Administratio Publica

Contents

INTERNATIONAL FORUM

Editorial

O S Madumo

Acting Chief Editor

In **'Elucidating the Application of Literature Reviews and Literature Surveys in Social Science Research'**, G van der Waldt states that literature forms an essential and integral part of Social Science research. "Indeed, it could be argued that both provide the foundation for all types of research," states van der Waldt. However, the author points out there seems to be confusion about the differences between literature reviews and literature surveys and the purpose and contributions of each in research. "As such, the application of these two research aspects often presents a major challenge for postgraduate students," notes Van der Waldt.

By using a descriptive approach, the article aims to outline the significance of literature in social science research. Second, it aims to highlight the application of literature reviews and surveys in the research process. Lastly, it attempts to answer main questions posed by postgraduate students on the application of these two aspects in their studies.

The research established that various factors, such as the nature of the study, the research problem and questions as well as the type of reviews undertaken, influence the application of reviews and surveys. "Furthermore, the difference in application concerns the depth of analysis required, as well as its usage in the sequencing of the research process," adds the author. In conclusion, the article offered certain guidelines on ways to conduct better, more rigorous literature reviews and surveys.

In **'Reflections on Governance Strengths and Weaknesses in Responding to Covid-19'**, B Rabie and Z Ndevu argue that during a global crisis, such as the Covid-19 pandemic, government must gather a range of capabilities, including anticipation and quick diagnosis, ongoing learning, rapid response, continual adaptation and sustained effort through the post-disaster recovery. According to the authors, "These capabilities are underpinned by institutionalised disaster preparedness, including an institutional architecture for disaster response, effective decision support systems, and supportive institutional cultures and values".

The current research on the initial response to the COVID-19 pandemic found that, while there was a regulatory framework in place, there are several limiting factors to the effective mobilisation and implementation of a coordinated disaster management response. To ensure a more resilient governance system during times of adversity, the authors suggest that the following key leadership practices should be applied: offering decisive decision making, conveying resilience and

confidence, providing hope and vision, retaining and building credibility and trustworthiness, and communicating constantly.

In **'Public and Stakeholder Participation in the Municipal Demarcation Process in the Collins Chabane Local Municipality'**, N Mathye and O S Madumo explore public and stakeholder participation during the municipal demarcation processes undertaken by the Municipal Demarcation Board (MDB) towards establishing Collins Chabane Local Municipality in the Vhembe District Municipality in Limpopo Province, South Africa.

A comprehensive review of a qualitative set of data collected from a variety of sources was selected and analysed to achieve the research objective of this article. The study revealed that the following factors undermined the participatory role that communities and stakeholders should have played in the municipal demarcation processes leading towards the establishment of the municipality: The inadequate involvement of traditional councils on areas proclaimed as rural traditional councils; inadequate mechanisms, systems and procedures for public participation; an inability to insulate between financial sustainability and service delivery challenges; and a lack of social cohesion between different ethnicities and tribal groups.

The research suggests that the MDB must be cautious and consistent when administering municipal boundary processes. This includes providing the motivation or details of the process that informed its decision and factors considered when making such a decision and will assist communities to comprehend the processes followed by the Board when making a decision.

In conclusion, the study proposes appropriate interventions that government can adopt to enhance and entrench a culture of public and stakeholder participation in the municipal demarcation processes. Furthermore, it also underscores the need for collective action by all relevant stakeholders.

C Joel and D Nel-Sanders, in **'The Relationship Between Sustainable Development, Social Justice and Social Innovation'**, argue that social innovation is based on the idea of addressing emerging social needs. According to the authors, "Social innovation may act as a catalyst for providing effective solutions to address environmental and social issues".

The current article is based on a desktop study using authoritative literature and secondary data. The findings of the research suggest that social innovation can act as a nexus to facilitate sustainable development and social justice. According to the authors, "Social innovation is a catalyst for providing effective solutions to address environmental and social issues". It serves as an avenue to provide holistic solutions to empower communities, improve resource sharing and attain the Sustainable Development Goals (SDGs). Based on the research findings, best practices to increase social innovation include a bottom approach to development, social innovation hubs, social entrepreneurship and social business parks.

In just under three decades of democratic history, South Africa's public institutions' performance has not been satisfactory considering their significant role in 'rebuilding' the country. In **'Bureaucrats' Views on Performance Management in a KwaZulu-Natal Provincial Government Department'**, L N Mkhize, T I Nzimakwe and and S A Mthuli investigate the causes of the (in)effective implementation of the Performance Management System (PMS), if any, in a KwaZulu-Natal provincial department. The study followed an interpretivist and qualitative approach and adopted a phenomenological strategy of inquiry, while data was analysed through the use of thematic analysis. The views of street-level and low-level bureaucrats were attained via interviews.

Based on the research findings, PMS was 'perceived' as only pertaining to the human resource department, that it was conducted in an inconsistent and erratic fashion, as well as that it was financially driven, abused and perceived as unfair. For the KwaZulu-Natal provincial department under investigation to be results orientated and produce reliable performance information, this study recommends that its PMS moves away from a manual approach by integrating it with information and communication technology. "This should produce the desired results, because in its current state, it is viewed as not fair and abused, while not involving low-level bureaucrats, such as line-managers," state the authors.

In **'The Role of Policy Networks in Self-Build Housing'**, A Clark and G S Cloete summarise the purposes and results of a research project undertaken to determine what role good policy network practices played in the attainment of the enhanced People's Housing Process (ePHP) policy objectives. The Clark Policy Network Model served as a heuristic device for analysing the relationship between network characteristics, the Masizakhele Project as a case study and attaining the project's policy outcomes.

The research revealed that project operations exhibited many of the indicators of the characteristics contained in the Clark Policy Network model, and that the operationalised policy outcomes associated thereto were fully attained. Based on the generalisable observations developed during the analysis, the researchers to propose a network theory of policy implementation. Within this context, "policy networks aimed at attaining developmental objectives must incorporate strategies to both attract and retain resources within the network," state the authors.

In **'Leadership Accountability and the Development of Administrative Staff at Prominent Hospitals in the Mangaung Metropolitan Health Area'**, M A Ts'osane and L Lues investigate the human resource development (HRD) challenges that the administrative staff of the Free State Department of Health's (FSDoH) National District, Pelonomi Regional, and Universitas Academic Hospitals face in their mandate to provide efficient, effective, and economical service delivery.

The study employed a qualitative research approach, while focus group discussions were conducted with administrative staff and semi-structured interviews

with staff responsible for the management of HRD in the Mangaung Metropolitan health area. The article introduces the problem statement that the public hospitals in question have showed a marked decline in service delivery due to financial shortfalls, which had a direct influence on the development of administrative staff.

Based on the research findings, economic conditions, high unemployment rates, technical recession, and Covid-19 pandemic experienced in South Africa have exacerbated the financial challenges faced by the FSDoH. Furthermore, ineffective redistribution of funds, maladministration, and poor management, which have led to less money being allocated to the training of administrative staff have exacerbated the situation.

Based on the research findings, the article acknowledges that the development of administrative staff has become imperative to enhance good performance and render the service that is required by communities. Furthermore, services should be provided economically and efficiently to provide citizens with the principle of the best value for money.

Confronting the crisis caused by the COVID-19 pandemic exposed the fragility of the Brazilian public authorities' actions to respond to the demands of society when it is subjected to unexpected adverse events. In this regard, closer relations with civil society to carry out actions in terms of co-production of public services in scenarios where the government did not reach the citizens, either by its bureaucratic aspects, financial, or any other reason preventing a certain portion of the population from accessing services proved to be beneficial. In **'Crisis, Management and Co-Production of Public Service in the Area of Health: The Action of the Lauduz Institute Against the COVID-19 Pandemic,** P I Schwantz, G A Garcia, V R Olea, W B Zatt and L Moretto Neto analyses the planning for crisis management, the necessary management process, as well as the co-production of public service as a possibility to respond to the impacts imposed by unexpected situations. The focus of the study was the activities developed by the Lauduz Institute, a non-profit organisation, headquartered in the municipality of Santa Maria/RS, in the face of the COVID-19 pandemic in 2020. The article provided theoretical elements that underpin the analytical dimension of the conceptualisation of crisis management and co-production in the public service. The methodology entailed a triangulation of a documentary analysis, content analysis and semi-structured interviews with social actors participating in the voluntary activities carried out by the Lauduz Institute. The study found that in terms of the organisational aspects regarding the coordination, communication and fulfillment of the objectives of the Lauduz Institute, the perceptions of the volunteers were positive that the activities carried out by the Institute were in line with the assumptions of a co-production of public services.

Ongopotse Madumo
Acting Chief Editor

In Memoriam

Prof W B (Ben) Vosloo (86)
(4 November 1934–23 March 2021)

Prof Ben Vosloo, one of the most eminent public governance scholars that South Africa has so far produced, recently passed away at the age of 86 in Wollongong, Australia, where he lived for 19 years.

Willem Benjamin Vosloo was born in Mtunzini, Natal on 4 November 1934. He grew up in a conservative Afrikaner nationalist environment in rural Zululand and matriculated at Vryheid High School. He then majored at the University of Pretoria (UP) in the fields of Political Science, Public Administration and Economics, and completed his B.A. and M.A. degrees, both *cum laude*. After lecturing at the University of South Africa (UNISA) for five years, he completed his PhD degree in 1965 at the Cornell School of Business and Public Management in the USA with a thesis on *Collective Bargaining in the US Federal Civil Service.*

Towards the end of his doctoral studies at Cornell, Vosloo was personally head-hunted by Prof S P Cilliers, head of the Department of Sociology at Stellenbosch University to establish a new Department of Political Science and Public Administration (now a separate Department of Political Science and a School of Public Leadership). In 1966, he started the joint department at the tender age of 32, and headed it for 15 years until Dr Anton Rupert, chair of Rembrandt, recruited him in 1981 to establish the Small Business Development Corporation (SBDC, now Business Partners Limited). He retired in 1995 from the SBDC after 14 years as its Managing Director. In 2002 he moved to Australia, where he lived until his death on 23 March 2021.

Vosloo held from an early age pragmatic liberal views, despite his conservative family background. He started to question NP apartheid policies already in his student days at UP. In the mid-1950s, during his student days in Pretoria, Vosloo, together with Hennie Serfontein (later political journalist), Johann Kriegler (later Constitutional Court Judge) and UNISA Political Science Prof Willem Kleynhans, invited Chief Albert Luthuli, at the time the President of the African National Congress, to explain his views on political rights for black South Africans. Before Luthuli could start his address, however, Afrikaner right wing extremists, (mainly Iscor workers armed with bicycle chains) physically attacked them for providing a public political platform in Pretoria to someone that the reactionaries regarded as a terrorist. The police had to restore peace but Luthuli's address was cancelled. Vosloo was disinherited by his father, a staunch, conservative rural Natal Afrikaner member of the NP, following a

report and picture of those dramatic events on the front page of the *Transvaler* daily morning newspaper the next day.

