planning “requires a deliberation informed by effective information gathering, analysis and synthesis, clarification of the mission and goals to be pursued and issues to be addressed, development and exploration of, and choice among strategic alternatives and emphasis on the future implications of present decisions” (p. 10). This means that the priorities and objectives of the policy adopted by government should be central to the planning process of the relevant government departments to ensure implementation. Policy priorities that are not included in the plans of a relevant department have no chance of being implemented.

In advocating for the link between policy implementation and strategic planning, with strategic planning being one of the key enablers of policy implementation, the following assertions need to be considered:

- Mothae and Sindane (2007) argued that “public policy provide information for strategic, operational and financial plans...decisions are made throughout the policy process (including policy implementation) on the appropriate goals and objectives to be pursued as well as the plan to execute them” (p. 146). This



articulation provided a context and rationale for the development of strategic plans by government departments.

- Schmidt (2015) argued that “policy and planning combine as the organisation’s primary decision-making apparatus, involving both the executive and the units supporting it” (p. 490).

Therefore, the translation of policy vision and objectives should be done by government departments through a process of strategic planning, thereby resulting in a strategic plan.

## **2.8 Strategy Implementation and Role of Monitoring and Evaluation**

### **2.8.1 Strategic Management within the Public sector**

Favoreu, Carassus and Maurel (2015) argued for a collaborative strategic governance and management approach whose intentions centre on maximising achievement of results that an organisation could not achieve alone. They defined the strategic management approach as “organised and structured process through which inter-organisational and multi-player groups, both public and private, develop, implement and evaluate collective strategies” (p. 5). Given such assertion by Favoreu, et al. (2015), it could be argued that, on embarking on the strategic planning process and producing a strategic plan, all relevant stakeholders should ensure implementation of the strategic plan. Assurance of progress in its implementation should be done through monitoring and mid-to-long-term evaluation.

Bryson, Berry and Yang (2010) raised awareness about the strategic management theory which amplified integration and alignment in strategic initiatives, involving the development of new policies and programmes with the missions, mandates and operations of an organisation. Bryson, et al. (2010) explained strategic management as “the appropriate and reasonable integration of strategic planning and implementation across an organisation ...in an on-going way to enhance the fulfilment of its mission, meeting of mandates, and sustained creation of public value” (p. 256). An issue highlighted by Favoreu, et al. (2015), on the pressing nature of strategy and strategic management in the public sector and central to this were the requirements necessary to comply with growing social and financial pressures.

Given the above definitions, explanations and articulations, it could be inferred that strategic management is about handling the entire value chain of implementing the

strategic plan. The value chain includes resource allocation for implementation purposes, actual implementation, monitoring, reporting and communication of results.

### **2.8.2 Role of Monitoring and Evaluation in Strategy Implementation within Public Sector**

Monitoring and evaluation is a term developed recently and largely refers to programme evaluation. Abrahams (2015) asserts that “programme evaluation’, ‘evaluation research’ or in its most recent usage ‘monitoring and evaluation’ is a distinct discipline and a field of study” (p, 1). The School of Geography and Environment (2014) described monitoring as the collection and analysis of information about the programme being implemented and evaluation as a periodic assessment of a completed or ongoing programme and all of this was done with the aim of assessing if the implementation yielded planned results.

Ayob and Morell (2016) argued that evaluation or monitoring and evaluation was carried out to review a programme in terms of its value, criteria and standards, by explaining how the programme was implemented, how it operated, what it accomplished and what would be needed to improve it. That means that monitoring and evaluation is an important management tool for policy planners and implementers. Ayob and Morell (2016) further argued that while collecting data to check implementation progress, sensitivity to political context and points of view of multiple stakeholders was necessary. This indicated that monitoring and evaluation was not politically neutral.

Having explored the concepts of monitoring and evaluation, it must be noted that monitoring and evaluation are essential to strategic planning and improved organisational performance. Marra (2017) claimed that evaluation should be considered as a craft to improve employees’ and organisational performance as well as enhance the effectiveness of programmes against waste and corruption. At the centre of performance management is monitoring and evaluation where there is assessment of implementation or performance with the aim of improving in cases where such is needed. Poister, Pasha and Edwards (2013) stated that the “the logic underlying the assumption that performance management will lead to stronger performances rests on the importance of both goal clarification and performance monitoring in managing for results (p. 626).

## 2.9 Synergy between Policy Priorities, Strategic Planning and Monitoring and Evaluation

Synergy between policy priorities, strategic planning and monitoring and evaluation could be viewed as synergy between politics and administration with policy priorities being at political level and strategic planning and monitoring and evaluation at administration level. While politicians and political interests design bureaucratic structures to advance political goals (Moe 1989 in Moynihan and Soss, 2014), alignment between politicians and managers are essential for public service performance (Walker, et al, 2013). Therefore, for implementation of policy priorities to happen, managers in government departments need to undertake strategic planning, whose purpose is to craft “a broad, long-term orientation to how and organisation (government department) should conduct its operations” (Walker, Andrews, Boyne et al, 2010).

The implementation and management of strategy involves effective and efficient monitoring and evaluation, which assist in improving organisational performance. Poister, Pasha and Edwards (2013) outlined the relationship between strategic planning, implementation, monitoring and improved performance by asserting that when goals were established concerning performance and outcome, through strategic planning process, monitoring of outcomes would generate useful information that could be utilised by programme managers to make better decisions for improved organisational performance. Abrahams (2015) argued that a successful monitoring and evaluation system should result in improved and relevant policies, a responsive public service, better and high quality of service delivery and vastly improved quality of life for all

Such alignment is also confirmed by Demir and Nyhan (2008) when they argued that public administration was an instrument used for translating policies into concrete results through applying specialised knowledge and skills. Moynihan and Soss (2014) simplify this alignment by arguing that government departments or administrative organisations were sites of political action. These alignments and linkages assist in ensuring that policy priorities are planned for and resources adequately allocated to ensure implementation by the relevant departments through a strategic planning process.

It could be argued that, in achieving such synergy, organisational performance would improve, translating to improved implementation of economic policies and that could have a direct impact in negating organisational inefficiencies and mismanagement. The

UNDP (2009) maintained that integrating and aligning planning, implementation, monitoring and evaluation translated into a broad management strategy that helped in achieving higher organisational performance with demonstrable results. Additionally, at the centre of integration is organisational learning, risk management and accountability. Acevedo, Rivera, Lima and Hwang (2010) stressed the need to constantly link monitoring and evaluation with policy planning and budget processes.

## **2.10 Conclusion**

The literature reviewed indicated that within government departments and other public institutions, the policy development process, strategic planning and monitoring and evaluation were central elements in the identification of policy priorities, their implementation and their ultimate achievement. The policy development process assisted in establishing policy priorities, the strategic planning process assisted in translating the policy priorities into departmental goals, outcomes and objectives and the monitoring and evaluation processes assisted with assessing the level of implementation and achievement of planned goals, outcomes and objectives.

Literature on policy and policy processes assisted in elucidating key issues on processes and implementation challenges and other related lessons. Strategic planning literature revealed a lot had been done, in public sector, to institutionalise strategic planning, with various theories and approaches being advanced. Monitoring and evaluation as part of strategic management within public sector organisations was found to be central to organisational performance. It was also discovered that the desire by governments and their employees, to make a difference in people's lives enabled them to continue policy implementation despite challenges. While there was a lot of literature on policy failure and strategic implementation challenges, it was aimed at raising awareness to those involved and to influence improvement in practice.

In the South African context, there was acknowledgement, at the levels of government and the academic fraternity that policy implementation remains a challenge, that strategic planning is central to policy implementation and that there is a need to improve both planning and implementation of both policy and government strategies. Government, through its National Treasury policy documents, also acknowledged the link between policy implementation and strategic planning and that strategic planning is central to policy implementation. It further prescribed ways in which strategic planning should be carried out to ensure it assists, as a critical tool, in policy implementation

## CHAPTER 3: RESEARCH QUESTIONS AND PROPOSITIONS

### 3.1 Introduction

This chapter outlines the purpose of the research, narrowing it down to the thematic research questions that assist in raising issues seeking to address the broader research problem. It reiterates the purpose of the study and provides a link between the broader research problem, the purpose of the research and the research questions. This link is crucial since its absence could result in disparity between data collected and the broader research problem.

### 3.2 Rationale for the Research Questions

The formulation of the research questions articulated below is informed by the need to generate data that could assist in a broader understanding of why governments, especially in developing countries, fail to effectively implement good socioeconomic policies that they have developed. Academics like McConnell (2015), Head and Alford (2015) Rahman, Naz and Nand (2013) provided arguments on why governments fail to implement policies. Acknowledging that policy implementation is broad, and can have many approaches and forms, as witnessed in Hupe and Hill (2016), Savio and Nikolopoulos (2010) and Brynard (2005), this study focused on strategic planning (by government departments) and its link to policy implementation within government.

This study seeks to analyse the synergy between the strategic plans of the GPG departments and economic policy priorities and their implementation. The point of departure, as argued by the National Treasury's Framework for Strategic Plans and Annual Performance Plans (2010), is that strategic plans of government departments should map departments' policy priorities, programmes and project plans for a five-year period. The research questions below serve as themes that seek to respond to the research problem by:

- Establishing the level of understanding of provincial government's economic policy priorities by middle and senior management structures of the provincial government. The rationale for this theme is informed by the assumption that the middle and senior management structure of government is responsible for driving implementation of government policy priorities
- Establishing the strategic planning approach that the GPG department uses to develop their strategic plans

- Establishing if strategic plans of departments reflect economic priorities of provincial government. This theme is at the heart of the actual synergy between the strategic plans and economic priorities.
- Establishing the mechanisms that government, as a whole, uses to ensure alignment of strategic plans with its economic policies. This theme is also at the centre of the actual synergy between the strategic plans and economic priorities
- Establishing the mechanisms and systems that departments use to ensure effective monitoring, evaluation, reporting and communication. This theme is about understanding the extent to which departments understand and execute strategy management to improve organisational performance

### 3.3 Research questions

Since the aim of this study is to analyse the synergy between strategic plans of GPG departments and economic policy priorities of the provincial government and their implementation, the following critical research questions will be addressed:

#### **Research Question 1:**

Does the middle and senior management structure of the Gauteng Provincial Government know and understand the economic policy priorities of provincial government? (***knowledge and understanding of economic policy priorities***). Data for this research question will be collected using the questionnaire

#### **Research Question 2:**

Which strategic planning approach do GPG departments use to develop their strategic plans and why is that approach favourable? (***strategic planning approach and why is that approach favourable***). Data for this question will be collected through analysis of strategic plans of these departments

#### **Research Question 3:**

Do strategic plans of departments reflect economic policy priorities of the provincial government? (***relevance of strategic plan and the extent of policy divergence***). Data for this question will be collected through analysis of strategic plans of the sampled departments

#### **Research Question 4:**

How does the Gauteng Provincial Government ensure alignment of strategic plans with its economic policy priorities? (***system for alignment***). Data for this question will be collected using semi-structured interviews with one manager from each of the sampled

departments and such a manager would be responsible for either Strategic Planning or Policy Coordination function.

### **Research Question 5**

What are the systems that departments use to ensure monitoring, evaluation, reporting and communication? (*policy/ strategy implementation*). Data for this question will be collected using semi-structured interviews with one manager from each of the sampled departments. Also a high level evaluation of two of the GPG economic policies will be conducted to conduct a “snap” assessment of implementation of these policies

### **3.4 Conclusion**

Given that acknowledgement of poor policy implementation resonates across the South African society including at government level, an attempt to seek the reasons behind poor implementation becomes important. Linking economic policy priorities with strategic plans of departments and their implementation builds an assumption that with effective strategic planning that considers relevant policy priorities, opportunities of improved policy implementation get better.

## CHAPTER 4: RESEARCH METHODOLOGY

### 4.1 Introduction

This chapter does not only describe how data was collected and what instruments were used, it also provides the rationale as to why certain methodologies and data collection approaches were used in relation to the research aim and research questions. Oliver (2004) argued that the methodology chapter should “explain how the epistemological stance which has been adopted provides a link between the aims and the practical methodological issue of collecting data” (p. 121). Part of what the following section on “research methodology” does, is to unpack the relationship between data collection strategies and the theoretical posture of the study. This section also covers the mixed method approach adopted by the study. The rest of the chapter addresses practical approaches and rationale for the choice of sampling, data collection and analysis strategies.

### 4.2 Research Design and Rationale

Babbie and Mouton (2001) advised of a need to be mindful that the “research problem and questions and the kind of evidence that is required to address that problem” (p. 75) determine the research methodology. The research problem (topic) for this study together with the research objectives and questions required the collection of evidence or data using a combination of data collection instruments. Saunders and Lewis (2012) argued that mixing approaches and strategies in pursuit of an answer to your research questions and objectives would usually involve the use of a mixture of research methods. Given the above assertion, this study adopted a mixed-method design as it used a mixture of qualitative and quantitative methods. The mixed method approach is about combining data collection methods within one study. Denscombe (2007) defined mixed methods as “research that combines alternative approaches within a single research project” (p. 107).

The data collection methods that were used for this study and which informed the mixed-method design were questionnaires, structured interviews and document analysis. Kvale (2007) argued that discourse analysis (document analysis) and interviews were within the realm of qualitative methods while questionnaire administration were within the realm of quantitative research.

The rationale behind the use of the mixed-method approach included the need to triangulate data thus improving accuracy, and to close potential gaps if one method



were to be used. This rationale is also supported by Barbour (2008) as she stated that mixing methods helps “to compensate for the perceived shortcomings of stand-alone methods with either providing a more complete picture or enhancing coverage” (p. 151). Denscombe (2007) maintained that the mixed methods approach can be used to improve accuracy, to get a more complete picture and for compensating strengths and weaknesses. Saunders and Lewis (2012) also stated these reasons for the utilisation of the mixed-method design in research, that some data collection instruments are better than others when collecting data for different research questions of the study.