In 1968 Vosloo was appointed as the youngest professor at Stellenbosch at the time (at age 34), after having established the Department of Political Science and Public Administration two years earlier. His direct exposure to the Civil Rights struggle in the USA during the early 1960s consolidated his instinctive *laissez faire* liberal pragmatism. His intellectual mentors at Stellenbosch were the relatively 'liberal' Professors S P Cilliers (Sociology), Jan Sadie (Economics) and Nic Olivier (Development Administration). He soon gained a reputation among his peers as a formidable academic with noteworthy academic publications to his credit. He was not a typical ivory tower academic.

In the 1970s and 1980s Vosloo adopted a relatively sophisticated Machiavellian policy change-by-stealth approach to pursue his own political goals. He did not take the simple moral or ethical route by leaving South Africa to go into exile because of his opposition to government policies, as many of his anti-apartheid contemporaries did. He adopted instead a morally and ethically more complex and controversial strategy of expanding and stretching the ruling National Party's boundaries of internal political tolerance for change. He decided to use his direct access to the ideological centre of the Afrikaner political establishment towards persuading government policymakers, through direct interaction with them from within the apartheid system, to change unacceptable policies in a constitutional and democratic, albeit more gradual and incremental manner, instead of openly declaring his opposition to that system.

He therefore started to promote the principles of the (at the time) mainstream American democratic political pluralism school of thought as espoused especially by Robert Dahl, and applied by plural society scholars like David Apter and Arend Lijphart to ethnically diverse contexts, as a potential institutional framework for political conflict management in South Africa. In 1974 he authored the founding article of the new Political Science Journal Politikon, (the current Political Science flagship journal in South Africa), focusing on this topic.

He also decided to experiment with facilitating various crucial strategic governmental political, educational and economic policy transformation programmes in a number of sectors in South Africa. He became an institutional transformation advisor to senior political office bearers in the National Party and organised local government. These policy entrepreneurship exercises improved the political legitimacy of his professional public policymaking profile and standing, and provided him with more opportunities to try to directly influence policy change from inside the apartheid political system. His integrated political science, public administration and economic backgrounds were eminently suitable for these tasks. Three major policy entrepreneurship interventions defined his contribution to societal change in South Africa.

The first was the Erika Theron Commission on the 'coloured community' in South Africa (1973-1976). He drafted the Commission's majority recommendation for a fundamental restructuring of the South African constitutional and political system. This recommendation was a direct trigger for the decades-long process of constitutional and political transformation in the country, resulting in the end in the full democratisation of South Africa under a liberal democratic constitution in 1994. In 1981 Vosloo proposed that the Prohibition of Mixed Marriages Act should be abolished. This was received very negatively in the Afrikaans media, and he received a number of death threats as a result of his views.

His second major practical policy change intervention was his participation in the De Lange Commission on educational reform in South Africa (1981-1983). The Commission's report paved the way to racially fully-integrated primary, secondary and tertiary educational systems in South Africa. This policy change exercise facilitated the transformation in Afrikaner cultural values needed for the eventual successful transition of the apartheid state to the post-apartheid state in South Africa between 1990 and 1996.

Third, as Managing Director of the new SBDC, Vosloo played a major role between 1982 and 1995 in promoting small business development in South Africa and highlighting the importance of this sector for job creation and economic growth. The Institute of Management Consultants of Southern Africa honoured him as *Marketing Man of the Year* in 1986 and *Man of the Year* in 1989, while the Institute of Personnel Managers honoured him as *Personnel Man of the Year* in 1990. The *Business Times* regarded him as one of the *Top Five Businessmen* of 1993, and *Beeld* newspaper in 1995 as one of South Africa's *Top 21 Business Leaders* of the past 21 years. His initial university alma mater *(*UP) awarded him an Honorary D Comm degree in 1995.

After retiring from the SBDC, he practised as a business consultant, focusing especially on export marketing to Europe, the USA, Canada and Asia. He also retained an active interest in plural society issues throughout his life, as his wide-ranging scholarly and popular publications on contemporary global economic, management and political trends reflect (www.benvosloo.com). Until 2016, he devoted much time and effort to summarising and assessing what he regarded as some of the most wicked or intractable global sources of conflict. A summary of the highlights of his career is available at https://youtu.be/gppY9nmgyIE.

Vosloo will be remembered as an independent-minded and innovative scholar as well as a professional policy and management practitioner. He further had an important role model influence on successive generations of students, based on his formidable rational logic, pragmatism, humility and soft-spoken, informal conversational teaching style. He never raised his voice. He was also renowned for his ability to contextualise and explain highly complex issues in relatively simple and practical terms. He was not only a born educator but also a practical

problem solver as his successful policy entrepreneurial excursions into the messy worlds of political and economic transformation summarised above, illustrate. His realist and cynical perspectives on the dynamics of power-relationships in politics and government are summarised well in his 'Three Laws of Political Power-relationships' that he fervently believed in:

- 1st law: Politicians normally **crave and pursue power**.
- 2nd law: Once in power, no politician normally **voluntarily relinquishes** power.
- 3rd law: If a politician relinquishes power voluntarily, the degree of power relinquished is normally **directly proportional** to the degree of pressure exercised on that politician to relinquish his/her power.

Vosloo and other scholars who chose similar internal political transformation routes faced heavy criticism from a number of ideologically more purist academic colleagues who refused in principle to 'tinker' with the implementation of the apartheid system. Many of them attempted to withdraw from the system and preferred to go into either internal or external exile. This was more successful in the case of exile abroad than attempts at internal isolation from the effects of apartheid. Vosloo was unperturbed by this opposition. He just echoed the sentiments of the South African rugby legend, Boy Louw, who shrugged off criticism of the SA rugby team's performance despite their successes, with the comment: 'Just looks at the scoreboard!'.

During his productive career, Ben Vosloo made a number of trail-blazing and strategically significant contributions to the democratic, constitutional transformation of political, administrative and economic thought, teaching and practice in South Africa.

Fanie Cloete
Former Director: School of Public Management and Planning,
University of Stellenbosch

Professor Emeritus
Universities of Stellenbosch and Johannesburg

REMEMBERING BEN VOSLOO …
Prof Erwin Schwella

Professor Ben Vosloo taught me political science in my first two years at Stellenbosch during 1973 and 1974. He was a sharp and informed intellectual who continuously challenged the young mostly Afrikaner nationalist students in my classes with ideas of modern government, which was one of the courses he taught us.

He struck a distinguished figure in classes and in his presence on campus. He dressed meticulously and smartly and was an example of sophistication with a soft-spoken but intellectually hard-hitting bearing and well-reasoned arguments promoting modern governance based on constitutionalism, representative government subject to accountability through democratic elections and the separation of powers in a state with the rule of law.

During this time, and at the height of National Party government this was not only controversial but seriously confusing to most of us, who were products of the ideas and institutional impact of grand and petty apartheid which we did not only grow up with but was a way of life for us. And which many of us just came back from, as in my case, defending as soldiers in the compulsory national service South African army.

Ben Vosloo with many other, more than realised and given credit for, political science, sociology, philosophy and economics academics at Stellenbosch at the time, gradually, but persistently chipped away at our nationalist certainties and biases. It was a reasoned and convincing argument for democratic transformation and transition. And it did impact on our thinking and actions.

When returning to Stellenbosch as junior lecturer to the then Department of Political Science and Public Administration in 1981, appointed by the University with a strong motivation by Ben Vosloo, he made his views on me quite clear referring to me as a 'late bloomer' and setting high expectations in his very soft-spoken but abundantly clear way. This he did through setting very concrete requirements and career milestones for me and other young colleagues whom he hand-picked for the Department.

As an example, he created a deep academic and intellectually challenging immersion for me and other young colleagues by expecting us all to deliver on research briefs for the professional policy work he was then doing for the De Lange Commission.

In my case he walked into my office on the 6th Floor of the then BJ Vorster Building, where our Department was situated at the time, and gave me a briefing and 'mandate' – note, no 'instructions' here , to prepare a 30 page research piece on the way in which diversity was dealt with in the Indian education system in politics, policy, governance and especially institutionally, in the state of India. It was a very challenging 'mandate', but also very educational for me in the way in which he gave basic guidance with trust and confidence, but also with oversight and soft power checking-up!

I was genuinely sad, when after six months of working as, at best a rookie apprentice, under his master craftsperson mentorship, he left the University to join the Small Business Development Corporation at the time. However, in his stylish and probing way, he did invite me now and then, for tea and a conversation in

his new offices. And I did produce the mandated comparative analysis on Indian education as not 'instructed'.

His mentorship served me well and I would have benefited from even more of his 'mandates'.

I was therefore even sadder when he went on to leave South Africa for Australia later. He told me that this was the result of being treated with some disrespect in Parliament by newly elected politicians after democracy. Given his respectful treatment of others and his affinity for respect, he was not open to and would not be treated with foolish disrespect. And I again respected him, also for this view and principled stand.

South Africa's loss was Australia's gain.

And we are still working on the 'mandate' for modern constitutional government which he instilled and institutionalised and internalised for and into all of us, and also still under disrespectful conditions of nationalism of a different, if not 'special kind'.

Prof Erwin Schwella
Director: School of Public Management & Planning,
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Elucidating the Application of Literature Reviews and Literature Surveys in Social Science Research

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ABSTRACT

Literature forms an essential and integral part of social science research. Despite its undisputed academic value, there seems to be confusion about the differences between literature reviews and literature surveys and the purpose and contributions of each in research. As such, the application of these two research aspects often presents a major challenge for postgraduate students. By using a descriptive approach, the article aimed first, to outline the significance of literature in social science research; second, to illuminate the application of literature reviews and surveys in the research process; and third, attempted to answer main questions posed by postgraduate students on the application of these two aspects in their studies. It was established that the application of reviews and surveys depends on various factors. These are: the nature of the study, the research problem and questions as well as the type of reviews undertaken. Furthermore, the difference in application concerns the depth of analysis required, as well as its usage in the sequencing of the research process.

INTRODUCTION

Candidates conducting postgraduate research in the social sciences often use the concepts literature *reviews* and literature *surveys* interchangeably, as activities that serve similar purposes. Certain textbooks on research methodology also often regard these concepts as synonymous – a matter of semantics – while others vehemently disagree about the 'true' meaning and application of each term in the research process. Added to this confusion about the different ways to use literature in the research process, scholars may also differentiate between categories

or types of literature reviews (systematic, critical, argumentative, integrative, etc.). Furthermore, seemingly the difference between literature reviews and surveys depends on scholars' preference in terminology, the traditions in research disciplines (fields of study), as well as journal editors' inclinations. The contributions and use of literature reviews and surveys in the research process are also not always clear cut. For example, can a literature survey be used as data collection tool or a research method as such?