### 4.3 Population

Saunders and Lewis (2012) defined population as “the complete set of group members” and that “it need not necessarily be people or employees; it can...be organisations, places or the complete track listing for a music CD” (p. 132). Babbie and Mouton (2001) provided a simpler explanation stating that “a population is the...specified aggregation of study elements”, an element being the “unit about which information is collected and that provides the basis for analysis” (p. 173).

Given the definitions, one could argue that a population is an aggregated group, in totality whose members are a focus of study. McBurney (2001) posited that, in research, population was the entire collection of individuals being considered.

The population for this study included all departments of the Gauteng Provincial Government (GPG). There are 14 provincial departments, overseen by 10 Members of Executive Council (MECs). The following template captures these departments and their key functions:

**Table 3: GPG departments and key functions**

DEPARTMENT	ROLE
The Office of the Premier	<i>Drives the political imperatives and policy priorities of the Gauteng Provincial Government, the summary of which is the TMR Strategy</i>
Agriculture and Rural Development	<i>Responsible for natural resource management and sustainable development in the province.</i>
Community Safety	<i>Works to ensure that Gauteng is a safe and secure province.</i>
Cooperative Governance and Traditional Affairs	<i>Works to effectively support, monitor, and promote developmental municipalities and viable institutions of Traditional leadership</i>
Economic Development	<i>Tasked with developing the right environmental framework for economic growth and job creation, and instituting sound financial management policies and structures</i>
Education	<i>Delivery of quality public education, to promote a dynamic citizenship for socioeconomic growth and development</i>
e-Government	<i>Responsible for the rollout of a core network infrastructure that will connect all government buildings, Thusong Centres, urban renewal zones and targeted economic zones.</i>
Health	<i>Provide quality health services and ensure a caring climate for users, implement best-practice healthcare strategies, and provide top-quality training for health workers.</i>
Human Settlements	<i>Provides human settlements in Gauteng, and seeks to build sustainable communities and give communities access to affordable housing within targeted precincts</i>
Infrastructure Development	<i>Implements the GPG's capital expenditure budget allocation and other infrastructure projects and to maximise the social and economic benefits of GPG's property portfolio</i>
Roads and Transport	<i>Improve mobility and accessibility in Gauteng and to develop transport and socio-economic infrastructure that helps residents to participate meaningfully in economic and social activities.</i>
Social Development	<i>Ensure that the needs of the vulnerable members of our society are catered for.</i>
Sport, Arts, Culture and Recreation	<i>Ensures access, increased participation and transformation of the sport, arts, culture and recreation sectors in a manner that yields optimum socio-economic benefits</i>
Provincial Treasury	<i>Promote good governance by providing stewardship on all financial matters in the province. In essence the role of GPT is to ensure that strategies are funded</i>

## 4.4 Sampling Method and Size

Before delving deeper into the sampling techniques and sizes, it is important to unpack what “sampling” or “sample” means. According to Saunders, Lewis and Thornhill (2008) sampling or a sample is an acceptable alternative to a census and that the following are circumstances under which sampling would be done:

- Impossibility of targeting the entire population
- Financial constraints contribute to the researcher not being able to target the entire population
- Time constraints contribute to the researcher not being able to target the entire population

All three of the circumstances above contributed to the researcher opting for the sampling technique and size unpacked below.

### 4.4.1 Sampling Technique

This study employed the non-probability sampling technique, which Saunders and Lewis (2012) defined as a “sampling technique for selecting a sample when you do not have a complete list of the population” (p. 134), Babbie and Mouton (2001) argued that “there are times when probability sampling wouldn’t be appropriate even if it were possible [to have a complete list]” (p. 166). In this study, the population is known (14 departments) but a purposive or judgemental approach to sampling selected.

Purposive sampling is “a type of non-probability sampling in which the researcher’s judgement is used to select the sample members” (Saunders & Lewis, 2012, p. 138). Babbie and Mouton (2007) referred to purposive sampling as judgemental in nature as it is based on the purpose of the study and judgment of the researcher. Denscombe (1998) argued that “with purposive sampling the sample is ‘hand-picked’ for the research” (p 17). He went on to elaborate that such an approach is used when the researcher has knowledge of the people likely to produce valuable data and those are purposefully selected for the study.

The present study adopted purposive sampling and the reasons for this are listed below:

- Purposive sampling allowed the researcher to target departments and individuals that he believed were critical to the research, (Denscombe, 1998).

- The sample identified through purposive sampling was illustrative enough to address the research aims and objectives.
- It would have been near impossible to contact and interview senior managers of all 14 departments.
- Analysing strategic plans of all 14 departments would have taken longer than prescribed time frames during which this study could be undertaken.

#### 4.4.2 Sample Size

A sample is “a subgroup of the whole population” (Saunders & Lewis, 2012, p. 132) and Denscombe (1998) defined it as a small portion of the whole. Given this definition, it can be concluded that sampling is the process of identifying a subgroup of the whole population. Babbie and Mouton (2001) defined sampling as “the process of selecting observation” (p. 164). The sample for this study consisted of seven GPG departments. This was about 50% of the total population. In collecting data, administration of a questionnaire, conducting semi-structured interviews and doing document analysis was undertaken for all 7 departments.

The questionnaire was administered to middle and senior managers of the sampled departments and a minimum response of 35 responses was to be considered reasonable for analysis. This was because five questionnaires coupled with an interview were thought to be sufficient to give a general perspective of that department on issues raised in the study. Seven semi-structured interviews were conducted, targeting middle, senior and executive managers involved in policy units, strategic planning units and/or monitoring and evaluation units. Strategic plans of the sampled seven departments were analysed as part of document analysis. Two policies central to economic growth in Gauteng, as advanced by the GPG through its TMR Programme were assessed, at a high level, to check the extent of their implementation.

The following seven departments were sampled for the study. These departments had been identified because (and in line with the GPG TMR Programme) they play a critical role in overseeing and coordinating inclusive economic growth and thus ensuring transformation, modernisation and reindustrialisation of the Gauteng Province:

- Department of Economic Development
- Gauteng Enterprise Propeller
- Department of Infrastructure Development
- Department of Roads and Transport
- Department of Human Settlements
- Provincial Treasury

- Office of the Premier

The two policies whose implementation would undergo rapid appraisal, (through document analysis from implementing departments and agencies as well as from other sources) were:

- Gauteng Township Economy Revitalisation Strategy
- Gauteng Spatial Development Framework

#### **4.5 Data Collection**

In most cases, literature on qualitative studies indicated that a researcher is not a passive collector of data. Mason (2002) argued “it is more accurate to speak of generating data than collecting data, precisely because most qualitative perspective would reject the idea that a researcher can be a completely neutral collector of information about a social world” (p. 52). Primary data was sourced using semi-structured interviews and questionnaires, while secondary data was sourced through document analysis.

##### **4.5.1 Quantitative Data Collection**

###### ***a) Questionnaire administration***

Blaikie (2003) defined quantitative data as “data that are transformed into numbers immediately after they are collected or prior to the analysis and remain in numbers during the analysis” (p. 318). The quantitative data for this study was collected largely through the questionnaire. Questionnaires are documents for “data collection in which each person is asked to answer the same set of questions in the same order” (Saunders and Lewis, 2012 p. 1410) and they were used to collect statistical primary data. Wegner (2012) described primary data as data that is “recorded for the first time at source and with a specific purpose in mind” (p 14).

Using this data collection instrument, allowed the researcher to reach large numbers of respondents, all of which would be answering the same set of questions in the same order. Saunders and Lewis (2012) emphasised that important research concepts like “content validity” and “construct validity” were boosted by ensuring that the set of questions in the questionnaire “provide enough data to answer the research question” (content validity) and that they “collect data about what they are intended to measure” (construct validity). It should be stated that, for this study the questionnaires were administered through physical distribution. Nulty (2008) argued that “in general, online

surveys are much less likely to achieve response rates as high as surveys administered on paper” and he also highlighted that for a sample of 100, a 21% response rate was acceptable while for 150, a 15% response rate was acceptable.

As indicated earlier, the questionnaire was administered to middle and senior managers of the sampled departments and a minimum response of 35 responses was considered reasonable for analysis because 5 questionnaires couple with an interview was thought to be adequate to give a general perspective of that department on issues raised in the study

#### **4.5.2 Qualitative Data Collection**

Qualitative data is largely in words, from collection to analysis. Blaikie (2003) defined qualitative data as “data that are recorded in words, that remain in words throughout the analysis and the findings from which are reported” (p. 318). Marshall and Rossman (2016) claimed that “qualitative researchers typically rely on four primary methods for gathering information: (1) participating in the setting, (2) observing directly, (3) interviewing and (4) analysing documents” (p. 141). Qualitative data can either be primary data if collected while observing or interacting with the respondent in action, or secondary data if it already exists in process form (Wegner, 2012).

In collecting qualitative data for this study, semi-structured interviews and document analysis were used, with semi-structure interviews used for collecting primary data and document analysis for collecting secondary data

##### ***a) Semi-structured interviews***

Saunders and Lewis (2012) stated that semi-structured interviews are used when “you are unsure of the answers that the respondents will give [and] when your questions are complicated” (p. 151). Complicated questions and uncertainty of answers are central to qualitative data collection and generation. This is the primary reason for the utilisation of this data collection approach. The semi-structured interview schedule was themed along the research question.

From each sampled department, one (1) senior manager was interviewed, making a total of seven (7) interviews. Senior managers responsible for Strategic Planning and/or Policy Coordination and/or Monitoring and Evaluation portfolios were targeted for interviews. The rationale for identifying managers responsible for these functions was because their critical tasks involved ensuring that there was alignment between

strategic plans of departments and economic policy priorities of the provincial government and their implementation.

### **b) Document analysis**

Strategic plans of the seven sampled departments were analysed. Document analyses helps in collecting data that already exist in a processed format. The aim of analysing these department's plans was to assess the extent to which the five-year strategic plans capture the economic policy priorities of the Gauteng Provincial Government, as this is the most probable of being implemented. A high level assessment of the implementation of priorities of the two key economic policies of the provincial government was done by exploring the Annual Reports of the sampled departments and conducting brief analysis of the GPG Programme of Action, a monitoring instrument used by the Office of the Premier to monitor the performance of all provincial government departments. The Gauteng Township Economy Revitalisation Strategy and the Gauteng Spatial Development Framework were the two key economic policies that were considered for high level implementation analysis.

## **4.6 Data Analysis**

Data collected for this study was both text and non-text data. Saunders and Lewis (2012) described that text data "are data in the form of words that have been recorded as text and are usually word-processed" (p. 167). The non-text data, i.e. interview recordings were transcribed before being analysed. All data collected was put through the following process as part of data analysis:

- Transcription of data collected in the form of audio.
- Research questions formed the broad analysis framework as the data was intended to provide information and answers to the research questions.
- Research questions had sub-themes that were used to categorise data.
- Before data was put into themes and as data was analysed, coding was done. This coding was linked to the themes, which were then linked to the research questions.

### **4.6.1 Quantitative Data Analysis**

Saunders and Lewis (2012) stated that "quantitative data are split into two main types: categorical and numerical data" (p 165). Categorical data can either be descriptive (nominal) or ranked (ordinal) while numerical data can either be continuous or discrete (Saunders & Lewis, 2012). Mouton (2001) postulated that data analysis involves

breaking up of data into themes and identification of particular patterns which could be central in making conclusion and recommendations.

Summary tables and bar graphs were used to synthesise quantitative data collected.

#### **4.6.2 Qualitative Data Analysis**

All qualitative data collected was put through the following process as part of data analysis:

- Data collected in the form of audio were professionally transcribed. Transcripts were structured according to the interview questions. The interview questions were themed under their relevant research questions. On reading the transcripts together with the notes taken during the interview, coding was done and patterns and themes identified.
- Data collected through document analysis using the Document Analysis Framework was structured according to relevant research questions. Therefore, as documents were analysed using the framework, coding was done and themes recognised that providing answers and ideas about each relevant research question.
- Research questions had sub-themes that were used to categorise data.

In doing the above, the researcher went through three steps of reading, namely literal reading, interpretive reading and reflexive reading. Mason (2000) defined literal reading as being “interested in literal form, content, structure, style, layout, and so on” (p. 149); interpretive reading as involving the researcher in constructing a version of what the researcher thinks the data mean or represent; and reflexive reading as locating the researcher “as part of the data generated and will seek to explore (the researcher’s) role and perspective in the process of generation and interpretation of data” (p. 149).

#### **4.7 Data Validity and Reliability**

Validity is “the extent to which (a) data collection method or methods accurately measure what they were intended to measure and (b) the research findings are really about what they profess to be about” (Saunders & Lewis, 2012, p.127). Data collection methods that the study used were in line with a qualitative study. These methods were also relevant in answering research questions, which ensured that they measured what they were intended to measure. Furthermore, they ensured that the research findings spoke directly to the research questions and that they were about what they claimed.



It should be noted here that qualitative studies, by their very nature, do not generalise their findings or results. Therefore, the issue of external validity was not central in this study.

Reliability is “the extent to which data collection methods and analysis procedures will produce consistent findings” (Saunders & Lewis, 2012, p.127). This study used different data collection methods, namely interviews, observations and document analysis, to collect data relevant to each research question. This approach aimed at assisting with triangulating data, thus ensuring reliability.

As stated above qualitative studies do not, as their primary purpose, aim to generalise findings. Marchall and Rossman (2016) stressed the importance of acknowledging limitations, but for qualitative research, the intention is to understand phenomena from the respondent’s view and to explore and discover issues such as generalisability, replicability, control groups are not the right criteria to aim for. Efforts have been made, as discussed above, to ensure that data collected had some level of reliability and validity by employing various data collection methods for the same questions. Despite this, there is an upfront acknowledgement that, this being a qualitative study, such concepts may not have been adequately addressed

#### **4.8 Limitations**

Moving from the point of departure that “all proposed research projects have limitations” (Marchall and Rossman, 2016 p.85), the following were identified as limitations of this study and the counter measures or mitigations thereof:

##### **Limitation 1: Unavailability of two interviewees**

During the course of the research, two senior managers (from the Office of the Premier and Department of Roads and Transport) could not be available for interviews. Despite this limitation, the quality of data collection process was not compromised as there was enough data from similar departments like Provincial Treasury whose function includes coordination of government for the achievement of policy priorities. This coordination function is similar to the function of the Office of the Premier. The limitation caused by the unavailability of the Department of Roads and Transport was addressed by the availability of the Department of Human Settlement as both departments drive the Gauteng’s Spatial Development Framework. Also, strategic plans of both unavailable departments were analysed, thus providing crucial data which responded to the majority of the research questions.