In addition to the mentioned confusion, the nature and status of different literature types are also not well-defined. There is, for example, varying expectations about the use of primary, secondary and tertiary sources. Furthermore, views differ on the status or academic value of certain forms of literature such as scholarly articles, databases, web-based sources, social media, and narrative accounts. The result is that postgraduate students often become confused with research expectations and regularly raise questions about the requirements and scientific conventions associated with the use of literature in their studies. The high number of questions posed by students in this regard on research portals such as Academia. edu, ResearchGate.net and Academia.SE, attest to this confusion. Main questions that emerge are:

- What types of sources (books, journal articles, websites) should be considered and what is the academic status of some literature?
- How many sources should be consulted and eventually be cited in a master's dissertation or PhD thesis?
- How should one conduct a literature review?
- Can a literature review be used as a research tool or a method?

Given the seeming confusion about the application of literature usages in research, the purpose of this article is threefold: first, outline the significance of literature in social science research; second, illuminate the application of literature reviews and surveys in the research process; and third, attempt to answer the main questions posed by postgraduate students as outlined above.

THE SIGNIFICANCE OF LITERATURE IN SOCIAL SCIENCE RESEARCH

Literature plays a critical role in scholarship, primarily because science remains a cumulative construction and production of knowledge (Vom Brocke *et al.* 2015:206). Rigorous knowledge syntheses are becoming indispensable when having to keep up with an exponentially growing body of literature on social sciences. Social scientists are typically engaged with highly ambiguous sense-making efforts and their research is not usually conducted under fixed empirical conditions (Flick 2014:33).

Therefore, research findings seldom conform neatly to empirical expectations (Ravitch and Riggan 2017:108). The status of social science findings is a highly contested area – involving different worldviews and scientific traditions (Willis 2007:17).

The particular research tradition that scientists espouse has a significant bearing on the status and way literature is theoretically used to imbed, inform and direct their research. For example, social scientists conforming to a positivistic research tradition, generally argue that society shapes the individual. Thus, they use quantitative methods such as social surveys, structured questionnaires and official statistics to validate findings empirically through statistical means. Their research is usually (often partially) informed by scholarly literature to assist them with the design of empirical instruments for data collection and the validation of research findings.

In contrast to the aforementioned approach, social researchers who adopted anti-positivistic, constructivist, and interpretivist epistemologies, typically presume that individuals shape society; therefore, these researchers mainly use qualitative methods to gauge the behaviour, perceptions and real-life experiences of subjects within their context (Schwandt 1994:119). According to interpretivists, humans are intricate and complex. People experience and understand the same reality in different ways. Thus, individuals have their own, often totally different, reasons for behaving or acting in a particular manner. As a result, scholars argue that empirical (positivist) scientific methods are not appropriate to make sense of human motives and actions (Willis 2007:17). Their main research methods are semi-structured interviews or focus-group discussions with sampled participants. Furthermore, descriptive research, avoiding empirical testing, is often based entirely on a literature survey (document review) as only source of information to reach certain deductive or inductive conclusions. Depending on the nature of their study, such researchers often strongly value literature that positivists typically regard as 'unscientific' such as fables, poems, stories, narrative accounts as well as social artefacts to analyse human cultures, traditions and behaviour.

According to Machi and McEvoy (2008:3) and Aveyard (2010:4), the 'literature' of literature reviews and surveys typically refers to any collection of materials, texts or works on a topic. To determine the application value of literature, an assessment is useful that covers the scientific status and academic value of different types of literature. Literature is often categorised as primary, secondary, or tertiary material. This classification is typically based on the originality of the material and its proximity to the source or its origin. Such classification informs the reader whether the author is reporting information that is first hand, or is conveying the experiences and opinions of others. There is, however, no general consensus when a source can be regarded as primary, secondary or tertiary. Scholars such as Melville and Goddard (1996:18), Kumar (2014:50) and Bryman (2016:98) tend to differentiate between the following types of literature:

- **Primary sources:** These are publications that present research in its original form, which has not been interpreted or condensed by other authors. In the social sciences, primary literature may take on various forms: original artwork, poems, photographs, speeches, letters, memos, personal narratives, diaries, or interviews. It may also include autobiographies, memoirs, oral histories, and correspondence. Primary texts display first-hand information, share new thinking, and report on novel discoveries. These sources generally entail the following:
  - journal articles, written by researchers for a specific field and peer reviewed before publication in scholarly journals (e.g. editorials, reviews, and original research articles);
  - peer-reviewed books, that may consist of monographs, e-books, and reference works (e.g. encyclopaedias);
  - peer-reviewed conference papers;
  - certain official government or technical reports; and
  - theses and dissertations.
- **Secondary sources:** These publications work with or process primary literature. Such sources generalise, summarise, analyse, interpret, or re-organise existing content. They also attempt to add value to the original text or content, intending to simplify the findings of primary literature. This literature entails:
  - review articles;
  - student handbooks;
  - political analyses and commentaries;
  - edited works;
  - biographies;
  - reviews of legislation;
  - indexes and data sets such as official statistics from various agencies, including demographics and geo-spatial data;
  - specialist magazines;
  - certain internet-based sources; and
  - newspaper articles.
- **Tertiary sources:** These publications compile or digest information from primary or secondary sources. They often are collections of these sources and provide a broad overview of a topic, data, already proven facts, and definitions, often presented in a more convenient form. These sources do not provide new information and are usually not credited to a particular author. Examples are:
  - dictionaries;
  - encyclopaedias (although some may also be secondary);
  - fact books;
  - Wikipedia;
  - bibliographies;
  - directories;

- guidebooks and manuals;
- student handbooks (although some may be regarded as secondary); and
- indexing and abstracting sources.

Authors such as Pappas and Williams (2011:228) and Paez (2017:233) furthermore identify so-called 'grey' literature that is not published through scholarly channels. This type of literature includes social media, magazines, conference proceedings, white papers, government documents, and reports of organisations, institutions and agencies.

CONCEPTUALISING AND CONTEXTUALISING LITERATURE 'REVIEWS' AND 'SURVEYS'

As was explained previously, there seems to be confusion about the differences between literature reviews and literature surveys. Authors such as McCombes (2020:1), for example, use the two concepts in a single definition: "a literature *review* is a *survey* of scholarly knowledge on a topic". It should also be noted that certain scholars prefer the notion of a literature "study" (e.g. Smit 1995:8; Melville and Goddard 1996:18). A closer inspection of the meaning they ascribe to "study" is, however, similar to that of "review" and will, for purposes of this article, be regarded as synonymous and the term "study" thus be excluded.

According to the Collins Dictionary (online), a "review" as action means "to reconsider, revise, or rethink something carefully to see what is wrong with it or how it could be improved". The Merriam-Webster Dictionary (online) adds that review means "to view or see again; to examine or study again, especially to re-examine judicially, to take a retrospective view; or to go over or examine critically or deliberately; to give a critical evaluation of something". To review literature would thus mean to identify content that has been established and accepted in a particular field of study and locate areas of controversy or conflict among different schools of thought. The term "review" would also imply that problems or issues that remain unresolved will be uncovered and that emerging trends and new approaches will be brought to the fore. In other words, the review of related literature involves the systematic identification, location, and analysis of documents containing information related to the research problem. In postgraduate research, the term "review" is also used to describe the written component of a dissertation and thesis that expounds on the reviewed documents. Such an approach thus enables researchers to reflect on the way their particular study extends, builds upon, and departs from existing knowledge.

The concept "survey" as verb means "carefully look closely at or examine all of something" (Cambridge Dictionary: online). The Merriam-Webster Dictionary

(online) explicates the concept as follows: "to examine as to condition, situation, or value; appraise, to query in order to collect data for the analysis of some aspect of a group or area; to view or consider comprehensively; and to inspect or scrutinize something". Seemingly authors generally equate a survey with an "overview of the broader context" (Ranta and Asplund 2011:3) or to "gain understanding of the theoretical fundamentals of the area of study" (Flick 2014:67). Literature surveys should replicate the essential content of sources, but own conclusions, opinions and interpretations should be distinguished clearly from the content that is surveyed (Kothari 2004; O'Leary 2013).

An assessment of literature on reviews and surveys revealed a number of interesting points and contrasting opinions. These opinions range from those who regard reviews and surveys as differing in its purpose; those who regard it as synonymous; or who view it as depending on research traditions and different preferences in diverse countries. Regarding the latter, the Postgraduate Forum (online), for example, indicates that universities and journals in the United States of America prefer the concept "surveys", while those in Britain prefer "reviews". Comparing and contrasting the views on literature reviews and surveys can be guided by considering the following categories: the depth of analysis, phases in the research process, and presenting research output.

Different depths of analyses

Authors such as Welman and Kruger (1999:253), O'Leary (2010:81) and Paulus *et al.* (2014:49), concur that literature reviews differ from literature surveys by presenting a far more in-depth engagement with available literature. A survey is commonly regarded as the identification, brief overview and summary of relevant sources. On the other hand, reviewing is considered as evaluating individual sources and synthesising these to gain a holistic perspective on the field of study. A survey mainly helps identify emerging approaches, patterns and trends, areas of conflict and controversies, as well as gaps in the relevant literature. Surveys also entail summarising, organising, and presenting novel conclusions from a large body of recently published scholarly literature. Such guidelines help researchers locate or situate their studies in the existing discourse and isolate the particular contributions they will make.

Somekh and Lewin (2011:17) point out that a survey of literature is only a "surface level", or "a bird's eye view" exercise to create a "scholarly landscape" for researchers. In other words, the survey does not entail an in-depth analysis as expected from a literature review or study. Such a "landscape" indicates to researchers that they have assimilated at least the vast majority of previous, significant works. Thus, according to Welman and Kruger (1999:253), such a survey is essential to determine the "current state of knowledge" about the research topic.

In addition, Paulus *et al.* (2014:49) point out that a survey enables researchers to "join the ongoing conversation amongst a community of scholars".

Once a broad overview of relevant literature is obtained, researchers will engage with the most appropriate, credible and reliable sources to compare, contrast, interpret, and synthesise key issues and arguments (O'Leary 2010:81). The literature review is essential for the following actions: determine to what extent a specific research area reveals interpretable trends or patterns; generate conceptual and theoretical frameworks; and identify issues that require further investigation (Paré *et al.* 2015).

Part of different phases in the research process

The apparent differences between reviews and surveys also concern its particular uses and applications within the research process. Various scholars regard a literature survey as part of the preliminary stages of the research process (e.g. Steward 2004; Kitchenham and Charters 2007; Finfgeld-Connett and Johnson 2013; and Templier and Paré 2015). In this preliminary stage, researchers must identify, demarcate and define the research problem. In this sense, a literature survey usually precedes a literature review. The survey determines "what is out there" and does not actually form part of the study. The survey thus informs and directs the literature review, which is included as a distinct section in a dissertation, thesis or article.