## **Limitation 2: Insider perspective and bias**

As a government employee and a senior manager responsible for planning, the researcher brought an insider's perspective of how strategic planning is used to assist policy implementation by government departments. With some of the respondent being strategic planning senior officials, some level of bias was inevitable

## **4.9 Ethical Consideration**

It is important to undertake scientific research in an ethical way. Saunders and Lewis (2012) defined research ethics as "the appropriateness of the researcher's behaviour in relation to the right of those who become the subject of a research project, or who are affected by it" (p. 74). In ensuring that the study was conducted in an ethical manner, the researcher:

- Obtained the respondents' consent;
- Used time granted beneficially;
- Guaranteed confidentiality;
- Was open to appreciating any reluctance from respondents; and
- Used secondary data that was publicly available and, by government policy, was ready for public consumption.

The Gordon Institute of Business Science (GIBS), the institution where the researcher is registered has a Research Ethics Committee that ensures that all students in the institution who undertake research, have gone through the ethical clearance process. The researcher was cleared by this Ethical Committee after it considered the relevant research proposal. When undertaking the study, the researcher stuck to the approach that was the basis for ethical clearance.

## **4.10 Conclusion**

On reviewing the content of this chapter, it can be concluded that the study was, indeed, a mixed method study as it combined data collection methods from both qualitative and quantitative paradigms, as it used semi-structured interviews, document analysis (qualitative) and questionnaire (quantitative). While the study had some limitations, the following data collection response rates ensured that the acceptable quality of data was maintained:

- The targeted minimum respondents for questionnaires was realised,
- More than 70% of targeted interviews were achieved and
- All targeted strategic plans were analysed.

## CHAPTER 5: PRESENTATION OF RESULTS

### 5.1 Introduction

The previous chapter outlined the data collection methods used, and explained rationale for choosing the mixed methods approach. This chapter outlines the results informed by data collection. The results are largely presented in themes as informed by the research questions. Tables are used to summarise quantitative data collected, however a consolidated quantitative data spreadsheet is attached as Annexure 1B. This spreadsheet contains all responses to the questionnaire. Annexure 1A is one of the completed questionnaires and it serves as evidence of how respondents had to tackle the questionnaire, however all completed questionnaire have been submitted as additional information in soft copy. Annexure 1C is one of the interview transcripts. This transcript has been worked on by the researcher as he was analysing and establishing patterns and themes. It has been provided as proof of how interviews were conducted, all interview transcripts have also been submitted as additional information in a soft copy.

### 5.2 Sample Obtained

As observed in Chapter Four, this study targeted seven (7) departments of the Gauteng Provincial Department. The sample was 50% of the total population. The sample was made up of the seven departments central to the coordination, resourcing and implementing the economic policies chosen for this study. The departments of Economic Development, Enterprise Propeller, Infrastructure Development, Roads and Transport and Human Settlements were implementing departments. The Provincial Treasury provided funding resources and monitored spending and the Office of the Premier was the coordinator, monitor and evaluator of all implementation of economic policy priorities of the provincial government.

The questionnaire was distributed manually in management meetings and other gatherings of government managers of the sampled departments. The minimum number of expected questionnaire responses was 35. The total number of responses returned was 41 questionnaires and that was above the minimum expected number. Therefore the response rate was above expectation.

In collecting qualitative data using semi-structured interviews, seven (7) senior managers (i.e. one senior manager from each sampled department) were to be interviewed. Out of the seven planned interviews, six were conducted.

### 5.3 Data Reliability and Validity

The data for this study was sourced through questionnaires and semi-structured interviews. The questionnaire response was above expectation with 41 questionnaires returned of the minimum expectation of 35 responses. Six out of seven interviews were conducted with an 86% response rate. Given that the questionnaire responses were above minimum expectation, it can be argued that data generated was enough to address both reliability and validity (construct and content) issues since more people responded thereby increasing the volume of data. This provided an opportunity to understand what the majority of people thought. Apart from the success of interviewing 86%% of the targeted interview respondents, the interviews themselves provided enough description to assist in establishing patterns and thematic arguments that provided comprehensive responses to relevant research questions.

Given the nature of both questionnaire and interview schedule, the researcher was convinced that data gathered was adequate to produce consistent findings, an issue which was central to the reliability of the study. All data collection methods, individually and as a collective, assisted in triangulating data and in measuring pertinent issues of the research questions. Both data presentation (Chapter Five) and data analysis (Chapter Six) are structured as per the research questions. This was intended to show how data responded to research questions thus assisting in providing clarity on the main aim of the study.

Further to the above, a reliability analysis using Cronbach's Alpha, was undertaken for questions covering key themes of the study. The key themes were:

- Familiarity and understanding of economic posture and economic policies of the provincial government
- Monitoring and evaluation systems used to ensure achievement of economic priorities
- Alignment of strategic plans with economic policy priorities

As observed below most of the Alpha values were above 0.7 which indicated a high level of reliability of the questionnaire. The following were the results for the Cronbach's Alpha Reliability Analysis:

**Table 4: Results of Cronbach's Alpha Reliability Analysis**

**Familiarity and Understanding of M&E Systems (Achievement objectives)**

Cronbach's Alpha	N of Items	Cronbach's Alpha	N of Items
.881	5	.786	3

**Alignment with Economic policy priorities**

**GSDP**

**GTERS**

Cronbach's Alpha	N of Items	Cronbach's Alpha	N of Items
.731	3	.691	3

**5.4 Data Cleaning and Transformation**

Data cleaning was done after uploading and consolidating all data from questionnaires onto one consolidated data spreadsheet. This process involved checking for spelling errors, typing errors, missing information and invalid data. A sizeable number of typing errors and incorrect font sizes were found. This process assisted in improving the quality of data.

Data transformation was conducted for data emerging from the deployment of all data collection instruments of this study.

- Data emerging from the administration of questionnaires was captured in a consolidated spreadsheet, which captured data as it was collected without summarising anything. This spreadsheet is attached as Annexure 1C. Data from this spreadsheet was captured in a summarised version, into tables as seen in the below Section 5.5.
- Data emerging from interviews was summarised according the central themes of the research questions
- Data emerging from analysis of strategic plans and analysis of implementation of the two economic policies was captured on the analysis framework

## 5.5 Results Presentation

Results presented below are a true reflection of responses by respondents who participated in answering questionnaires and in interviews. Data that emerged from document analysis, i.e. strategic plans and economic policy priorities, is also presented. Summary tables and bar graphs were largely used to present data.

### 5.5.1 Quantitative data presentation

Presentation of data that emerged from the administration of the questionnaire is presented and summarised according to the relevant research questions. The questionnaire collected data that dealt with Research Questions 1, 3 and 5.

**Research Question 1:** Does the middle and senior management structure of the Gauteng Provincial Government know and understand the economic policy priorities of the provincial government?

### Descriptive Statistics

#### Key themes and related quantitative data

##### i) Management level and experience

The total number of respondents was 41. The respondents came from five departments out of seven targeted. The following tables depict the response rate and management levels and experiences

**Table 5: Response rate and management levels and experience**

		Frequency	Percent
Valid	Economic Development	7	17%
	Enterprise Propeller	9	22%
	Human Settlements	11	27%
	Infrastructure Development	7	17%
	Roads and Transport	7	17%
	Total	41	

		Frequency	Percent
Valid	Middle	9	22%
	Senior	21	51%
	Executive	11	27%
	Total	41	

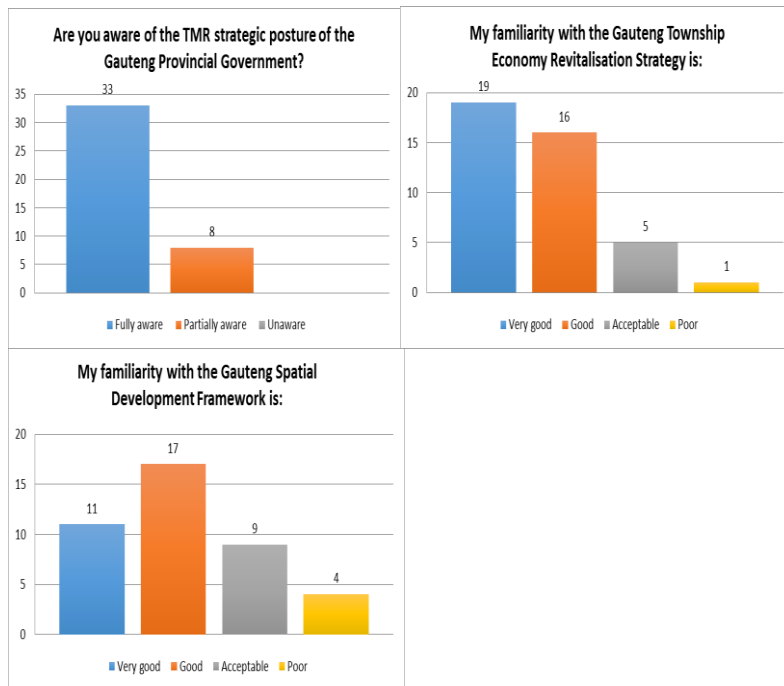
		Frequency	Percent
Valid	<5 Years	8	19%
	5-10 Years	13	32%
	>10 Years	20	49%
	Total	41	

All the respondents were largely from implementing departments rather than coordinating departments. The sample involved both the policy coordinating

departments (Provincial Treasury and Office of the Premier) and implementing departments (DED, GEP, DRT, DID and DHS). Most of the respondents were managers at senior and executive levels at 78% combined. 81% of the respondents have management experience of more than five years.

**ii) Awareness and familiarity with GPG economic posture (TMR) and economic policies (GTERS and GSDF)**

**Figure 2: Economic policy awareness and familiarity graphs**



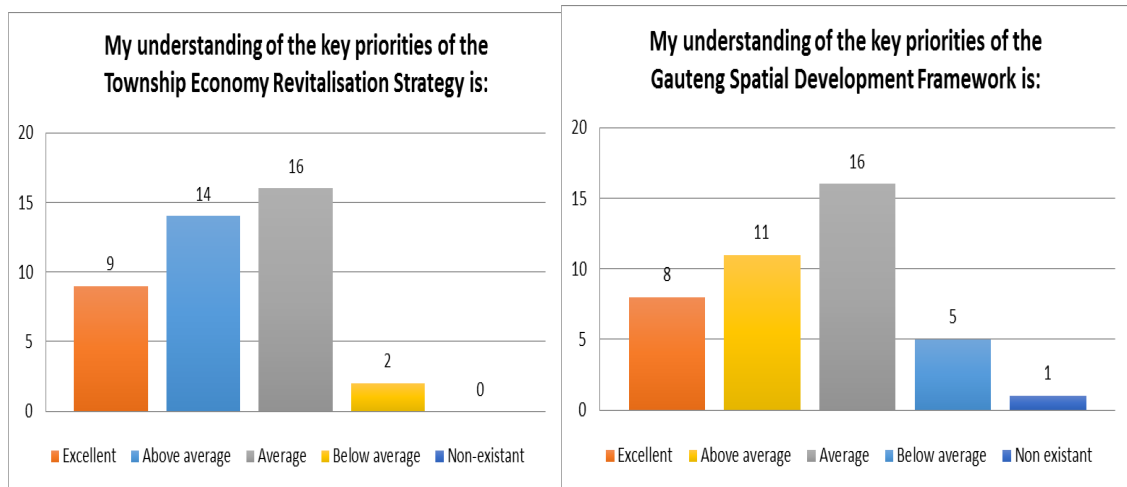
85% of respondents have a good to very good familiarity with the Gauteng Township Economy Revitalisation Strategy (GTERS) while the understanding of the Gauteng Spatial Development Framework (GSDF) ranged from good to very good with 68% of the respondents. 80% of the respondents were fully aware of the economic posture of the Gauteng Provincial Government while 20% were partially aware. The economic posture of the Gauteng Provincial Government was expressed as Transformation, Modernisation and Reindustrialisation (TMR).

**iii) Understanding of GPG’s economic policy priorities of the GTERS and GSDF**

As depicted by bar graphs below, the understanding of key economic priorities is largely average. 39% of the respondents indicated that their understanding of both the GTERS and GSDF was average while 56% of the respondents had an above average and an excellent understanding of the GTERS, 46% had an above average and an

excellent understanding of the GSDF. It should be noted that 3% of respondents had no understanding of economic priorities of the GSDF at all.

**Figure 3: Graphs showing level of understanding of key economic policy priorities**

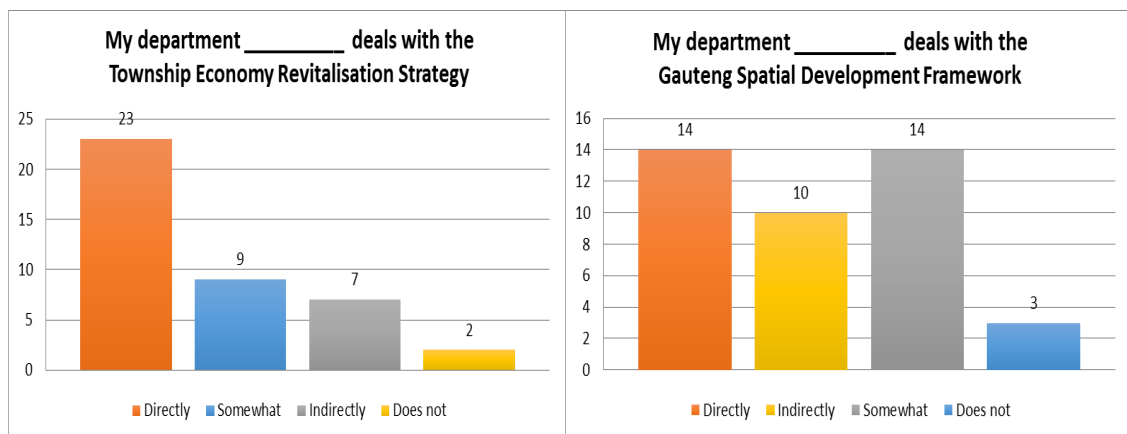


**Research Question 3:** Do strategic plans of departments reflect economic policy priorities of the provincial government?