It is generally regarded as standard practice in social science research to include a literature review, thereby placing a particular study into the context of the larger discipline in which the topic resides. Once a survey of the literature is completed, a literature review follows to analyse the surveyed short-listed literature in far more detail. Unlike the literature survey, the review is not a mere listing of ideas or books surveyed, but a more rigorous critical assessment or evaluation of relevant content for the study.

Onwuegbuzie *et al.* (2012:18) locate literature reviews and surveys in the research process. These scholars differentiate between the uses of literature during different research phases. They isolate three phases. First, the "exploration phase", in which the study is initiated by means of a survey, organising and storing information, selecting and deselecting sources, as well as expanding the survey. Second, in the "interpretation phase" the information is analysed and synthesised through a literature review. Third, in the "communication phase" the research is reported. These phases are expounded below.

- **Exploration phase:** Creswell (2002:650) suggests that, during this phase, an effective (i.e. research-worthy) problem statement should be formulated, which describes and delineates a current and important issue that confronts researchers and/or practitioners and for which there is no adequate solution available

from the extant literature. More specifically, the problem statement forms a section in a research report. This section contains the following aspects: topic for the study, the research problem within this topic and a justification for the problem based on past research and practice. The focus is also on deficiencies or shortcomings of past research or practical knowledge, and the importance of addressing the problem for diverse audiences. Thereafter, a background to the issue (i.e. of the research problem) should be provided. A thorough literature survey is essential in this regard.

A further part of the exploration phase is the development of a sound conceptual and theoretical framework (Lester 2005:458). Such a framework guides the research process through formal theory "developed by using an established, coherent explanation of certain sorts of phenomena and relationships". A conceptual framework can be regarded as the identification of presumed relationships among key factors and/or constructs to be investigated. In this regard, the framework serves as the "idea context" and "visual mental map" that is derived from a thorough literature review (Van der Waldt 2019:3).

- **Interpretation phase**: The content of the literature review is processed to interpret findings (Ritchie *et al.* 2013). When serendipitous or unexpected findings emerge, it is even more important to use the extant corpus of knowledge to interpret and explain these findings. The literature review during the interpretation phase helps rule in/out rival explanations (Templier and Paré 2015:115). When interpreting extant findings, it is essential that the literature reviewer does not provide recommendations which have been demonstrated previously as inappropriate or untenable. Thus, the researcher must conduct a review of the literature to help make thoughtful and ethical recommendations that are culturally progressive and operationalise solutions to the research question.
- **Communication phase**: During this phase of the research process the literature review should reflect on directions for future research to expand the particular field of study (Palmatier *et al.* 2018:3).

Presenting research output

Scholars such as Levy and Ellis (2006), Sylvester *et al.* (2013) and Palmatier *et al.* (2018) argue that the main difference between a literature survey and a literature review is that the latter can serve as a paper as such, and is heuristically more expansive than a literature survey. In comparison, the survey of a standard research article is usually much shorter (1-2 journal pages), and will not cite nearly as many papers, depending on the topic and the amount of relevant literature available. Literature reviews can thus take on two major forms. The most prevalent one is the review or background section within a journal paper, or a chapter

in a dissertation or thesis. This section synthesises the extant literature and usually identifies the gaps in knowledge which the study intends to address.

According to Mulrow (1987) and Paré *et al.* (2015), a review article can be regarded as a journal-length paper with the overarching purpose of synthesising the literature in a field without collecting or analysing primary data. Green *et al.* (2006:105) regard a review paper as a stand-alone article that could be compared to a "curated" overview of the literature in the field. Such papers can also be considerably longer than a conventional research paper. For practitioners, such reviews are useful to keep them up to date with current topics in the field of study. For scholars, the depth and breadth of the literature review emphasise the authority and credibility of the authors in their field. According to Rowe (2014), high-quality review papers become frequently cited sources, which researchers seek out as a first clear outline of the literature when undertaking their studies. Quality reviews are popular since such outputs help researchers form an overview, if not a detailed knowledge, of the area in question, as well as obtain references to the most useful primary sources (Cronin *et al.* 2008).

ELUCIDATING THE APPLICATION OF LITERATURE REVIEWS AND SURVEYS IN SOCIAL SCIENCES: POSSIBLE 'ANSWERS' TO QUESTIONS

The purpose of this section is to answer typical questions posed on online scholarly portals and postgraduate forums such as Academia.edu, ResearchGate.net, Academia.SE and the Postgraduate Forum. The author does not claim that these 'answers' are the only correct ones. Nevertheless, these responses should at least provide some guidelines and direction for additional reading on the topic.

Q1: What types of sources (books, journal articles, websites) should be considered and what is the academic status of some literature?

This question was largely covered in the section above dealing with primary, secondary and tertiary literature. The academic value of scientific literature is determined mainly by the use of primary scholarly publications, which report original empirical and theoretical work within an academic field (Pandit and Yentis 2005:373). The general position in social science research is that primary sources should be consulted and cited predominantly, especially to construct conceptual and theoretical frameworks for a study (Fink 2004; Bloomberg and Volpe 2012). These types of sources are primarily found in peer-reviewed, scholarly journals. The review of such literature helps the researcher identify gaps in knowledge,

isolate appropriate theories, and conceptualise key constructs and concepts (Blaxter *et al.* 2001). The most recent, credible, reliable and relevant literature is thus used to gain broad, foundational perspectives in support of novel insights.

Q2: How many sources should be consulted and eventually be cited in a master's dissertation or PhD thesis?

Postgraduate students in social sciences are often told to read, and do it extensively. The expectation is that this 'reading' will become the basis of the literature review. Students tend to become overly anxious about such a rather ambiguous, open-ended and seemingly never-ending task. Therefore, they begin to read abstracts of articles and books, scanning through the table of contents and indexes to determine whether the publication is 'relevant'. Thereafter, they begin transcribing content in the hope that it is significant for their study. However, the criteria or yardstick to use when determining whether the content of textbooks or scholarly articles are relevant, remain largely elusive.

In an attempt to answer the posed question, it is important to illuminate the purpose of conducting a literature review in postgraduate research. According to Fink (2004:45) and Steward (2004:496), literature reviews function as a tool for the following actions:

- Provide background to studies by summarising published work.
- Classify published research into different categories and demonstrate how the research in a particular area has changed over time. This is done by disclosing early research findings in an area and explicating recent developments in that area.
- Clarify areas of controversy and agreement between scholars and identify dominant views within the mentioned area.
- Evaluate previous research and identify gaps or unexplored areas.
- Help justify current studies by indicating how they are different from other research in the same area.

Researchers should thus add relevant sources until the abovementioned purposes are achieved. The key is quality over quantity, in other words, not necessarily the number of sources cited; rather whether the student integrated the literature successfully in the research process and findings. Quality of literature also refers to the most seminal work, the most current, preferably primary sources, and the ones related the closest to the topic.

It may be useful to assess the quality of literature reviews against a certain yardstick or benchmark. In this regard, Steward (2004:500) proposes the following criteria for an effective review:

- "Comprehensive: evidence should be gathered from all relevant sources.

- Fully referenced: allowing others to follow the path of the author to the paper's conclusion.
- Selective: using appropriate search strategies to find the key evidence.
- Relevant: focusing on pertinent data.
- A synthesis of key themes and ideas.
- Balanced: between different ideas and opinions.
- Critical: in its appraisal of the literature.
- Analytical: developing new ideas and understandings from the evidence."

Furthermore, the Meriam Library at California State University, Chicago made a considerable contribution by developing the so-called "CRAAP Test". This Test determines whether a literature review is adequately robust. CRAAP is an acronym for:
- "Currency (i.e. recently published)
- Relevance (i.e. applicability and importance of the information required)
- Authority (i.e. credentials of authors and academic value of the source)
- Accuracy (i.e. reliability of information)
- Purpose (i.e. well-balanced, independent piece of research)."

Regarding the quantity of sources, certain universities set as guideline 90 or more citations for a dissertation, others suggest one citation for every 100 words; certain journals advocate a minimum of 40 references or more. Attempting to quantify the number of cited sources, however, implies a futile exercise. Such 'measurements' may lead to a situation where students simply 'pad' their studies to comply with the prescribed number of citations without interrogating the literature or integrating the content with their studies. The quantity of cited sources depends on several factors such as:
- the novelty of the study – naturally, a review of the work by a single author will have far fewer citations than a novel topic with various theoretical, ideological, and paradigmatic possible angles;
- the nature and scope of the topic;
- the number of prior studies that are accessible;
- the purpose of the study (descriptive, analytical, exploratory, etc.);
- the research traditions and conventions of the particular discipline in which the study resides; and
- the guidelines from university faculties, academic programme requirements, and the preferences of study leaders.

Postgraduate studies generally contain a literature review section (typically chapter 2). The purpose of such a section is conceptualising key words and constructs, as well as developing a theoretical framework that integrates theories, principles, approaches, typologies, dimensions, and models. This section therefore generally

contains far more citations than an empirical chapter in a dissertation or thesis. Citations are also critical to support and substantiate contentious statements, or compile central theoretical statements or arguments.

Q3: How should one conduct a literature review?

In an attempt to answer this question, at least two considerations are pertinent. The first is the *type* of review that is done, and the second is the practical, generic *steps* that researchers could follow when undertaking a particular type of review. Regarding types, scholars differentiate between a wide range of literature reviews (e.g. Rudestam and Newton 1992; Kitchenham and Charters 2007; Finfgeld-Connett and Johnson 2013; Sylvester *et al.* 2013; Paré *et al.* 2015; Dudovskiy 2018). They identify the following types:

▪ *Narrative*: These reviews critique the literature, summarise the field of study and draw conclusions about the topic and identifies gaps or inconsistencies in the body of knowledge. This is the conventional way of reviewing the extant literature and often leans towards a qualitative interpretation of prior knowledge.

▪ *Systematic*: This type of review requires more rigorous and well-defined approaches compared to the narrative one. Systematic implies a more comprehensive review, which details the time frame when the literature was selected. Such reviews also attempt to aggregate, appraise, and synthesise in a single source all empirical evidence that meet a set of previously specified eligibility criteria. This is done to answer a clearly formulated and often narrow research question on a particular topic of interest to support evidence-based practice. According to Walsh and Downe (2005:204), a systematic review can be regarded as "a robust way of comparing quantitative research and proceeds according to well-determined steps, which include statistical analysis of the pooled results of studies". Such reviews adhere closely to explicit scientific principles and rigorous methodological guidelines (Higgins and Green 2008). The aim of a systematic review is to identify all empirical evidence that fits the pre-specified inclusion criteria, to answer a particular research question or hypothesis.

▪ *Critical*: These reviews provide a critical evaluation and interpretive analysis of existing literature on a particular topic. The aim is to reveal strengths, weaknesses, merits, contradictions, controversies, inconsistencies, and/or other important issues about theories, hypotheses, research methods or results. In such a review, researchers are more intrinsically involved to provide their ideas, opinions and points of view on a particular literary work. These reviews attempt to reflect on the research that has been done in a particular area of interest, and assess its credibility by using appraisal instruments or critical interpretive methods.

▪ *Argumentative*: As the name implies, these types of reviews examine literature selectively in order to support or refute arguments, underlying assumptions, or

established philosophical positions. In this regard, the potential for researcher bias is a major shortcoming associated with argumentative literature reviews.

- *Integrative*: The main purpose of this type of review is to critique and synthesise secondary data about a topic through integration, thereby generating new frameworks and perspectives on the topic. For newly emerging topics, the aim is to create initial or preliminary conceptualisations and theoretical models, rather than review old ones. This type of review often requires a more creative collection of data. The purpose is usually not to cover all literature published on the topic but combine perspectives and insights from different fields or research traditions.

- *Theoretical*: This type of review focuses on a reservoir of theory that has accumulated regarding an issue, concept, theory, or phenomena. Theoretical literature reviews are instrumental in establishing existing theories, the relationships between them, to what degree they have been investigated, and developing new hypotheses to be tested.

- *Descriptive or mapping*: The primary goal of these reviews is to determine the extent to which a body of knowledge in a particular research topic reveals an interpretable pattern or trend informed by pre-existing propositions, theories, methodologies or findings. These reviews follow a systematic and transparent procedure, which entails searching, screening and classifying studies. Researchers extract from each study certain characteristics of interest such as publication year, research methods, data collection techniques, and direction or strength of research outcomes (e.g. positive, negative, or non-significant). This extraction could be in the form of a frequency analysis to produce quantitative results. In essence, each study included in a descriptive review is treated as the unit of analysis. Thus, the published literature as a whole provides a database from which the authors attempt to identify interpretable trends, or draw overall conclusions about the merits of existing conceptualisations, propositions, methods, or findings.

- *Scoping*: This type of review attempts to provide an initial indication of the potential size and nature of the extant literature on an emerging topic. The review may be conducted to examine the extent, range and nature of research activities in a particular area, determine the value of undertaking a full systematic review, or identify research gaps in the extant literature (Paré *et al.* 2015). In line with its main objective, scoping reviews usually conclude by presenting a detailed research agenda for future works along with potential implications for both practice and research. Unlike narrative and descriptive reviews, the main issue of scoping the field is to be as comprehensive as possible, thus including so-called 'grey' literature.

- *Aggregative:* Social science researchers are generally overwhelmed with large volumes of information, including research-based evidence and evaluation

studies. It is unrealistic to expect that disparate researchers will have the time, skills, and necessary resources to identify the available evidence in the area of their expertise and consider it when making decisions. Aggregative reviews, as rigorous application of scientific strategies aimed at limiting subjectivity and bias, can respond to this challenge.

▪ *Realist*: These are theory-driven, interpretative reviews developed to inform, enhance, or supplement conventional systematic reviews. This is done by making sense of heterogeneous evidence about complex interventions applied in diverse contexts.

Each abovementioned review type deals with a different form of research, which subsequently defines and dictates the way literature reviews are conducted. For example, in the case of narrative reviews, there is greater flexibility in searching and synthesising articles. Researchers often have the relative freedom to use a wide range of approaches. Such an approach helps them search, identify, and select relevant scientific articles, describe its operational characteristics, explain how the individual studies fit together, and formulate conclusions. On the other hand, systematic reviews are characterised by a high level of rigour and use of explicit methods that aim to minimise bias during analysis and synthesis (Higgins and Green 2008). Certain reviews are exploratory in nature (e.g. scoping/mapping reviews), whereas others may be conducted to discover patterns (e.g. descriptive reviews). Still others may involve a synthesis approach that includes the critical analysis of prior research (Paré *et al.* 2015). Therefore, to select the most appropriate type of review, it is critical to know before embarking on a review project, why the research synthesis is sought and what type of methods are aligned best with the pursued goals.

Regarding the practical 'how-to' steps of literature reviews, various typologies and processes are proposed. As explained previously, it is important that the review process is guided by the research problem and objectives. Scholars propose a variety of steps to follow (e.g. Rudestam and Newton 1992; Kitchenham and Charters 2007; Finfgeld-Connett and Johnson 2013; Templier and Paré 2015; McCombes 2019). Five generic steps are outlined briefly below.

Step 1: Search for literature using keywords and citations
It is suggested that researchers should commence by creating a list of keywords related to the topic and primary research question. Useful databases to search for journals and articles in the social sciences include:

▪ EBSCO (Elton B. Stephens Co.)
▪ Google Scholar
▪ JSTOR (Journal Storage)
▪ ProQuest Research

- SAGE Journals
- Social Explorer
- Social Sciences Citation Index (Web of Science)
- Social Science Research Network
- SocINDEX
- SpringerLink
- U-M Digital Collections

Full-text databases are particularly useful when researchers are ready to immerse themselves in research and seek out searchable, multidisciplinary sources to access the full breadth and depth of available literature. Institutional repositories, library catalogues, and web search engines are recommendable in this regard.

Step 2: Evaluate sources
The second step is to evaluate which sources are most relevant to the study. This implies assessing how recent the publication is and the credibility and authoritative nature of the source. The researcher should also consider the key theories, models, methods and arguments that are applied and how authors conceptualised keywords and constructs. Furthermore, researchers should focus on the main findings and conclusions of the study and whether these facets confirm, add to, or contradict accepted knowledge. It is important to maintain full records of each publication so that correct citations can be added to the study. The compilation of an annotated bibliography will assist in this regard.

Step 3: Identify themes and gaps in knowledge
Once the suitable and credible sources are evaluated, researchers should organise convergent and divergent arguments based on key themes and isolate the gaps in knowledge. This means identifying emerging trends and patterns related to theory, method or findings. Gaps in knowledge mainly point to contradictions in findings, deficiencies in arguments, and issues that are not addressed adequately in the literature. This step is especially useful to determine the study's unique contributions towards existing knowledge.

Step 4: Outline the structure
Various methods can be used to design the structure and content of the literature review. It can, for example, be done theoretically in which the researcher outlines various theories, models, and definitions of key concepts. Such an outline is especially relevant if various theories and concepts are used to design a theoretical and conceptual framework for the study. The structure of the review section can also be done chronologically to trace the development over time of the issue or phenomenon under investigation. A further option is to outline the

structure according to themes or methodology. The latter approach would apply if the researcher draws sources from different disciplines or fields that use various research traditions and methods.

Step 5: Compile the literature review section
The final step is actually to write the literature review. This section of the study should demonstrate familiarity with the topic and scholarly context. It should include a theoretical and conceptual framework for the study and position the research in relation to other studies. The literature review should furthermore reveal the gaps in knowledge and reflect on the ways in which the particular study will attempt to address it.

In postgraduate studies it is especially important that researchers reiterate the central problem or research question and give a brief summary of the scholarly context. There should be ample evidence of a robust review of literature and the ability of the researcher to interrogate the existing corpus of knowledge through synthesis, analyses, interpretation and critical assessment of the strengths and weaknesses of current literature on the topic.

Q5: Can a literature review be used as a research tool or method?
A literature survey on this topic revealed a number of divergent opinions. On the one hand, scholars argue that literature reviews merely inform the study and as such cannot be regarded as a research tool or method. On the other hand, scholars such as Whittemore and Knafl (2006), Paré and Kitsiou (2017) and Snyder (2019) convincingly argue that literature reviews can be regarded as a research method (i.e. data collection tool) in certain qualitative designs. A literature review in this context should not be confused with accepted data collection tools such as document analysis and content analysis. Document analysis is a form of qualitative research where the researcher interprets documents to give voice and meaning to an assessment topic (Bowen 2009:28). Analysing documents incorporates coding content into themes similar to the way transcripts from focus groups or interviews are analysed (Bowen 2009:29). A rubric can also be used to grade or score documents. O'Leary (2014) identifies three primary types of documents, namely public records, personal documents, and physical evidence or artefacts.

Content analysis, in turn, can be regarded as a research method that collects data systematically and identifies patterns from a set of texts, which can be written, oral, or visual (Flick 2014:429). In this regard, content analysis can thus focus on books, newspapers, interviews, web content and social media posts, as well as photographs and films. Codes in the form of words, themes, and concepts within the texts are used to analyse the results (Bryman 2016:197). In quantitative studies, researchers can use the occurrence or frequency of certain words, phrases, subjects, or concepts, to draw certain deductions. In qualitative studies,

the researcher usually will be more interested in the intentions of the authors and the responses of target audiences.

Paré and Kitsiou (2017) and Snyder (2019) point out that information collected to inform a literature review represents data. Thus, it stands to reason that the process of reviewing extant literature can be considered as a data collection tool per se. If literature reviews are used to answer specific research questions, then it can be regarded as a research tool just like other similar tools, for example, interview schedules and content analysis. In this type of application, a literature review is generally used as research tool to answer a particular research question such as identifying underlying principles, dimensions and elements of a phenomenon under investigation.

When the literature review becomes an end in itself (i.e. a stand-alone product), then it represents a single research output. The study thus ends when the literature review is completed. According to Snyder (2019:335), when the goal of the literature review is to inform primary research, such a review represents an 'embedded' study. The literature review can be framed as an intrinsic case or multiple case studies, which highlight particular illustrative cases of interest. Such a review can also take the form of an instrumental case study. In such case studies, the literature review is designed to examine a particular case with the main purpose of providing insight into a phenomenon or issue, or reach a generalisation.

CONCLUSION

It is evident that, to different ends and through various means, literature reviews and surveys fulfil indispensable roles in social science research. Indeed, it could be argued that both provide the foundation for all types of research. Literature reviews and surveys form the basis of knowledge construction and production, and, if well conducted, have the capacity to engender new ideas and directions for a particular field of study. In this regard, surveys and reviews ground the interpretation of research findings and provide the basis for future research and theory development.

However, conducting literature reviews and surveys in the social sciences can be challenging. Therefore, this article offered certain guidelines about ways to conduct better, more rigorous literature reviews and surveys. If the study is demarcated well and the scholarly landscape is surveyed adequately, then generally the certainty increases that research, such as postgraduate studies, are built on solid assumptions as well as theoretical and conceptual foundations. It will also be much simpler to identify knowledge gaps allowing researchers to formulate more precise problems and research questions. In this way, surveys and reviews will increase the overall robustness of social science research.

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Reflections on Governance Strengths and Weaknesses in Responding to Covid-19

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ABSTRACT

The Covid-19 pandemic required an unprecedented governance response to manage and mitigate this disaster on a national scale. Amid this crisis, difficult decisions were required in a fast-changing situation, with limited evidence on what actions the government should implement to respond appropriately and successfully to the crisis. This article summarises preliminary findings from a small segment of the Covid-19 national report. A review of the Disaster Management Framework and related documents describes the governance and policy framework for disaster management. A series of interviews with senior government officials at national, provincial and local government level tasked with the Covid-19 disaster management report informs reflections on the strengths and weaknesses of the response during the first wave of the disaster (March 2020 to October 2020). The final section of the article offers preliminary thoughts on the emerging governance strengths and weaknesses in responding to the Covid-19 pandemic. These findings offer valuable insight on the existing capacity to manage national level disasters and possible areas that require strengthening to enable a more resilient disaster management system across the whole of government.