**Key themes and related quantitative data**

**i) The extent to which departments deal with the GTERS and GSDF**

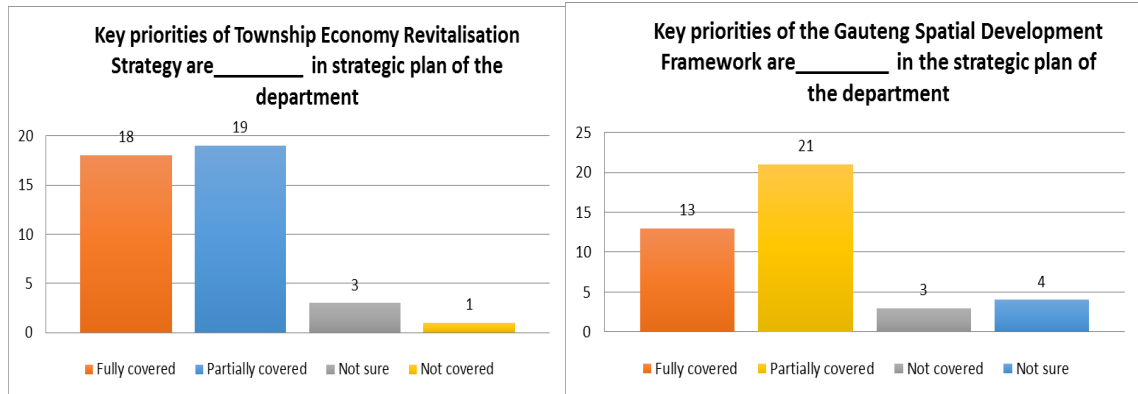
**Figure 4: Graphs showing the degree to which departments deal with economic policies**



56% of the respondents indicated that their departments dealt with the GTERS directly, with 34% indicating that their departments dealt with the GSDF directly. It should be noted that about 5% of respondents indicated that their department did not deal with the GTERS with 7% stating the same for the GSDF.

**ii) The extent to which policy priorities of the GTERS and GSDF were covered by strategic plans of departments**

**Figure 5: Graphs showing the degree to which strategic plans of departments cover economic priorities**



90% of the respondents indicated that their strategic plans cover (in varying degrees) key priorities of the GTERS with 83% indicating the same for GSDF.

**Research Question 5:** What are the systems that departments use to ensure monitoring, evaluation, reporting and communication?

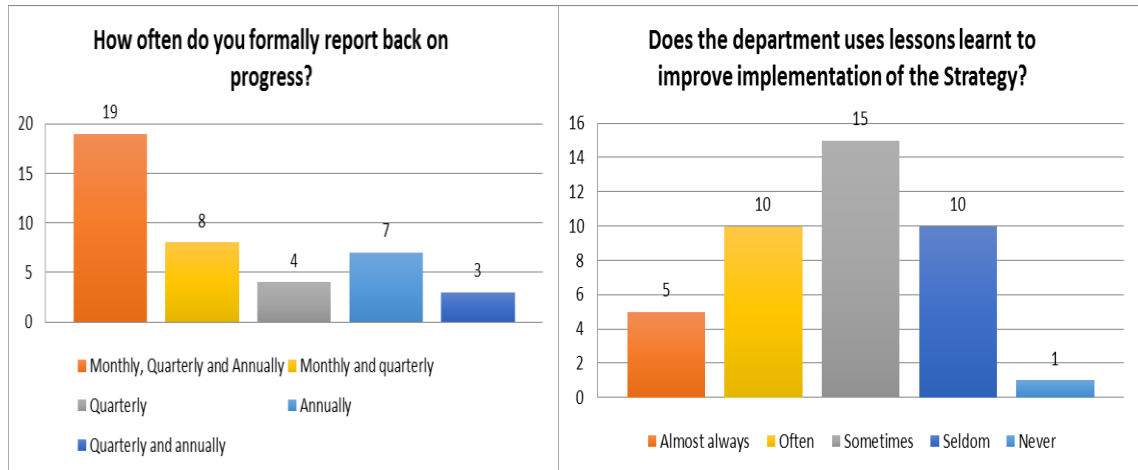
**Key themes and related quantitative data**

**i) Frequency of reporting and the extent to which departments use lessons from reports to improve implementation**

As can be seen below, 46% of the respondents indicated that reporting in their departments happened monthly, quarterly and annually but there were some, at 17% who believed that their departments reported only once. Only 12% of the respondents believed their departments used lessons learnt to improve implementation of strategy with 61% responding on the use of lesson learnt as being done seldom or sometimes.

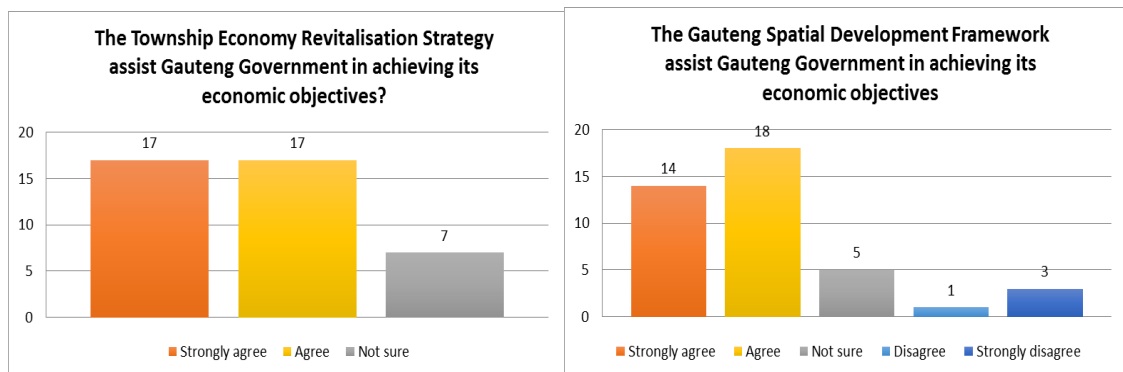


**Figure 6: Graphs showing frequency of reporting on implementation**



**ii) Belief in the GTERS and GSDF assisting GPG in achieving its economic objectives**

**Figure 7: Graphs showing attitudes of respondents regarding to usefulness of economic policies**



83% of the respondents agreed that GTERS assisted government in achieving its economic objectives and 78% said the same about the GSDF. It should be noted that about 7% believed that GSDF did not assist government.

**5.5.2 Qualitative data presentation**

Qualitative data emerged from conducting semi-structured interviews, analysing strategic plans and from the high level assessment of the implementation of the two economic policies that were central to the study.

Strategic plans of departments and government planning frameworks were analysed to explore the approach used by the departments to plan and develop their strategic plans. Data emanating from this exercise is presented first and it seeks to address the

second research question which sought to understand the strategic approach that departments used.

The interview schedule was structured such that it helped with responding to Research Questions 3, 4 and 5. It allowed senior or executive managers from the sampled departments to unpack the extent to which their departments ensured alignment of strategic plans with its economic policy priorities. This is to ensure that priorities stand a better chance of being implemented and also to unpack departments' attitude towards strategy management and the utilisation of monitoring and evaluation to improve implementation. Therefore the presentation of interview data is structured along the above research questions and the organisation of data is informed by key themes of these research questions.

#### **a) Data from strategic plan analysis for assessment of strategic planning approach**

**Research Question 2:** Which strategic planning approach do GPG departments use to develop their strategic plans and why is that approach favourable?

When gathering data to assess the strategic planning approach that the departments of the Gauteng Provincial Government used when developing their strategic plan, the following key issues were discovered:

- That planning for all levels of government had two dimensions. Planning was regulated and driven centrally while allowing institutions to consult their stakeholders, as widely as they could within regulated time frames
- The Framework for Strategic Plans and Annual Performance Plans, published in 2010 by the National Treasury regulated, prescribed and guided strategic (5-year horizon) and annual planning by national departments, provincial departments and other government agencies.
- The Framework regulated the entire planning cycle with specific deadlines for submission of plans to National and Provincial Treasuries, it also provided the basic structure and templates that guided structuring the strategic plan
- The planning cycle had three milestones. These were:
  - ✓ End of August was the deadline for the first draft of strategic plans and annual plans
  - ✓ End of November was the deadline for second draft of strategic plans and annual plans
  - ✓ End of February was the deadline for the final strategic plan

- ✓ The first draft of strategic plans informed the Medium Term Budget Statement that was delivered by the Minister of Finance between September and October and Provincial Budget Committees
- ✓ The second drafts of strategic plans informed the Government Budget tabled by Minister of Finance in February and Provincial Budgets delivered by Provincial Members of Executives responsible for Provincial Treasury

While government departments were supposed to follow the regulated planning cycle and structure, they were encouraged to undertake a consultative planning process. Departments were encouraged to consult all key stakeholders central to their mandate as they embark on the strategic planning process.

## **b) Data from Interviews**

**Research Question 3:** Do strategic plans of departments reflect economic policy priorities of the provincial government?

- *60% of the respondents indicated that their strategic plans reflected economic policy priorities with GTERS strongly reflected more than the GSDF*

## **Key theme and related qualitative data**

### ***i) Reflection of key priorities of the GTERS and/or GSDF in the department's strategic plan***

There is recognition among interview respondents that reflection of economic policy priorities in strategic plans of departments is essential for such priorities to stand a chance of being implemented. Some of the respondents acknowledged that within their departments a lot of work was being done to improve in this area. Within Department of Economic Development, Gauteng Enterprise Propeller and Human Settlements there is adequate reflection of economic priorities of either both policies or one of the policies with Human Settlements catering for both policies while Economic Development and Enterprise Propeller leaning strongly on the GTERS rather than the GSDF.

The GEP respondent stated that “*so in that sense we are very much aligned (with the GTERS). In terms of spatial development, I know that we don't have specific goals that look directly at spatial development or development in spatial nature*”.

The DED respondent argued that the GTERS was developed by the department within the planning branch. He stated that “so TER (GTERS) actually emanates from this department and specifically within the economic branch”. He further argued that the department had institutions which helped it to implement policies and one of them being the GTERS and they ensure that plans of these institutions reflect priorities of GTERS. He maintained that “all these agencies, are their plans talking to TER”... as they ensure such alignment by asking them to respond to questions like, “in that area, what are going to do for TER?” At GDHS “we do make reference to the issues that relate to the TER (GTERS)”

While GDH acknowledged the need to improve, especially on GSDF, a response from DRT showed that there was no reflection. Direct reflection and linkage was not there for departments of Infrastructure Development and Roads and Transport. DID supports the GTERS indirectly through preferential procurement.

The respondent stated that “when we procure...we push this notion of township economy” and he continued maintaining that about 30% of their budget was set aside for small companies who were mainly from townships.

For Roads and Transport, the reflection and alignment was still work in progress. This was reflected when the responded stated “and that is what we are going to try to look at because...there’s a trend to try and force Transport to be more developmentally...like for instance if you look at township revitalisation strategy and its components, it’s also about as you try to encourage transit orientated development, how do you also make sure that you build industries...”

**Research Question 4:** How does the Gauteng Provincial Government ensure alignment of strategic plans with its economic policy priorities?

- 60% of the respondents indicated that their departmental programmes were aligned to policy priorities. GTERS policy priorities were strongly aligned more than those of GSDF
- 100% of respondents indicated that their departments mobilized resources for implementation beyond their budget vote
- 50% of the respondents estimated that more than 50% of their departments’ budgets were utilised for implementing economic policy priorities

#### **Key theme and related qualitative data**

**i) The extent of the link between policy objectives and department’s programmes**

The GDHS, DED and its implementing institution, the GEP, seemed to be structured and programmed towards the achievement of the GTERS with minimal attempt on GSDF, while DID and DRT seemed to be working towards improving the linkage between objectives of GSDF and GTERS and departmental programmes. The DID respondent stated that *“but we have not made any strides there”*, while the DRT respondent stated that *“obviously the one key issue, as I said, is that we also have to reorientation ourselves...our thinking must not only be about building roads. Our thinking must be, how do we build roads that develop”*

The linkage that the DED has created moved from the TMR (provincial socio-economic posture) right down to sector strategies including the GTERS. The respondent argued that they would always ensure alignment because *“if it’s (departmental programmes) not talking to this (economic priorities) then....it’s a nice thing to have...so it should be 100% (the link), if it’s not 100% then we are not doing a good job”*. The GEP respondent stated that *“almost all our programmes are linked to the policy objectives through”*... our annual performance plans

#### **ii) Resource mobilisation for effective implementation of policy priorities**

All respondents claimed that their departments went beyond the public purse (their budget vote) to fund the implementation of economic priorities. They all raised the need to continuously engage the private sector on resource mobilisation.

DED and GEP worked strongly with the private sector using the approach of sector-specific funding and development in partnership with businesses that were key players in that sector. The department also worked with Business Schools to create a platform to engage big businesses and leverage of funding economic priorities. The department was also exploring establishing a State Bank that would raise capital for funding economic policy priorities. The respondent stated that *“so all we say is that...we don’t have enough resources to be able to make this thing work. So we need partnership with all stakeholders, mainly business”*

As much as there was consensus on the issue, the DRT respondent argued that more often than not, businesses were not willing to participate as they had a particular attitude towards government. He stated that *“I still think that there, for some reasons, maybe historic reasons, the private sector which is predominantly white, it’s still a bit far away because of their ability, and you know, even at politically issue around*

*the banks, you know, there's still those challenges. So one of the critical things is to begin to try and find a way of how do you bring them closer"*

***iii) Percentage of department's budget dedicated to implementation of policy priorities***

Given the different levels of alignment and linkages between economic priorities of the two economic policies, and strategic plans and programmes of the sampled departments, budget spending on implementing economic priorities was viewed differently. While the respondent from DRT made no mention of the specific percentage spent, DED and GDHS spoke of about 80% of the budget dedicated to policy implementation programmes with 20% set aside for other support functions, GEP indicated that between 50%-60% was dedicated to the implementation of policy priorities and DID spoke of 30% of procurement budget ring-fenced for small enterprises mainly in townships

***Research Question 5:*** What are the systems that departments use to ensure monitoring, evaluation, reporting and communication?