INTRODUCTION

Declared as a Public Health Emergency of International Concern by the World Health Organization on 30 January 2020, Covid-19 triggered global health and

governance regulations and guidelines to support or augment adopted national regulatory frameworks on disaster management.

The emergence of the pandemic and the first confirmed infection case in South Africa was instrumental in changing the lives of everyone in the country and presented a governance challenge that was not only unprecedented, but also unanticipated.

The Commission on Global Governance provides an encompassing definition of governance as a continuing process to manage and coordinate the diverse and conflicting interests and common affairs of society, through both the formal institutions and regimes that enforce compliance and informal arrangements where people and institutions choose a course of action perceived to be in their best interest (Commission on Global Governance 1995). The purpose of governance is to "guide, steer and regulate citizens' activities through the power of different systems and relations so as to maximize the public interest" (Keping 2018:3).

In the context of disaster management, disaster risk governance is "the way in which the public authorities, civil servants, media, private sector, and civil society coordinate at community, national and regional levels in order to manage and reduce disaster and climate related risks" (UNDP 2013:1). Successful disaster management requires sufficient levels of capacity and resources to prevent, prepare for, manage and recover from disaster while enabling citizens to exercise their legal rights (ibid). A further requirement is legally mandated institutions with the appropriate financial, technical, information and human resources to take appropriate decisions and actions. The degree to which such institutions should be centralised or decentralised is often debated. Proponents for a decentralisation approach argue that a local response can better respond to disasters in a locality as it enables a more contextualised and relevant response, informed by local knowledge and perspectives, and quick mobilisation of implementation capacity by local actors (Hermansson 2019:417). The centralised argument is supported in global disaster policy frameworks that advocate a national level response to ensure that sufficient funds and attention are provided to disasters, and to coordinate the collaboration between various actors at different levels of an integrated disaster management system (ibid). This is critical as "disasters claim more resources than what is locally available, which necessitates central resources and involvement" (Hermansson 2019:426).

The President, Cabinet and government in general had critical roles to play in formulating and guiding the nation's response to Covid-19. From the start, the main objective was to save lives, minimise the impact on livelihoods and 'flatten the curve' to buy time for frontline institutions to prepare a comprehensive pandemic response. The implementation approach shows elements of both a centralised and decentralised approach under the auspices of cooperative

governance. Practical implementation was, however, marred by confusion, contradicting messages, complexity of the changing nature of the pandemic, limited available capacity and a lack of financial resources to mitigate the full extent of the disaster.

This article provides an important snapshot of the disaster management governance framework in place prior to the pandemic, the mobilisation of the governance response during the first wave, and reflections on the emerging governance strengths and weaknesses in this first part of the pandemic. Given the ongoing nature of the pandemic, the article offers useful reflections to identify areas of concern. It is expected that these may change over the course of the pandemic as capacity change and new solutions and challenges emerge.

METHODOLOGY

The study is qualitative in nature. Non-empirical data collection included a review of relevant government policies, Acts, strategies and reports that set out the framework for disaster management in South Africa. Interpretive and descriptive techniques were used in describing and analysing the existing material to interpret the processes and functions of policy review before and during the national state of disaster and the various structural arrangements, and to interpret the measures implemented to combat the impact of Covid-19 in South Africa.

Empirical data was collected through online interviews scheduled with political heads and senior managers tasked with coordinating parts of the Covid-19 response in various national and provincial departments as well as at the district and municipal level. This included interviews with a political head in the Western Cape Provincial Government, senior disaster management coordinators from the North West Province, the Western Cape Province, a district municipality, the National Department of Health and the National Disaster Management Centre (NDMC), who also included representatives of the National Joint Operational and Intelligence Structure (NATJOINTS). The interviews focused on describing the disaster management response to the Covid-19 pandemic in the period before lockdown (January 2020–March 2020), and during the initial lockdown period up until October 2020. In addition to summarising activities to respond to the crises, respondents were asked to reflect on emerging strengths, challenges and recommendations in the disaster management response. A thematic data analysis strategy grouped responses on the questions to present a consolidated response.

Before the interviews, all interview partners received the Department: Planning, Monitoring and Evaluation letter of endorsement and detailed information on the project. Notes from the meetings were shared with the interviewees

for verifying the accuracy of the discussion and further inputs. Unless another source is stated, the information from the interviews informs the strengths, limitations and reflections section of this article. To maintain confidentiality, no information is attributed to a specific respondent.

The Ethics Committee of Stellenbosch University granted approval for the empirical data collection component of the research .

DISASTER MANAGEMENT GOVERNANCE FRAMEWORK

The emergence of the pandemic and the first confirmed infection case in South Africa was instrumental in changing the lives of everyone in the country and meant that it could not be business as usual for the country's leadership. According to Wilson (2020), a pandemic is an occurrence that wreaks havoc across the country, which inevitably brings leadership into sharp focus; the President, Cabinet and government in general play an important role in formulating and guiding the nation's response to Covid-19. The main objective of the process is to save lives, minimise the impact on livelihoods, strive to flatten the curve and buy time for frontline institutions (departments, more especially the health sector) to be ready with a comprehensive pandemic response plan (implementable programme). This section reviews the policy framework that provided the governance tools and mandate to respond to the crisis.

In terms of section 41(l)(b) of the *Constitution of the Republic of South Africa of 1996*, all spheres of government are required to "secure the well-being of the people of the Republic" (RSA 1996:section 41). The White Paper on Disaster Management of 1996 provides for a proactive disaster management approach to proactively prevent "human, economic and property losses" through the "introduction of preventive strategies aimed at saving lives and protecting assets before they are lost" (RSA 1999:8). The Disaster Management Act (DMA) of 2002 aimed to give effect to the goals of the White Paper and provides for

- an integrated and coordinated disaster risk management policy that focuses on preventing or reducing the risk of disasters, mitigating the severity of disasters, preparedness, rapid and effective response to disasters, and post-disaster recovery;
- the establishment of national, provincial and municipal disaster management centres;
- disaster risk management volunteers; and
- matters relating to these issues.

The DMA defines a 'disaster' as

> "a progressive or sudden, widespread or localised, natural or human-caused occurrence which (a) causes or threatens to cause (i) death, injury or disease; (ii) damage to property, infrastructure or the environment; or (iii) disruption of the life of a community; and (b) is of a magnitude that exceeds the ability of those affected by the disaster to cope with its effects using only their own resources" (RSA 2002:6).

'Disaster risk management' refers to an

> "integrated multisectoral and multidisciplinary administrative, organisational and operational planning processes and capacities aimed at lessening the impacts of natural hazards and related environmental, technological and biological disasters" (RSA 2005a:2).

In South Africa, the first Covid-19 case was confirmed on 5 March 2020. In response to this, a special Cabinet meeting on 15 March 2020 decided to declare a national state of disaster under Section 27 of the DMA of 2002 that brought into effect the lockdown period that started at midnight on 26 March 2020.

A 'state of disaster' is distinct from a 'state of emergency' in that it can be declared by the President in terms of section 37 of the Constitution of South Africa and the State of Emergency Act of 1997 (RSA 1997). During a state of emergency (RSA 1997), derogations from civil liberties protections under the Bill of Rights such as freedom of assembly are permitted, with some exceptions that include the rights to dignity, life and a fair trial. The courts and Parliament retain a supervisory role as the courts have the power to declare a state of emergency invalid, and any extension of a state of emergency beyond 21 days must be approved by Parliament. A state of disaster (RSA 2002) is a temporary measure by which certain rights are limited, and it may be declared invalid if the requirements for a declaration in section 27(1) of the Constitution are not met. The declaration of a state of emergency is necessary to restore peace and order and may not be the first step in addressing a health emergency, such as the spreading of a virus. Should the emergency escalate and lead to civil unrest, declaring a state of emergency may be justified (Labuschaigne and Staunton 2020). As a health sector emergency, the stipulations of the National Health Act (RSA 2003) and the Risk Management Strategy of the National Department of Health (NDoH 2020a) also came into effect.

This section provides a brief overview of the provisions in the DMA, the National Disaster Management Framework, the Intergovernmental Relations Framework Act (RSA 2003), and selected Acts and strategies from the health sector. The provisions in these documents provide the foundation for the governance response to the Covid-19 pandemic.

The Disaster Management Act (2002)

The DMA (RSA 2002) provides for various institutional arrangements to coordinate the response to declared disasters. At the political level, an Intergovernmental Committee on Disaster Management (ICDM) provides a platform to deal with a declared national-level disaster and to advise and make recommendations to Cabinet on issues relating to disaster risk management and the establishment of the National Disaster Management Framework. The committee comprises the Cabinet members involved in the management of disaster risk and members of the Executive Council and is headed by a designated minister or department. While the committee is formally established according to the Act, the committee was never operational before the Covid-19 disaster.

The National Executive (Cabinet) remains primarily responsible for the coordination and management of a national disaster (RSA 2002). Each national department must adopt a disaster management plan that sets out how disaster management applies within its functional area, typically included in the strategic plan for the sector.

The NDMC established in 2006/2007 within the Department of Provincial and Local Government, now the Department of Cooperative Governance and Traditional Affairs (CoGTA), manages the executive response to declared disasters. The centre promotes "an integrated and coordinated system of disaster management, with special emphasis on prevention and mitigation, by national, provincial and municipal organs of state, statutory functionaries, other role-players involved in disaster management and communities" (RSA 2002:16). The functions of the centre include the classification and recording of disasters, the establishment of communication networks with disaster management stakeholders, the management of a centralised disaster management information centre, the provision of guidelines and the monitoring of disaster management plans in various government entities to prevent and mitigate disasters. Disaster management centres in every province and metropolitan and district municipality support the work of the NDMC. In practice, the allocated resources and functionality of these centres vary.

The DMA (2002) places specific emphasis on directing disaster relief funds to focus on the plight of the most vulnerable and poor sections of the population. In terms of the White Paper on Disaster Management (RSA 1999), effective disaster management requires partnership arrangements between the government, the private sector and civil society.

The National Disaster Management Framework (2005)

The National Disaster Management Framework (RSA 2005a) provides for four key performance areas (KPAs) as well as three supportive enablers to manage disasters.