- *There was understanding of strategy management with all respondents and all were not convinced that their department were doing well in the area*
- *40% of respondents believed that monitoring and evaluation function linked to implementation of policy priorities*
- *100% of respondents indicated that reporting in various structures was done as means to assess implementation and achievement of policy priorities*
- *60% of respondents were not convinced that reports were utilised to improve implementation*
- *80% of respondents indicated that they communicate results of implementation progress*
- *100% of respondents believed that effective strategic planning improving implementation of policy priorities*

## **Key themes and related qualitative data:**

### **i) Understanding and practicalisation of strategy management within the department**

There is understanding of strategy management and what it entails across all those interviewed. However, the degree at which this was executed varied from one department to the next.

At DED and GDHS, there was a belief that for effective strategy management, the organisational structure should be designed to assist in strategy implementation by holding employees accountable for their performance. The respondent stated that *“that your organisational structure should be the outcome of a strategy”* and that *“so that we can be able to hold people accountable with timelines saying that under this section, this is what we need to deliver within this period”*

The DID respondent stated that *“so there is a clear understanding in terms of logic as to at what point you would begin to develop a strategy, at what point then after strategy you then translate that into annual performance and the whole value chain”*. Although not vivid enough but this showed an understanding of the value chain of strategy management. At the level of DRT, while there is clear understanding of what strategy management was about; improvements were urgently needed as poor strategy management had consistently led to underspending by the department. The respondent stated that *“for the past few years, almost every year, on average between R400 million to R500 million is transferred back to Treasury”*

### **ii) Extent to which monitoring and evaluation function links to implementation to policy priorities**

The perception of the monitoring and evaluation function linking with implementation vary among departments, with DED and GEP expressing a firm linkage, DID and GDHS citing moderate linkage while DRT indicating a poor linkage.

The DED respondent argued they met on a monthly basis, to take stock of progress made on implementation. He stated that *“so the idea is that on monthly basis the governance and oversight unit...this is what they have done to date; this where they still need to agree, this is where they are doing well, this is where they need intervention...”*. At the level of DID, while there was monitoring that assisted with



priorities for improved implementation, there was a need to improve on impact evaluation. GDHS indicated that *“while it’s happening at this point, it has to improve”*

### **iii) Systems to assess implementation and achievement of policy priorities**

All respondents indicated that reporting in various structures was the way in which they assessed implementation. Within DED and GEP, central to the assessment of implementation is the political office with the Member of Executive Council (MEC) holding everyone accountable. The respondent stated that *“what is happening is that on monthly basis we meet with the MEC, with the CEOs of all (implementing) agencies where we present progress on implementation”*.

Because of the priority nature of the GTERS to economic development, the department established inter-governmental structures where municipalities and other departments report on implementation. At GEP management structures were also used to assess implementation and it was where the reports would be presented

DID used a lot of monitoring with little or no evaluation of impact. During the interview, the respondent agreed with the interviewer’s interpretation that there was more monitoring which was routine checking of implementation, but there was not much of evaluation. DRT argued along the same lines as the respondent stating that *“we don’t look at issues of impact”*. At GDHS reports were produced but not effectively utilised

### **iv) Utilisation of monitoring and evaluation reports to improve implementation**

GDHS, DRT and DRT were not convinced that reports were utilised to improve implementation while respondents from DED and DID believed that monitoring reports were being produced and they assisted to improving implementation. The respondent from DRT thought that the department’s monitoring function promoted malicious compliance and had very little assistance in improving implementation.

DED stated that *“like I said, reports are in the form of presentations and those reports...help us to make collective measures on how can we help each other...is there something we can do collectively to assists each other”* this showed that monitoring reports were used to improve implementation.

A statement by the respondent from DID also revealed what the respondent wished M&E reports could do, *“so that’s where monitoring becomes critical because you then, as you make sure that all was has been committed is still achieved against the plan.*



*What are barriers, what are bottlenecks?"* The respondent from DRT argued that the department had a weak monitoring system and that they lacked accurate data, and monitoring was *"compliance orientated rather than strategically orientated"*. He stated that *"you have somebody that is responsible for monitoring and evaluation. That person sometimes does not even know anything about transport. That person only cares about did you submit the report and nothing about the content of the report"*. Emerging from GDH was a comment that *"they (reports) go to the office of the HOD but nobody knows exactly what happens"*

**v) Communication of implementation progress (successes and challenges)**

Respondents of DED, GEP, GDHS and DID maintained that, as much as their communication of strategy and performance needed to be improved, it was happening through community engagements, legislature and other published documents like annual reports. Nothing was mentioned by DRT respondent regarding communication of strategy and performance of the department.

**vi) Perception of effective strategic planning improving implementation of priorities**

All respondents believed that effective strategic planning in government would assist in improving implementation of policy priorities. The respondent from DID stated that *"once your planning is not correct, then it means you are not going to get the desired outputs"* and the respondent from DRT advocated for inclusive strategic planning to improve implementation stating that *"we don't try to spend time in planning strategically....so the issue is that both from making sure that we achieve the objectives and improve on project management, it's very, very important that we think through making a decision and must make sure that you bring everybody that you need on-board"*

The perception that effective strategic planning improves the implementation of economic policy priorities provides an understanding that there was some acknowledgement amongst managers, that proper planning aligned to policy objectives was central in achieving the prioritised objectives of economic policies. However, this was currently not happening as it should

**c) Presentation of data from analysis of strategic plans of GPG departments**

The table below provides an analysis of strategic plans of the sampled departments. The aim was to establish the extent to which strategic plans of departments reflect policy priorities of the GTERS and GSDF as one of the key economic policies of provincial government. The aim was also to check whether there was any form of performance assessment or monitoring planned to monitor the extent of implementation.

Strategic Plans of GEP and Provincial Treasury had no link with the GSDF both for planning for implementation and for monitoring of implementation. Strategic Plans of GDRT and GDHS had no link with the GTERS both for planning for implementation and for monitoring of implementation. Most departments struggled to provide measurement of implementation.

## Presentation of data from analysis of strategic plans of GPG departments

The following data respond to research question 3 and 5 which deal with (3) prevalence of economic priorities in strategic plans and (5) monitoring of implementation

**Table 6: Analysis framework**

Policies central to alignment analysis and their visions/aims	Key Policy Objectives to be achieved	Department	Evidence of prevalence of Key Policy Objectives in the Strategic Plan of Department	Evidence of measurement of implementation within the Strategic Plan,
<b>1. Gauteng Township Economy Revitalisation Strategy</b> <b>VISION/AIM:</b> A dynamic and sustainable township enterprises with the objective of building and inclusive labour absorbing and growing economy and this will be achieved through: <ul style="list-style-type: none"> <li>Ensuring that township economy contributes at least 30% of Gauteng GDP</li> <li>Improving coordination across all spheres of government to maximise benefits of existing and new initiatives</li> <li>Transforming townships into sites of productive activities</li> <li>Contributing to socially inclusive wealth creation</li> <li>Fostering sustainable livelihoods through active citizenship</li> </ul> <b>(Gauteng Township Economy Revitalisation Strategy 2014-2016)</b>	<b>1. Gauteng Township Economy Revitalisation Strategy</b> <b>POLICY OBJECTIVES:</b> <ol style="list-style-type: none"> <li>Contribution of 30% into the Gauteng GDP by the township economy</li> <li>Ensuring appropriate and legal and regulatory framework for township enterprises</li> <li>Promoting manufacturing and productive activities</li> <li>Develop infrastructure support and clustered enterprise development</li> <li>Embark on entrepreneurship development</li> <li>Promote financing and investment in township economy</li> <li>Ensuring access to markets</li> <li>Promotion of innovation and indigenous knowledge systems</li> </ol> <b>2. Gauteng Spatial Development Framework</b> <b>POLICY OBJECTIVES:</b> <ol style="list-style-type: none"> <li>Achieve spatial transformation</li> <li>Provide direction for investment purposes</li> <li>Identifying where the province's socio-economic development needs are most pressing</li> <li>Channel public investment into priority areas</li> </ol>	<b>Economic Development</b>	<b>Gauteng Township Economy Revitalisation Strategy</b>	<b>Gauteng Township Economy Revitalisation Strategy</b>
		<b>Gauteng Spatial Development Framework</b>	<b>Gauteng Spatial Development Framework</b>	
		<b>Enterprise Propeller (Implementing Agent of Economic Development)</b>	<b>Gauteng Township Economy Revitalisation Strategy</b> One of the core function and strategic goals of the Gauteng Enterprise Propeller is to contribute to and facilitate revitalisation of Gauteng's township economies (p. 22)	<b>Gauteng Township Economy Revitalisation Strategy</b> There is clear evidence of measurement which include financial support, training and development and awards
		<b>Gauteng Spatial Development Framework</b> There is no direct link between the strategic plan of GEP and GSDF.	<b>Gauteng Spatial Development Framework</b> There is no evidence of measurement of implementation for the GSDF	
		<b>Roads and Transport (APP)</b>	<b>Gauteng Township Economy Revitalisation Strategy</b> There is no direct link between the strategic plan of GDRT and GTERS.	<b>Gauteng Township Economy Revitalisation Strategy</b> There is no evidence of measurement of implementation for the GTERS
		<b>Gauteng Spatial Development Framework</b> The Annual Performance Plan (which is an annualised strategy) of the department prioritises land use development as part of supporting the implementation of GSDF	<b>Gauteng Spatial Development Framework</b> There is no evidence of measurement of implementation for the GSDF	
		<b>Infrastructure Development</b>	<b>Gauteng Township Economy Revitalisation Strategy</b> The department makes a commitment to contribute to the revitalisation and mainstreaming of township economy by supporting the development of township enterprises (p. 36) As part of its strategic pillars, this department plans to manage state assets to support township economies	<b>Gauteng Township Economy Revitalisation Strategy</b> Measurements are not clear
		<b>Gauteng Spatial Development Framework</b> The department makes a commitment to radically transforming the spaces people live in by connecting and integrating places of work and human settlements (p.36)	<b>Gauteng Spatial Development Framework</b> Measurements are not clear	

Policies central to alignment analysis and their visions/aims	Key Policy Objectives to be achieved	Department	Evidence of prevalence of Key Policy Objectives in the Strategic Plan of Department	Evidence of measurement of implementation within the Strategic Plan,
environments, agricultural resources, large scale housing projects and significant economic interventions <ul style="list-style-type: none"> <li>It assist with spatial targeting which is about identifying where the province's socio-economic development needs are most pressing and</li> <li>It assist to channel public investment into priority areas and align capital investment programmes of different government departments</li> </ul> <b>(Gauteng Spatial Development Framework 2030)</b>			The department plans to establish a planning house which will be central to the implementation of the GSDF and the realisation of its objectives	
		<b>Human Settlements</b>	<b>Gauteng Township Economy Revitalisation Strategy</b> There is no direct link between the strategic plan of GDHS and GSDF.	<b>Gauteng Township Economy Revitalisation Strategy</b> There is no evidence of measurement of implementation for the GTERS
			<b>Gauteng Spatial Development Framework</b> One of the key aims of the department is to systematically change the entrenched apartheid spatial patterns that resulted in social inequality and economic inefficiencies. The department plans to do this by implementing Mega Human Settlements	<b>Gauteng Spatial Development Framework</b> There is clear evidence of measurements including indicators and targets on purchasing well located land and building of mega-projects in well located land
		<b>Treasury</b>	<b>Gauteng Township Economy Revitalisation Strategy</b> There is explicit commitment to fund the implementation of the strategy. The strategic plan further explain how it will work with Department of Economic Development in providing support to small businesses in townships (p.36)	<b>Gauteng Township Economy Revitalisation Strategy</b> There is evidence of measurement with indicators and targets on registration of township SMMEs on government database and on other capacity enabling initiatives (p. 37)
			<b>Gauteng Spatial Development Framework</b> There is no direct link between the strategic plan of Gauteng Treasury and GSDF.	<b>Gauteng Spatial Development Framework</b> There is no evidence of measurement of implementation for the GSDF
		<b>Premier</b>	<b>Gauteng Township Economy Revitalisation Strategy</b>  Strategic Plan could not be found	<b>Gauteng Township Economy Revitalisation Strategy</b>  Strategic Plan could not be found
	<b>Gauteng Spatial Development Framework</b>  Strategic Plan could not be found	<b>Gauteng Spatial Development Framework</b>  Strategic Plan could not be found		

#### **d) Presentation of data from analysis of implementation of GTERS and GSDF**

The economic posture of the Gauteng Provincial Government was captured by the TMR Strategy which was about transforming, modernising and re-industrialising the economy of the province. The TMR strategy was informed by the National Development Plan (NDP) and it served to provide what the Gauteng Provincial Government prioritised for implementation of the NDP. The following were pillars of the TMR Strategy:

- Radical Economic Transformation
- Decisive Spatial Transformation
- Re-industrialisation of Gauteng Province
- Modernisation of the economy
- Modernisation of human settlements and urban development
- Modernisation of public transport infrastructure
- Modernisation of public service
- Taking the lead in Africa's new industrial revolution
- Accelerated social transformation

The Gauteng Township Economy Revitalisation Strategy (GTERS) linked directly with the radical economic transformation pillar while the Gauteng Spatial Development Framework (GSDF) linked directly with decisive spatial transformation pillar. The reporting on progress regarding implementation of these policies, the Gauteng Office of the Premier used a monitoring system called GPG Programme of Action which pulled together key indicators of policy priorities and measure implementation thereof

#### **Implementation progress on the implementation of the GTERS**

According to the Gauteng Office of the Premier (2017) there was good progress in the implementation of the Gauteng Township Economy Revitalisation Strategy. Notable progress included improved performance on economic infrastructure support with 7 industrial hubs refurbished. There was great improvement on support to SMMEs & cooperatives with Non-financial support to existing cooperatives at 60% and financial support at 71% (78/110). In the last three years 3449 SMMEs and Cooperatives had been given financial support with 14 987 offered non-financial support

Government also improved their spending on township enterprises with 19, 5 of the budget having been spent on this sector. There was an increase in the number of

township suppliers registered on GPG database. Township suppliers used increased from 642 to 3014 from 2014/15 to 2016/17

### **Implementation progress on the implementation of the GSDF**

According to the Gauteng Office of the Premier (2017), the Gauteng Spatial Development Framework saw partial implementation with the following registered as progress:

- 3 provincial plans and 11 municipal plans were assessed and mainstreamed
- Corridor developments have progressed, including launch of the Mall of Africa in April 2016.
- Mixed use developments in progress along Louis Botha Avenue and urban renewal of Turfontein corridor underway
- The approval of Ekurhuleni's Aerotropolis Masterplan undergoing final review by the Metro.