KPA 1 applies the principle of cooperative governance to establish institutional arrangements to implement disaster risk management within the national, provincial and municipal spheres of government. This includes the ICDM supported by "a National Disaster Management Advisory Forum (the NDMA Forum) consisting of, among others, the Head of the National Centre, a senior representative of each national department whose Minister is a member of the Intergovernmental Committee, and representatives of other disaster management '*role-players*' designated by the Minister" (South African History Archive 2020). The NDMC is responsible for implementing the government's disaster risk management policy and legislation, facilitating and monitoring the implementation thereof, and facilitating and guiding cross-functional and multidisciplinary disaster risk management activities among the various organs of the state. Annual reports from the 2008/2009 financial year onwards on the NDMC website reflect the ongoing work and priority interventions for each financial year aligned with its allocated priority areas as set out above (NMDC n.d.). Further structures at the provincial and municipal level and a forum for joint discussions complete the institutional arrangements for cooperative disaster management. Separate from this, the Department of International Relations and Cooperation facilitates South Africa's role in international cooperation in disaster risk management (RSA 2005a).

KPA 2 provides for the ongoing identification and monitoring of risks. In terms of the monitoring of an identified risk, it provides for hazard tracking, vulnerability monitoring and disaster event tracking (RSA 2005a). "Disaster event tracking systems monitor changing patterns in disaster risk. Increasing or decreasing frequencies of unclassified disaster incidents are sensitive indicators of changing risk patterns in at-risk areas" (RSA 2005a:35). This function is managed by the Directorate: Intelligence and Information Management.

KPA 3 aligns the disaster management frameworks and planning across all spheres of government. It directs the formulation of risk reduction projects or programmes to prevent, mitigate and respond to disasters (RSA 2005a). Successful implementation of the DMA critically depends on the preparation and alignment of disaster management frameworks and plans for all spheres of government (RSA 2002).

The Sendai Framework (United Nations 2015) on disaster risk supports the view that

> "Policies and practices for disaster risk management should be based on an understanding of disaster risk in all its dimensions of vulnerability, capacity, exposure of persons and assets, hazard characteristics and the environment" (United Nations 2015:14).

Furthermore,

> "prevention of new and reduce existing disaster risk through the implementation of integrated and inclusive economic, structural, legal, social, health, cultural, educational, environmental, technological, political and institutional measures that prevent and reduce hazard exposure and vulnerability to disaster, increase preparedness for response and recovery, and thus strengthen resilience". (United Nations 2015:9).

KPA 4 focuses on disaster risk reduction, which comprises all elements that are necessary to minimise vulnerabilities and disaster risks through prevention, mitigation and preparedness (RSA 2005a). It provides for an approach to disseminate warnings and to avert or reduce the potential impact response, as well as relief measures and rehabilitation and reconstruction strategies following a disaster to enable recovery and rehabilitation. Access to central contingency funds may help to mitigate aspects of the disaster (RSA 2005a).

Three enablers, namely appropriate information management systems, public awareness, training and research, and mechanisms for disaster management funding, support achievement of the four KPAs in the framework. Before Covid-19, two sets of emergency funding were provided for, namely a Provincial Disaster Grant and a Municipal Disaster Grant (NDMC 2020). There was no provision for a National Disaster Grant.

The Intergovernmental Relations Framework Act (2005)

The object of the Intergovernmental Relations Framework Act (2005b) is to provide a framework for the national government, provincial governments, local governments and all organs of state within those governments to facilitate coordination in the implementation of policy and legislation. This may include coherent government, effective provision of services, monitoring of implementation of policy and legislation, and realisation of national priorities through a Presidential Coordinating Council, which consists of the Presidency, Cabinet members responsible for finance, public service officials and local government. This is a consultative structure with very limited decision-making powers (RSA 2005b). Where the implementation of a policy depends on the coordinated response between different organs of state, the Act states that those organs of state must coordinate their actions in a manner that is appropriate or required in the circumstances (RSA 2005b).

D'Auria and De Smet (2020) argue that during a crisis, leaders must relinquish the belief that a top-down response will engender stability. In routine emergencies, a country can rely on its command-and-control structure to manage operations well by carrying out a scripted response. In crises characterised by uncertainty, leaders face problems that are unfamiliar and poorly understood.

Top management cannot collect information or make decisions quickly enough to respond effectively. Leaders can mobilise their organisations more effectively by setting clear priorities for the response and empowering others to discover and implement possible solutions.

The establishment of Covid-19 governance structures across the three spheres of government was crucial to ensure an integrated, seamless and coordinated approach to deal with the Covid-19 challenges across the three spheres of government. The National, Provincial and District Coronavirus Command Councils (NCCC, PCCC and DCCC) were established to coordinate activities and processes at all levels of government and to avoid duplication of functions and/or contradictions in the manner in which programmes were rolled out and messages were communicated. It is not clear, however, which legislative framework was used to create the abovementioned structures; they seem to be a duplicate of already-existing legislative forums, such as the NDMC.

The NCCC and PCCC are supported by the NATJOINTS and the Provincial Joint Operational and Intelligence Structure to provide overall coordination of the response to Covid-19, discuss emerging data at daily meetings, develop an informed and coordinated response to the challenge, and advise the members of the NCCC. Responding to questions about the NCCC, President Ramaphosa said that the NCCC was not established in terms of the DMA but instead formed part of Cabinet in an advisory capacity. The NCCC – originally known as the NCC – was established as a committee of Cabinet by the Cabinet at its meeting of 15 March 2020, President Ramaphosa said (Merten 2020). From late March 2020, all Cabinet members sit on the NCCC, although this was not the case when the lockdown started. President Ramaphosa explained that "the NCCC coordinates government's response to the coronavirus pandemic. The NCCC makes recommendations to Cabinet on measures required in terms of the national state of disaster. Cabinet makes the final decisions" (Merten 2020). The NATJOINTS Priority Committee is chaired by the South African National Defence Force, the State Security Agency and the South African Police Service, and also includes personnel from the NDMC within the CoGTA.

Health sector Acts and strategies

The National Health Act (2003) calls for a "co-ordinated relationship between private and public health establishments in the delivery of health services" (RSA 2003:52). It is a wide-ranging law that sets out the rights, responsibilities, priorities and regulations for a national health system that is affordable, accountable and transparent. The health sector risk management plan forms part of the Strategic Plan 2020–2025 of the NDoH.

The key risks identified in the NDoH Strategic Plan 2020-2025 included the following:

- Delays in finalisation and implementation of the National Health Insurance Bill/Act.
- Shortages of human resources in critical positions and inadequate capacity.
- Shortages of pharmaceuticals due to ineffective supply chain management processes.
- Inadequate healthcare infrastructure (new or revitalisation of old hospitals and clinics).
- Lack of adequate funding to meet health delivery service needs.
- Inadequate health prevention and promotion.
- Inadequate financial management (which may lead to irregular, fruitless/wasteful and unauthorised expenditure, and negative audit outcomes).
- Fraud and corruption.
- Inadequate information, communication and technology infrastructure.
- Escalating fraudulent medico-legal claims (NDoH 2020a).

The NDoH Strategic Plan 2020–2025 strongly motivated the importance of the National Health Insurance Bill that aimed to ensure equitable access to quality healthcare for all citizens. Covid-19 emphasised the importance of access to healthcare and the variable backlog in providing sufficient healthcare facilities for all who require medical care.

The Covid-19 outbreak within the first month (March 2020) of the implementation of the Strategic Plan 2020-2025 embodied all the identified risks and required the dramatic reprioritisation of government funding to support the health sector to deal with the pandemic.

In March 2020, the NDoH published a National Infection Prevention and Control Strategic Framework and an implementation manual (NDoH 2020b). The framework aligns with the World Health Organization's eight components to prevent and reduce healthcare-associated infections. The framework focuses on reducing the impact of healthcare-associated infections that threaten patient safety at healthcare facilities, impact on the morbidity, mortality and quality of life of patients, and cause an additional economic burden at the societal and health facility level.

The adoption of the framework served as an acknowledgement of the gap in current policies, infrastructure, equipment, training and guidelines that should have informed Covid-19 management at the facility level. As Covid-19 coincided with the launch of the strategic framework in March 2020, the measures outlined in the framework were not yet implemented. The highly contagious nature of the Covid-19 virus increases the risk of contracting the virus when visiting a treatment facility for Covid-19 patients. Medical personnel, support personnel and patients at facilities

were more vulnerable and the procedures and available equipment to manage the risks of healthcare-associated infections differed between healthcare facilities.

DISCUSSION OF THE GOVERNANCE RESPONSE TO COVID-19

Bringing into effect the provisions of the DMA, President Ramaphosa first addressed the nation on Covid-19 on 15 March 2020, declaring a national state of disaster. He announced that the government was taking urgent and drastic measures to manage the disease, to save lives and to reduce the impact of the virus on society and the economy. The goal 'to save lives and livelihoods' acted as a guideline to help navigate through the pandemic. Clarity of purpose aids in garnering follower support and provides a yardstick against which possible actions can be judged as to their merits or effectiveness. It is the 'and' between 'lives and livelihoods' and not 'lives or livelihoods' that complicates the management of the pandemic, conveying this complexity also to any attempts to judge the success or limitations of the government's response.

In his second address to the nation on 23 March 2020 the President announced a national lockdown and outlined more stringent interventions in a comprehensive plan to limit transmission of the virus and to mitigate its economic and social impact. The measures included tax relief, the release of disaster relief funds, emergency procurement, wage support through the Unemployment Insurance Fund and funding to small businesses. Wilson (2020) argues that the objective of the lockdown as announced by the President does not soften the possibly vexing trade-offs between health and economic considerations but it does, at least, hold both as being of central concern.

South Africa was the first country on the African continent to impose a lockdown from midnight on 26 March 2020. This quick response has been applauded internationally (Harding 2020) and helped with the preparedness of the health sector in particular. The implications of such a lockdown in a country already in a period of economic downturn are worrying. The lockdown further threatened access to food and in townships social distancing and quarantining are simply impossible. Deploying the South African National Defence Force and the South African Police Service, historically associated with violence, to enforce the lockdown likely just worsened matters (see Kiewit 2020). Confusion about some of the regulations, clumsy messaging and U-turns from some of the country's ministers have not helped either.

The next two sections reflect on some of the main strengths and limitations of the governance response to Covid-19 during the first wave of the pandemic (March to November 2020).

EMERGING STRENGTHS OF THE COVID-19 RESPONSE

Regulatory framework

The Covid-19 disaster demonstrated the strength of provisions in the DMA (2002) that enabled responses and actions from the government that were not provided for in existing legislation. To further support the management of the disaster, a record number of gazetted notices were passed with very short turnaround times.

Cooperative governance approach

South Africa adopted a very structured response to the pandemic. Strong political commitment by the NCCC and Members of the Executive Councils echoed the serious nature of the state of disaster. Approaches that included the whole government implemented under the strong leadership of the President ensured that every Cabinet minister and every department were involved in the response.

The NCCC played an important role in monitoring health and social and economic considerations and informing recalibration of the risk adjustment strategy. During lockdown level 5, visible law enforcement enabled effective implementation of the strict lockdown regulations.