### **5.6 Conclusion**

This chapter captured all the data collected using the various data collection methods which were in line with the mixed method approach to research. Consolidated quantitative data spreadsheet as well as interview transcripts were added as annexures. The intention was to provide sources for reference purposes. Key issues that emerged include the following:

- There was general familiarity, among managers, with the economic posture and economic policies of the Gauteng Provincial Government
- There was a prescribed way of undertaking the strategic planning process within government
- There was recognition among interview respondents that reflection of economic policy priorities in strategic plans of departments is essential for such priorities to be implemented
- Most department programmes were structured towards the implementation of the GTERS more than they were for the GSDF
- There was recognition that government departments needed to go beyond the public purse (their budget vote) to fund the implementation of economic priorities.
- There was understanding of strategy management and what it entails, however, the degree at which this was executed varied from one department to the next.
- While monitoring reports were generated, they were not effectively used to inform improvement of performance regarding implementation

- Effective strategic planning in government would assist in improving implementation of policy priorities.

## CHAPTER 6: DISCUSSION OF RESULTS

### 6.1 Introduction

This chapter provides a discussion of the results presented in Chapter Five. It links the results discovered through data collection with theory in Chapter Two and the aims of the study in Chapter Three. The discussion within this chapter is structured along the themes of the research questions. Both quantitative and qualitative data is discussed under each of the research questions. By structuring the discussion along the research question, the chapter will unpack the extent to which the research objectives have been met. The discussion will also be pull themes that emerged during data collection and package it with the theory that was central in the literature review.

### 6.2 Reflection on Key Issues

The central issue of the study is the synergy that should exist between strategic plans of departments and economic policy priorities of the Gauteng Provincial Government and their implementation thereof. Such synergy should exist because the work of government departments is embodied in their strategic plans and their implementation. Government departments do not embark on activities that are not informed by their strategic plans. In short, what is not in the strategic plan does not get implemented. Therefore for economic policy priorities to stand a better chance of being implemented, they should to be mapped within the strategic plans of departments as goals that should be realised, outcomes that should be achieved and outputs that should be delivered.

The presence of economic policy priorities in departments' strategic plans as goals, outcomes and outputs does not guarantee effective implementation. The strategic plan needs to be implemented and its implementation monitored to continuously assess the level of performance in the achievement of planned results. Such results would be outcomes and outputs that directly link to the economic policy priorities.

In trying to understand the synergy between strategic plans of the provincial departments and economic policy priorities and their implementation, five critical questions had to be asked and these were:

- Does the middle and senior management structure of the Gauteng Provincial Government know and understand the economic policy priorities of the provincial government?



- Which strategic planning approach do GPG departments use to develop their strategic plans and why is that approach favourable?
- Do strategic plans of departments reflect economic policy priorities of the provincial government?
- How does the Gauteng Provincial Government ensure alignment of strategic plans with its economic policy priorities?
- What are the systems that departments use to ensure monitoring, evaluation, reporting and communication?

A high level review of annual reports of the sampled departments was conducted to ascertain the level of implementation and achievement of economic policy priorities with specific reference to the two economic policies

### **6.3 Discussing Results**

#### **Research Question 1:**

*Does the middle and senior management structure of the Gauteng Provincial Government know and understand the economic policy priorities of the provincial government?*

Knowledge and understanding of economic policy priorities by the management of provincial government is central to the success of their implementation. The two provincial economic policies central to the study were Gauteng Township Economy Revitalisation Strategy (GTERS) and Gauteng Spatial Development Framework (GSDF). Given the possibility of professionals or public servants unwillingness to implement new policies, something Tummers (2011) defined as “policy alienation” it would be important to ensure that there was involvement of, and buy-in from management in policy discourse. That would go beyond ensuring knowledge and understanding of relevant economic policies; it would also ensure ownership and implementation. Of importance in Tummers (2011) articulation of policy alienation was the need to be cognisance of the role of government officials in policy implementation.

As part of knowledge and understanding of policy priorities, managers should understand and be part of the process of developing economic policy priorities. Policy priorities-setting, as defined by Schments, Rajan and Kadandale (2016) is an essential prerequisite for strategic planning by management of government departments, as it provides key milestones, goals, outcomes and objectives for strategic planning process.

This study revealed high levels of awareness of and familiarity with both the economic posture and economic policy priorities of the provincial government. This study has also revealed that the understanding of key economic priorities was above average.

*Given the above, this study found that, at most, the GPG management structure was familiar with the economic policies of government; however their understanding of economic policy priorities needed to improve.* This clearly showed that familiarity with economic policies would not automatically mean clear understanding of economic priorities of those policies

### **Research Question 2:**

*Which strategic planning approach do GPG departments use to develop their strategic plans and why is that approach favourable?*

The Framework for Strategic Plans and Annual Performance, published by National Treasury in 2010, instructed each department to produce a five year strategic plan, which was aligned with government's strategic direction as expressed in the Medium Term Strategic Framework. It further emphasised that the process should start with each new electoral cycle when a new government produces a new programme of action.

Favoreu, Carassus and Maurel (2015), argued that there were three types of strategic approaches prevalent within the public administration sector and these were rational approach, political approach and collaborative approach. In defining these approaches Favoreu, Carassus and Maurel (2015) explained that:

- In Rational Approach, strategy was a result of an intellectual methodology of reflection and design, and is organised in a sequential, structured process that guarantees objectivity and rationality, and thus the effectiveness of the strategic choice.
- In Political Approach the process was governed by the rationality that planning is constrained or limited by the intellectual ability and cognitive bias particular to each individual.
- In Collaborative Approach, strategy was a result of an organised and structured process through which inter-organisational and multi-player groups, both public and private, develop, implement and evaluate collective strategies

The rational approach as defined by Favoreu, Carassus and Maurel (2015), could find resonance with the view of strategic planning as a decision-making process whose aim was to decide what was to be done with everybody knowing what to do (Bunning, 1992). Further to that, it could be argued that the rational strategic planning approach was informed by a “top-down” policy implementation as defined by Matland (1995)

This study revealed that:

- Planning was regulated and driven centrally while allowing institutions to consult their stakeholders, as widely as they could within regulated time frames
- The Framework for Strategic Plans and Annual Performance Plans, published in 2010 by the National Treasury regulated, prescribed and guided strategic planning by government departments.
- The Framework regulated the entire planning cycle with specific deadlines for submission of plans to National and Provincial Treasuries, it also provided the basic structure and templates that guided structuring the strategic plan
- While government departments were supposed to follow the regulated planning cycle and structure, they were encouraged to undertake a consultative planning process.

*Given the above, this study found that, at most, the strategic planning approach that provincial departments used when planning, was more of a rational approach with traces of the collaborative approach as there was allowance to for consultation of stakeholders.*

### **Research Question 3:**

*Do strategic plans of departments reflect economic policy priorities of the provincial government?*

Alignment of strategic plans of GPG departments with economic priorities of the provincial government was explored at two levels. Firstly, it was the expression and reflection of economic priorities in the strategic plans of departments (third research question). Secondly, beyond mere expression and explanation of economic priorities, what efforts had the department made to ensure actual alignment between strategy and economic priorities (fourth research question) with regards to integrating economic priorities within the departmental programmes and resource mobilisation to ensure implementation?

The literature revealed that the gap between policy priorities or goals and actual achievements of these priorities or goals needed to be strengthened. As cited earlier, Zittoun (2015) argued that lack of coordination between expected and achieved goals would result into policy failure. May (2015) warned of administrative hurdles reinforcing challenges and failures of multi-actor and multi-layer implementation of policies. Therefore, there was a need to ensure synergy between the political level and administrative level. Walker, Jung and Boyne (2013) advised that the political level was there to drive the policy agenda while the administration was there to implement what the political level would have prioritised. He further argued that the link between policy priorities, which is a political process and strategic planning, which is an administrative process, contributed to successful organisational performance.

Thus, lack of proper coordination and alignment between what has been prioritised as economic priorities and strategies of the implementing institution would only result in the lack of implementation of economic priorities.

This study revealed strategic plans reflected economic policy priorities with GTERS strongly reflected more than the GSDF. Also from the data that emerged from analysing strategic plans of the sampled departments, it became clear that the majority of departments articulated and expressed economic policy priorities of one or both economic policies of the provincial government.

*Given the above, this study found that, at most, strategic plans of GPG departments reflected economic policy priorities with, GTERS reflecting more strongly than the GSDF. This shows that there was recognition among departments that reflection of economic policy priorities in strategic plans of departments was essential for such priorities to be implemented.*

#### **Research Question 4:**

*How does the Gauteng Provincial Government ensure alignment of strategic plans with its economic policy priorities?*

Expression and reflection of economic policy priorities in the strategic plans of departments as expressed in the third research question was the first level of alignment. However, to ensure implementation, institutions should go beyond stating priorities and make sure that such priorities are institutionalised through departmental programmes with specific outcomes and outputs planned for delivery. This brought to the fore the essence of the fourth research question which sought to understand the

actual alignment between economic priorities and strategic plans of departments, by exploring whether programmes and resource mobilisation efforts of department worked towards implementation of the economic priorities

Explored literature revealed that strategic planning was essential in translating policy priorities into government programmes that needed to be implemented by government departments. Schmidt (2015) argued for policy priorities and planning to be combined to form an organisation's primary decision-making apparatus. Noting definitions of policy implementation by Hupe and Hill (2015) it was clear that for economic policy priorities to be implemented by government departments, they needed to be articulated in the form of a plan and/or procedure. The strategic planning process should assist in the articulation of the required plan. Mothae and Sindane (2007) argued that policy provided information for strategic, operational and financial plans on the appropriate goals and objectives to be pursued. Therefore, the translation of the policy vision and objectives should be done by government departments through a process of strategic planning, the result of which should be a strategic plan that must be implemented and effectively monitored in order to yield planned outcomes.

This study revealed that in the majority of the departments, programmes were aligned to policy priorities, with GTERS policy priorities having a stronger alignment, most departments mobilised resources for implementation beyond their budget vote and that more than 50% of budget was utilised for implementing economic policy priorities.

*Given the above, this study found that, at most, provincial departments planned for the implementation of economic policy priorities, with GTERS having the most emphasis. They ensured that by structuring their programmes to align with economic priorities, mobilised resources for implementation beyond the budget vote and ensure a bigger chunk of the budget was dedicated to the implementation of economic priorities*

This finding was in line with the assertion by Hupe (2011) that in cases where little or insufficient resources are allocated for policy implementation, one was bound to experience obstacles in the way of stated policy goals. The only challenge with regards to resource mobilisation was that all respondents responded with an understanding that "resources" only meant financial resources. There was no mention of other forms of resources like human resources and infrastructure.

### **Research Question 5:**

*What are the systems that departments use to ensure monitoring, evaluation, reporting and communication?*

This research question sought to discover basic tools and systems that the departments used to ensure the implementation of economic policy priorities. It has been argued in this study that there was a need to align strategic plans of departments with priorities of economic policies to ensure that such priorities stand a better chance of being implemented. The argument continued stating that when implemented, effective monitoring systems should be utilised to establish whether success was achieved. Such position is etched in Poister, Pasha and Edwards (2013) who described the relationship between strategic planning, implementation, monitoring and improved performance, by asserting that when goals are established through strategic planning process, effective monitoring of implementation would generate useful information that could be utilised by programme managers to make better decisions leading to improved better performance.

Given the argument by Ayob and Morell (2016) that monitoring and evaluation was undertaken to review a programme by explaining how the programme was implemented, how it operated, what it accomplished and what would be needed to improve it; it could be argued that monitoring and evaluation systems would assist in ensuring what May (2015) explained as consistency of actions in addressing a given set of policy problems (policy coherence) and sustainability of political commitments over time (policy durability). If monitoring was the collection and analysis of information about the programme while being implemented, and evaluation being periodic assessments of completed or ongoing programmes (School of Geography and Environment, 2014), then monitoring and evaluation functions of departments needed to be strengthened and aligned to the implementation of economic policy priorities

Monitoring and evaluation systems should be viewed as part of strategic management. Favoreu, Carassus and Maurel (2015) and Bryson (2010) in defining strategic management, implied that strategic management was about the entire value chain of strategy, and the value chain would include development of strategy, resource allocation for implementation purposes, actual implementation, monitoring, evaluation, reporting and communication of results, with all of this feeding back to improve organisational performance. Poister, Pasha and Edwards (2013) believed that performance management resulted in even stronger performances due to consistency in both goal clarification and performance monitoring. Therefore, at the centre of

performance management is monitoring and evaluation, where there is assessment of implementation or performance with the aim of improvement, where needed. Marra (2016) argued that evaluation should be considered a craft to improve employees' and organisational performance and enhance effectiveness of programmes against waste and corruption

The study revealed that a clear understanding of what strategy management was about but departments were doing well in the management of strategy. It also revealed that reporting on implementation through monitoring reports was done but such reports were not effectively utilised to improve implementation.

Quantitative data showed that while the majority indicated that there was frequent reporting with 46% indicating that reporting in their departments happened monthly, quarterly and annually, only 12% of the respondents believed their departments used lessons learnt to improve implementation of strategy.

*Given the above, this study found that, at most, monitoring which was routine assessment of implementation, was the main tool used by departments to ensure monitoring, evaluation, reporting and communication. There was a belief that such reports were not utilised properly to improve implementation and that the monitoring function did not adequately link its work to the implementation of economic policy priorities.* It also emerge that while there was adequate understanding of what strategy management, departments were not managing strategically.

#### **6.4 Conclusion**

In pulling all of this together, an argument was raised here that synergy between policy priorities, strategic planning and monitoring and evaluation could be viewed as synergy between politics and administration with policy priorities being at political level and strategic planning and monitoring and evaluation at administration level. Even though politicians and political interests designed bureaucratic structures to advance political goals (Moynihan and Soss, 2014), alignment between politicians and managers was critical for public service performance (Walker, et al, 2013). Therefore, for the implementation of policy priorities to happen, managers in government departments need to undertake strategic planning whose purpose is to craft a broad, long-term orientation to how government departments should conduct its operations (Walker, Andrews, Boyne et al, 2010).

In linking all core issues of the study, (i.e. economic policy priorities of GPG, strategic planning by provincial government departments and monitoring and evaluation to improve implementation), questionnaire respondents had to respond to a question which checked if they believed that both GTERS and GSDF assisted GPG in achieving its economic objectives and the interview respondents had to respond to a question which checked if they believed that effective strategic planning improved implementation of policy priorities. This study found that, there was a belief by the majority that, effective strategic planning in government would assist in improving implementation of economic policy priorities and that the two economic policies helped GPG achieved its economic objectives.



## CHAPTER 7: CONCLUSION

### 7.1 Introduction

In this chapter the key findings of the research are cohesively pulled together. The chapter highlights recommendations and implications to relevant stakeholders. Limitations of the research and suggestions for future research are also raised in this chapter.

### 7.2 Principal Findings

The following is the summary of findings of this study:

#### **Finding One:**

*The management structure of the Gauteng Provincial Government was familiar with the economic policies of government; however their understanding of economic policy priorities needed to improve.*

The above clearly showed that familiarity with economic policies would not automatically mean clear understanding of economic priorities of those policies. Given that the argument by Schments, Rajan and Kadandale (2016) that policy priorities and their setting provided key milestone for strategic planning and that strategic options were weighed during the priority-setting process, it becomes important for GPG management core to go beyond just being familiar with the economic priorities of government and to ensure full understanding so that strategic planning processes of their departments are aligned to economic policy priorities thus ensuring a better chance of implementation

#### **Finding Two**

*The strategic planning approach that the provincial departments used when planning was more of a rational approach with traces of a collaborative approach as there was allowance to for consultation of stakeholders*

Favoreu et al. (2015) explained the different approaches to strategic planning. These were rational approach, political approach and collaborative approach. For the strategic planning process to be meaningful, it was argued here that it should encompass good features of all three approaches. By encompassing all three approaches, the process

of strategic planning would be an intellectual exercise that was both reflective and forecasting and taking into account the intellectual economy within the organisation and involving relevant stakeholders to ensure buy-in and ownership of the strategy.

### **Finding Three**

*Strategic plans of GPG departments reflected economic policy priorities with GTERS strongly reflected more than the GSDF*

For economic policy priorities to stand a better chance at being implemented, they need to inform the central content of the strategic plan. The outcomes as captured by the strategic plan, should be directly linked to policy priorities. Brynard (2005) linked policy implementation and strategic planning when he argued that policy implementation was considered an accomplishment of policy objectives through the planning process so that the agreed upon outcomes and desired impact were achieved.

### **Finding Four**

*Provincial departments planned for the implementation of economic policy priorities with GTERS having the most emphasis as compared to GSDF.*

The argument by Mothae and Sindane (2007) that public policy provides information for strategic, operational and financial plans that informed the decisions made on the appropriate goals and objectives to be pursued, indicated that departments needed to deliberately plan for the achievement of economic policy priorities

### **Finding Five**

*Monitoring reports were not utilised to improve implementation and that the monitoring function was not adequately linking its work to implementation of economic policy priorities.*

Marra (2017) argued that evaluation should be considered as a craft to improve employees' and organisational performance and enhance effectiveness of programmes against waste and corruption. At the centre of performance management is monitoring and evaluation where implementation and performance are assessed with the aim of improving in cases where such is needed.

## **Finding Six**

*Effective strategic planning in government would assist in improving implementation of policy priorities*

Given this finding and as argued by Boyne and Walker (2010) that since strategy set a direction for collective effort towards the achievement of desired goals and promoted consistency in management processes, its implementation and management assisted in the achievement of planned goals which are aligned to policy priorities.

## **Finding Seven**

*The management structure of the GPG has an adequate understanding of what strategy management was about but departments, as institutions were not managing strategically such that they ensured reasonable integration of strategic planning, resource deployment and implementation across an organisation*

If the management structures of provincial government were to be effective in managing strategically, all the necessary levers for successful implementation of economic policy priorities would be efficiently and effectively deployed. Bryson (2010) argued that strategic management was about the appropriate and reasonable integration of strategic planning and implementation across an organisation, to enhance the fulfilment of the organisation's mission, meeting of mandates, and sustained creation of public value.

Given the reviewed literature and the findings of this study in response to research topic, it could be deduced that the synergy between strategic plans of GPG departments and GPG economic policy priorities existed to a greater degree and while implementation of these priorities was prevalent, such implementation could be improved if there were to be appropriate and effective utilisation of monitoring and evaluation systems. Implementation of economic policies needed to be informed more by data and information emerging from the monitoring and evaluation reports and other instruments to ensure up-scaled departmental performance in achieving economic policies

## 7.3 Management Implications

### 7.3.1 Economic policy implementation issues

Since policy implementation is the ultimate realisation of policy goals (Hupe and Hill, 2015), managers in the public service should strive to be part of policy debates and make real and meaningful contributions to the crafting of policy. This will ensure that they drive the implementation of policy content that they know. Their lack of participation could result in policy alienation which is the unwillingness to implement policies (Tummers, 2011) and policy divergence where their departments end up following a direction not in accordance with the political decisions of the legislature (Oosterwaal and Torenvlied, 2011).

Policy divergence and policy alienation will derail the implementation of economic policy priorities and stifle the necessary upward trajectory of economic growth; ***therefore government management core should be policy activists and become developers of policies rather than submissive implementers of policies.***

### 7.3.2 Strategic management

Strategic management is about the whole value chain of strategy, from the strategic planning process which produces a departmental strategy, to mobilisation and deployment of departmental resources for effective implementation of strategy, to performance management through monitoring and evaluation systems that are reliable and effective enough to generate data and information for proper decision making that will further improve achievement of results. Favoreu, Carassus and Maurel (2015) argued that strategic management was an organised and structured process through which an organisation develops, implement and evaluate its strategy.

***Therefore for economic policy priorities to be achieved, departments whose task is to implement these priorities need to have the management core that is able to manage strategically***

### 7.3.3 Significance of monitoring and evaluation

Ayob and Morell (2016) argued that monitoring and evaluation was undertaken to explain how the programme was implemented, how it operated, what it accomplished and what would be needed to improve it. This study found that monitoring and evaluation was central to the achievement of economic policy priorities as it contributed

to improved organisational performance. This study also found that monitoring and evaluation reports were not effectively used to improve implementation.

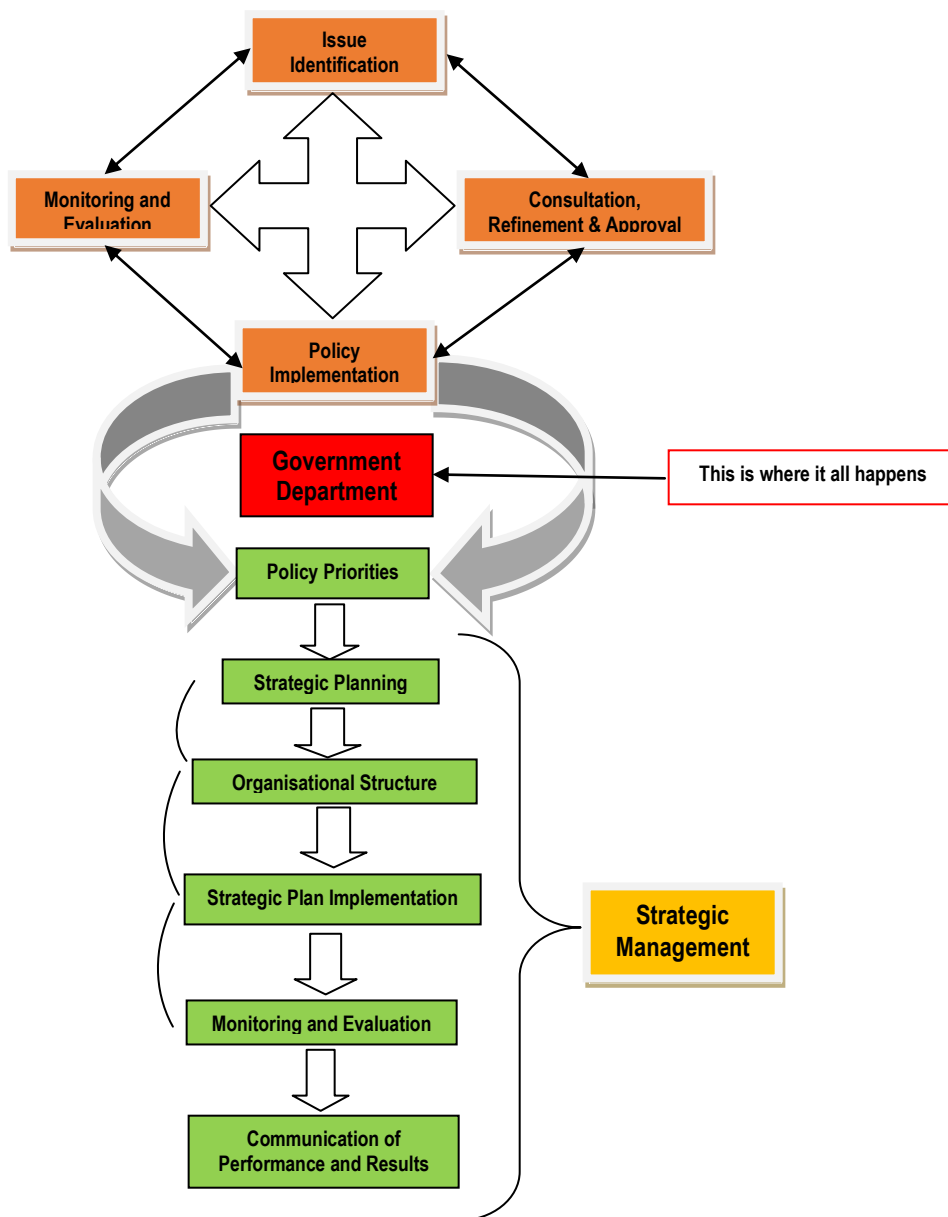
Given that monitoring and evaluation was an important management tool for policy planners and implementers, ***it is therefore important that management meetings should be focused meetings whose agenda is to look at what has been reported regarding implementation of planned actions, identify gaps and decide on measures for improvement.*** Such discussions should be guided by the strategy of the department; they should be about “how far are we regarding the implementation of strategy”.

#### **7.3.4 Appreciating the synergy between policy priorities, strategic planning and monitoring and evaluation**

The Policy Priorities-Strategic Management Model shown below (and discussed earlier in this report) elucidates how the synergy between policy priorities, strategic planning and monitoring and evaluation manifests itself through government departments. It shows such linkage starting from policy implementation, as part of the policy process, to deciding on policy priorities, to strategic planning by departments which needs to map how policy priorities will be implemented, to organisational structural adjustments that will ensure that the organisation is structured as an enabler for strategy implementation, to strategy implementation with consistent monitoring and evaluation for improved organisational performance to achieve planned outcomes that are linked to policy priorities

The model shows that as much as policy development has its own discourse, its primary objective is to come up with policy choices and priorities that, when implemented would change people’s lives. This is where the link between policy priorities and departments strategic plan happen. It shows that the strategic planning process should produce plans that are about implementing the policy priorities. This implementation needs to be monitored and evaluated to ensure improved organisational performance and achievement of planned outcomes and objectives. The model also shows the up-ward relationship from monitoring and evaluation to implementation to strategic planning. This relationship is the feedback loop and it is at the centre of organisational learning and improvement

## Policy Priorities-Strategic Management Model



*Therefore, there is a need for managers in public service to understand and appreciate the linkage that should exist between economic policy priorities, the strategies they formulate for their departments and performance management through effective monitoring and evaluation regimes to ensure achievement of planned outcomes.*

### 7.4 Research Limitations

Observations of strategic planning sessions of sampled departments would have added significant qualitative data and information on how departments undertake planning. This would have assisted with more data regarding the strategic planning

approach department's use, which is a central issue for Research Question 2. It would have also assisted with observing whether linking back to economic policy priorities was a conscious exercise or it happened by chance, if it happened at all.

The focus of the study was the exploration of the synergy between strategic plans of GPG departments and the economic policy priorities and their implementation. When focusing on the two key economic policies of the provincial government, the study had no intentions of delving deeper into the extent of their implementation, as evaluation studies would have done.

## **7.5 Future Research Suggestions**

Strategic planning in government, both in theory and in practice remains an interesting area. It would be important to undertake the following studies regarding this field within the South African context:

- The strategic planning approach that the South African Government departments are using and the extent to which this restricts or augments policy implementation
- If adoption of the Balance Scorecard Approach to strategic planning and implementation by the way South African Government departments would improve service delivery and/or achievement of economic policy priorities

## REFERENCES

- Abrahams, M. A. (2015). A review of the growth of monitoring and evaluation in South Africa: Monitoring and evaluation as a profession, an industry and a governance tool. *African Evaluation Journal*, 3(1), 1-8.
- Ayob, A. H., & Morell, J. A. (2016). The historical path of evaluation as reflected in the content of evaluation and program planning. *Evaluation and Program Planning*, 58, 20-27.
- Babbie, E. R., & Mouton, J. (2001). *The practice of social research*. Cape Town: Oxford University Press Southern Africa.
- Blaikie, N. (2003). *Analyzing quantitative data: From description to explanation*. London: Sage.
- Boyne, G. A., & Walker, R. M. (2010). Strategic management and public service performance: The way ahead. *Public Administration Review*, 70(S1), 185-192.
- Brynard, P. (2005). Policy implementation: Lessons for service delivery. *Journal of Public Administration*, 40(S3), 649-664.
- Bryson, J. M. (2011). *Strategic planning for public and nonprofit organizations: A guide to strengthening and sustaining organizational achievement* (4th ed.). San Francisco: Jossey-Bass,
- Daly, E., & Singham, S. (2012). *Delivery 2.0: The new challenge for governments*. Kuala Lumpur: McKinsey & Company.
- Demir, T., & Nyhan, R. C. (2008). The politics–administration dichotomy: An empirical search for correspondence between theory and practice. *Public Administration Review*, 68(1), 81-96.



- DPME. (2014). Evidence based policy development and implementation. Retrieved from <http://www.dpme.gov.za>
- Faulkner, D., Loewald, C., & Makrellov, K. (2013). Achieving higher growth and employment: Policy options for South Africa. *South African Reserve Bank Working Paper*, 13(03), 1-34.
- Favoreu, C., Carassus, D., & Maurel, C. (2016). Strategic management in the public sector: A rational, political or collaborative approach? *International Review of Administrative Sciences*, 82(3), 435-453.
- Gauteng Office of the Premier (2017). POA performance Review [Powerpoint Slides]. Unpublished Manuscript, Office of the Premier, Johannesburg.
- Hayes, W. (2002). Public policy cycle. Retrieved from <http://profwork.org/pp/implementation/define.html>
- Head, B. W. (2016). Toward more “evidence-informed” policy making? *Public Administration Review*, 76(3), 472-484.
- Hobson, K., Mayne, R. & Hamilton, J. (2014). A step by step guide to monitoring and evaluation. Retrieved from <http://www.geog.ox.ac.uk/>
- Hupe, P. L., & Hill, M. J. (2016). ‘And the rest is implementation: Comparing approaches to what happens in policy processes beyond great expectations. *Public Policy and Administration*, 31(2), 103-121.
- Koontz, T. M., & Newig, J. (2014). From planning to implementation: Top-down and bottom-up approaches for collaborative watershed management. *Policy Studies Journal*, 42(3), 416-442.

- Marra, M. (2017). The ambiguities of performance-based governance reforms in Italy: Reviving the fortunes of evaluation and performance measurement. *Evaluation and Program Planning*,
- Mason, J. (2002). *Qualitative researching*. London: Sage Publications.
- Matland, R. E. (1995). Synthesizing the implementation literature: The ambiguity-conflict model of policy implementation. *Journal of Public Administration Research and Theory*, 5(2), 145-174.
- Menon, S., Karl, J., & Wignaraja, K. (2009). *Handbook on planning, monitoring and evaluating for development results*. New York: UNDP Evaluation Office.
- Mothae, L., & Sindane, M. (2007). A strategy-focused leadership for improving public policy implementation and promoting good governance. *Journal of Public Administration*, 42(5), 143-157.
- Moynihan, D. P., & Soss, J. (2014). Policy feedback and the politics of administration. *Public Administration Review*, 74(3), 320-332.
- National Planning Commission. (2011). Diagnostic overview. Retrieved from <http://www.gov.za>
- National Planning Commission. (2013). National development plan vision 2030. Retrieved from <https://www.gov.za/>
- National Treasury. (2010). Framework for strategic plans and annual performance plans. Retrieved from <http://www.treasury.gov.za/>
- Nulty, D. D. (2008). The adequacy of response rates to online and paper surveys: What can be done? *Assessment & Evaluation in Higher Education*, 33(3), 301-314.

- Oosterwaal, A., & Torenvlied, R. (2011). Policy divergence in implementation: How conflict among decisive legislators reinforces the effect of agency preferences. *Journal of Public Administration Research and Theory*, 22(2), 195-217.
- Poister, T. H., Pasha, O. Q., & Edwards, L. H. (2013). Does performance management lead to better outcomes? Evidence from the US public transit industry. *Public Administration Review*, 73(4), 625-636.
- Rahman, M. H., Naz, R., & Nand, A. (2013). Public sector reforms in Fiji: Examining policy implementation setting and administrative culture. *International Journal of Public Administration*, 36(13), 982-995.
- Republic of South Africa. (2001) Public service regulations, 2001. Government Notice No. R. 1 of 5 January 2001,
- Saunders, M., & Lewis, P. (2012). *Doing research in business and management: An essential guide to planning your project*. Harlow: Financial Times-Prentice Hall.
- Saville, A. (2014). Economic development and the “six-pack”. Retrieved from <http://www.fanews.co.za/article/economy/43/general/1198>
- Savio, N. D., & Nikolopoulos, K. (2009). Forecasting effectiveness of policy implementation strategies: Working with semi-experts. *Foresight*, 11(6), 86-93.
- The Presidency. (2014). Medium term strategic framework 2014-2019. Retrieved from [https://www.gov.za/sites/www.gov.za/files/MTSF\\_2014-2019.pdf](https://www.gov.za/sites/www.gov.za/files/MTSF_2014-2019.pdf)
- Tummers, L. (2011). Explaining the willingness of public professionals to implement new policies: A policy alienation framework. *International Review of Administrative Sciences*, 77(3), 555-581.
- Ugwuanyi, B., Ikechukwu, & Chukwuemeka, E. (2013). The obstacles to effective policy implementation by the public bureaucracy in developing nations: The case

of Nigeria. *Kuwait Chapter of Arabian Journal of Business and Management Review*, 2(7), 59-68.

Walker, R. M., Andrews, R., Boyne, G. A., Meier, K. J., & O'Toole, L. J. (2010).

Wakeup call: Strategic management, network alarms, and performance. *Public Administration Review*, 70(5), 731-741.

Walker, R. M., Jung, C. S., & Boyne, G. A. (2013). Marching to different drummers?

The performance effects of alignment between political and managerial perceptions of performance management. *Public Administration Review*, 73(6), 833-844.

World Health Organization. (2016). *Strategizing national health in the 21st century: A handbook*. Geneva: World Health Organization.

## APPENDICES

### APPENDIX 1: QUESTIONNAIRE FOR MANAGEMENT OF GPG DEPARTMENTS

#### RESEARCH TOPIC

Analysing the synergy between strategic plans of GPG Departments and governments economic policy priorities and their implementation

#### INSTITUTION

Gordon Institute of Business Science (GIBS)

#### QUALIFICATION

Master of Business Administration (MBA)

#### Dear Manager

I am conducting a research on the synergy between strategic plans of GPG Departments and governments economic policy priorities and their implementation. To that end, you are requested to respond to the questions below. Please note that approval by your HOD has been granted to continue with the research within the department. This exercise should not take more than 15 minutes to complete of your time. Please be advised that your participation is voluntary and you can withdraw at any time without any penalty. All data will be kept confidential.

Please be advised that by completing this questionnaire, you indicate that you voluntarily participate in this research. Should you have any concerns or questions of clarity, you are more than welcome to contact my supervisor or me on the following g contact details:

**Sthenjwa Ngcobo**

**MBA Student and Researcher**

**Gordon Institute of Business Science**

Email: [sthenjwa.ngcobo@gauteng.gov.za](mailto:sthenjwa.ngcobo@gauteng.gov.za)

Cell: 082 453 6320

**Thembe Ntshakala**

**Research Supervisor**

**Gordon Institute of Business Studies**

Email: [thembe.ntshakala@gmail.com](mailto:thembe.ntshakala@gmail.com)

Cell: 083 445 9961

**Please respond to the following question, to the best of your understanding and knowledge**

### **1. MANAGEMENT EXPERIENCE**

Choose appropriate answer by circling the correct alphabet

- 1.1 My management level is.....
- a) Middle management
  - b) Senior Management
  - c) Executive Management
- 1.2 My management experience is.....
- a) Less than 5 years
  - b) Between 5 and 10m years
  - c) Above 10 years
- 1.3 I participate in management meetings
- a) Yes
  - b) No

### **2. KNOWLEDGE OF KEY GPG ECONOMIC POSTURE AND POLICIES**

Choose appropriate answer

- 2.1 Are you aware of the TMR strategic posture of the Gauteng Provincial Government?
- a) Fully aware
  - b) Partially aware
  - c) Unaware
- 2.2 My understanding of the TMR is:
- a) Very Good
  - b) Good
  - c) Average
  - d) Below Average
  - e) Non-existent
- 2.3 If I were to explain the TMR Programme to the next person, my explanation will be
- a) Fully Adequate and convincing
  - b) Adequate and convincing
  - c) Partially adequate and partially convincing
  - d) Inadequate and unconvincing
  - e) Confusing
- 2.4 My familiarity with the Gauteng Township Economy Revitalisation Strategy is:
- a) Very Good
  - b) Good
  - c) Acceptable
  - d) Poor
- 2.5 My familiarity with the Gauteng Spatial Development Framework

- a) Very Good
- b) Good
- c) Acceptable
- d) Poor

### 3. KNOWLEDGE OF THE GAUTENG TOWNSHIP ECONOMY REVITALISATION STRATEGY

3.1 My understanding of the key priorities of the Township Economy Revitalisation Strategy is:

- a) Non-existent
- b) Below Average
- c) Average
- d) Above Average
- e) Excellent

3.2 My department \_\_\_\_\_ deals with the Township Economy Revitalisation Strategy

- a) Directly
- b) Somewhat
- c) Indirectly
- d) Does not

3.3 Key priorities of Township Economy Revitalisation Strategy are \_\_\_\_\_ in strategic plan of the department

- a) Fully covered
- b) Partially covered
- c) Not covered
- d) Not sure

3.4 My unit plays a \_\_\_\_\_ role in the implementation of Township Economy Revitalisation Strategy

- a) Very High
- b) High
- c) Moderate
- d) Low
- e) No Role

3.5 How often do you formally report back on progress?

- a) Monthly
- b) Quarterly
- c) Annually
- d) Monthly and Quarterly
- e) Quarterly and annually
- f) Monthly, quarterly and annually

3.6 Does the department uses lessons learnt to improve implementation of the Strategy?

- a) Never
- b) Seldom
- c) Sometimes
- d) Often
- e) Almost always

- 3.7 The Township Economy Revitalisation Strategy assist Gauteng Government in achieving its economic objectives?
- a) Strongly agree
  - b) Agree
  - c) Not sure
  - d) Disagree
  - e) Strongly disagree

#### 4. KNOWLEDGE OF THE GAUTENG SPATIAL DEVELOPMENT FRAMEWORK

- 4.1 My understanding of the key priorities of the Gauteng Spatial Development Framework is:
- a) Non-existent
  - b) Below Average
  - c) Average
  - d) Above Average
  - e) Excellent
- 4.2 My department \_\_\_\_\_ deals with the Gauteng Spatial Development Framework
- a) Directly
  - b) Somewhat
  - c) Indirectly
  - d) Does not
- 4.3 Key priorities of the Gauteng Spatial Development Framework are \_\_\_\_\_ in the strategic plan of the department
- a) Fully covered
  - b) Partially covered
  - c) Not covered
  - d) Not sure
- 4.4 My unit plays a \_\_\_\_\_ role in the implementation of the Gauteng Spatial Development Framework
- a) Very High
  - b) High
  - c) Moderate
  - d) Low
  - e) No Role
- 4.5 How often do you formally report back on progress?
- a) Quarterly
  - b) Annually
  - c) Monthly and Quarterly
  - d) Quarterly and annually
  - e) Monthly, quarterly and annually
- 4.6 Does the department use lessons learnt to improve implementation of the Gauteng Spatial Development Framework?
- a) Never
  - b) Seldom
  - c) Sometimes
  - d) Often



- e) Almost always
- 4.7 The Gauteng Spatial Development Framework assist Gauteng Government in achieving its economic objectives?
- a) Strongly agree
  - b) Agree
  - c) Not sure
  - d) Disagree
  - e) Strongly disagree

**THANK YOU VERY MUCH**

## **APPENDIX 2: SEMI-STRUCTURED INTERVIEW SCHEDULE FOR MANAGEMENT**

### **RESEARCH TOPIC:**

Analysing the synergy between strategic plans of GPG Departments and governments economic policy priorities and their implementation

### **RESPONDENT INFORMATION**

**Department:** \_\_\_\_\_

**Respondent's Management Level:** \_\_\_\_\_

### SEMI-STRUCTURED INTERVIEW SCHEDULE

RESEARCH QUESTION	INTERVIEW QUESTIONS
How does the Gauteng Provincial Government ensure alignment of strategic plans with its economic policy priorities? <b>(system for alignment).</b>	a) Explain the extent to which your department's strategic plan reflects key priorities of the GTERS and/or GSDF b) How much of the department's programmes and programming is linked to the policy objectives and how do you arrive at these programmes c) How do you mobilise resources for the implementation of the policy priorities d) What percentage of the department's budget allocation is apportioned to achieving the policy priorities?
What are the systems that departments use to ensure monitoring, evaluation, reporting and communication? <b>(policy/strategy implementation).</b>	a) What is your understanding of strategy management and to what extent does the department succeed in this area b) Explain the extent to which the M&E function links its work to implementation to policy priority c) What do you as the department do to assess the extent to which you have implemented the policy and achieve policy objectives d) Does the M&E unit produce reports on implementation? How do these reports assist the department? e) Who do you think is aware of your success and challenges of your policy implementation and do they know enough
	f) Do you think effective strategic planning in government would assist in improving implementation of policy priorities?

### APPENFIX 3: ANALYSIS FRAMEWORK FOR THE STRATEGIC PLANS

**RESEARCH TOPIC:**

Analysing the synergy between strategic plans of GPG Departments and governments economic policy priorities and their implementation

**NAME OF DEPARTMENT:**

#### ANALYSIS FRAMEWORK

Name of policy central to alignment analysis and its vision/aim	Key Policy Objectives to be achieved	Evidence of prevalence of Key Policy Objectives in the Strategic Plan of Department	Evidence of measurement of implementation within the Strategic Plan, e.g. indicators and targets