Some available institutional capacity

The pandemic emphasised the role of the DMA, the NDMC and every state entity in managing risks. The South African health sector had good prior experience in managing outbreaks (e.g. listeriosis), and this enabled the Centres for Disease Control and Prevention in South Africa to provide input to the Ministerial Advisory Committee's response to Covid-19. This carefully selected committee, consisting of medical experts and chaired by Prof Salim Abdool Karim, helped to inform a scientific response for the country.

At the provincial and local level, a joint implementation approach ensured the efficient sharing of information on Covid-19 between provincial management, district municipalities and local municipalities. Where functional platforms existed before lockdown, these could be quickly scaled up to meet the intense governance demand required by the state of disaster and benefited from established good relationships, trust, cooperation and strong communication lines.

Flattening the curve

South Africa did well in flattening the curve. Models presented at the start of lockdown calculated the height and length of the curve on the assumption that no

measures would be implemented. The adopted interventions served well to flatten the curve but also may have lengthened the curve. Epidemiological modelling was an important decision-making tool but has its detractors as initial modelling predicted numbers of infections and deaths that were significantly higher than eventually reported, and this may have distorted resource allocations and decisions on the severity of the lockdown.

Partnerships with the private and non-government sector

Covid-19 reiterated the value of relationships between the public, private and non-government sectors. Non-governmental organisations and community-based organisations played an important role to provide humanitarian relief during the hard lockdown period. Some private sector companies offered access to non-state medical facilities (e.g. in hospital facilities at mining companies) while private hospitals agreed to accept an overflow of public patients to private institutions at a proposed reimbursement rate. The initial hard lockdown phase (March to April 2020) solicited strong public support and adherence to the prescribed measures, in contrast to the public protests and debates seen elsewhere in the world.

Commitment from public servants and strategic advisors

Throughout the state of disaster, but specifically in the initial leadup and period of the first wave (March to July 2020), unremitting efforts from a relatively small number of people at the various disaster management nodes informed the government's response to emerging issues. The NDMC accessed a network of experts that contributed to robust discussions on disparities in trends or contradictions in available information.

Building information systems

Lockdown level 5 helped to delay the rate of infections and allowed an opportunity to invest in strategic information systems. While March was characterised by little evidence on the local infection trends, by level 4 there was ample data on infections per area and the spread and escalation of infection, and accurate predictions on how the infection would spread. Researchers were generally able to access Covid-19 information for various research projects.

Adopting remote-working arrangements

The state of disaster effected an immediate and dramatic transition to electronic platforms and virtual meetings. This offered potential gains in changing the nature of

organisations and the demand for physical office space. Specific to public management and disaster management, virtual meetings could enable national, provincial and municipal actors to engage regularly without incurring travel expenses.

EMERGING GOVERNANCE LIMITATIONS OF THE COVID-19 RESPONSE

The national state of disaster revealed prior embedded constraints that limited the response to Covid-19.

Unclear mandates and deviations from the Disaster Management Act

The DMA provides for three structures, namely the ICDM, the NDMC and the National Disaster Management Advisory Forum. The NCCC seemed to duplicate or take over the responsibilities and functions of these bodies, and it was difficult to find alignment between the various coordination structures (NATJOINTS, NDMC and provincial-level disaster management centres). Seemingly, there was insufficient initial thought regarding the legal ramifications of not implementing the DMA in full, and the new structures lacked clear mandates and coordination guidelines.

Limited institutionalised and financial capacity for disaster management

The crisis highlighted the reality that South Africa's disaster management system was under-resourced, poorly structured and located, and in need of an overhaul. To fund the response to Covid-19, the 2020/2021 budget was dramatically rehauled to redirect available funds and access external funds. Spending on Covid-19 put significant pressure on departmental and municipal budgets and required departments to reprioritise, reduce targets and even terminate projects to redirect funds. Many municipalities had faced financial challenges before Covid-19, and reprioritising available funds would mean that rendering basic services would be a challenge for municipalities going forward. While the national government has undertaken to provide extensive funding for the Covid-19 response, the funding has not been forthcoming. There is a need for a coordinated strategy to deal with the financial repercussions of the pandemic.

The powers and functions of the NDMC seem restricted with its placement within a ministry. The mandate and role of the NDMC were not widely understood, and in the initial lockdown phases, it was difficult to establish relationships

with the NDoH to coordinate the disaster management response. Especially in the initial hard lockdown phase, the task of coordinating the disaster response often fell on a small group of people who continuously had to drive the process of information analysis and response formulation. This was not a sustainable strategy given the extent of the disaster. The nerve centres were overburdened, and information received on new cases was often incomplete, which increased the demand on the nerve centres to follow-up for effective tracing.

Crippled healthcare sector

Covid-19 has dramatically demonstrated inequalities in access to healthcare and the backlog in public health facilities for all who require medical care. National health risk strategies provide evidence that the NDoH was aware of the risks faced by the health sector and the gaps in the health system that shaped access to healthcare. Despite plans to address these, Covid-19 struck a system in which access was limited and very unequal, affecting the quality (and equity) of the national response.

The initial hard lockdown offered the health sector time to adapt and enabled local companies and the Council for Scientific and Industrial Research to produce a large number of ventilators that were globally in short supply. It allowed hospitals an opportunity to create the necessary facilities, instruct health personnel on how to deal with Covid-19, and procure the necessary protective equipment and drugs. The hard lockdown enabled community development workers to identify hotspots and take the people into quarantine to prevent the spread of the disease. Lockdown bought time and shifted the peak of the curve further down the line.

However, while ventilators could be produced quickly, it is more difficult to quickly obtain nurses and doctors to operate the ventilators. Although an advertisement for primary care providers was placed, many private sector practitioners did not respond, possibly due to fear of contracting Covid-19 by working in the public healthcare facilities.

Further capacity constraints in the health sector included the lack of transport to perform contact tracing, challenges in obtaining personal protective equipment (PPE) for the health sector staff on a competing public market, dealing with poor-quality products and misinformation.

At the peak of the first wave, the turnaround time of testing laboratories was very low. In the initial stage of the pandemic, everyone was tested, even those without symptoms, and this was useful to curb the infection. However, at lockdown levels 4 and 3, high demands on the laboratories necessitated a shift to targeted testing to lessen the demand on the laboratories. In part, this contributed to the spread by those who were asymptomatic carriers of the virus.

Another factor that was not well anticipated was the significant decline in non-Covid-19 patients at hospital facilities. During the lockdown period, many

persons avoided seeking healthcare or visiting healthcare facilities because of the fear of contracting Covid-19. This may have contributed to reported excess deaths that are not directly Covid-19 related but may rather be attributable to insufficient treatment of existing medical conditions.

Lack of available evidence systems

The crisis highlighted weaknesses in existing information and data management systems. In March 2020, the international context offered limited evidence to enable effective management of Covid-19. A modelling team developed models on assumptions about and experiences with the pandemic in Europe and worst-case scenarios presented for hospital beds, human resources, ventilators, drugs and medicines. This informed the NCCC's decision for a hard lockdown in March. In retrospect, the presented models were not appropriate for South Africa. One could also argue that if the government had ignored the international trends and South Africa had followed a similar trajectory that resulted in a massive loss of lives, the impact would have been worse than erring on the side of caution.

In the early phases of the pandemic, local information on the spread of Covid-19 was not readily available and information systems to allow access to critical information were not in place. Conflicting information from independent research bodies such as the Medical Research Council on excess deaths, an identified disparity between reported Covid-19 deaths versus actual deaths outside of the expected norms, continues to cast doubt on the accuracy of reported information.

Underestimated need for humanitarian and economic relief

The extent of humanitarian relief needed was underestimated. The fallout from Covid-19 in terms of loss of food and total income was significant and much more extreme than expected. In one single district in the Western Cape Province, job loss in the agricultural sector was estimated at 80 000 jobs. The tourism and hospitality sector was also devastated by the pandemic. The financial implication for municipalities and provinces to respond to the humanitarian (hunger, housing and loss of income) crisis was severe.

The South African Social Security Agency (SASSA) failed to fulfil its role; the organisation did not have the capacity or strategic response to deal with the crisis. With no alternatives available, citizens suffered from lockdown fatigue and the loss of income. The hard lockdown strategy contributed to a prolonged social and economic recovery from the pandemic, with implemented social grants (Covid-19 unemployment grant) and economic relief grants (business discontinuity support) insufficient to meet the created need.

Instilling behavioural change in the general public

While advice from behavioural scientists was helpful to inform communication and the government's response to facilitate community behaviour change, managing social disobedience was difficult. Despite continuous communication to create awareness of the pandemic, citizens disregarded the lockdown and social distancing rules. This further overtaxed the limited capacity of disaster management centres to deal with cases of non-compliance with the lockdown regulations. As lockdown fatigue and the recovery rate increased, voluntary adherence to lockdown regulations decreased, contributing significantly to the resurgence of cases in November and December 2020.

Lack of transparency in decisions

Established advisory forums offered policymakers direct access to relevant experts. The novel nature of the virus meant that evidence on the successful management of challenges was often not available, and this may have resulted in speculation and less-informed advice and decisions from the advisors and may explain possible non-adoption of this advice. The basis for accepting or rejecting advice from the Ministerial Advisory Committee was not communicated transparently. The failure to explain the rationale that informed decisions, however, undermined public trust and citizens' response to Covid-19-mitigating strategies. This was worsened by contradicting messages and directives from different ministries that confused implementers and the public.

Lack of accountability to the political sphere and the public

The need for rapid executive action came at the expense of political oversight and accountability, critical for strong democratic practices. The approach was arguably too top-down in character. Information that informed elements of the Covid-19 risk reduction strategy was not always transparent. There has been little shared evidence of a central plan to manage the disaster or the data that informed this.

Reactive rather than proactive risk management

The management response was reactive in managing aspects of the disaster. NATJOINTS did not have a dedicated team that focused on the changing nature of the disaster (what would happen in the next 10 days) and the response needed to get ahead of the curve.

Corrupt practice

The surge in corrupt practices undermined public confidence in the management of the pandemic. The National Treasury allowed provinces to buy PPE directly but did not provide the necessary support to provinces to control the price and quality of goods. Provincial departments entered into agreements with suppliers that were not appropriately registered and in some cases also acted as importers from overseas suppliers. Corruption in supply chains soon undermined confidence in the response and generated widespread anger, including in the public service.

REFLECTIONS ON THE INITIAL GOVERNANCE RESPONSE TO COVID-19

Effective disaster management requires a system that prevents and mitigates the effect of disasters and enables quick recovery after disasters. The reflections here consider practice for the future.

Leadership and governance capacity for disaster management

Effective leadership during a prolonged crisis with such serious consequences is necessary for a country and its people and requires physical, psychological and emotional resilience. However, weaknesses in departments, and in governance more generally, have become more evident and there is a lack of coherent leadership at different levels. Corruption has weakened leadership, systems and institutions. Under such circumstances, the difficulties in planning, designing and implementing complex policies have meant that service delivery has suffered.

The DMA provides a strong legal framework in coordinating a disaster management response but could be revised to provide a more comprehensive framework for future risks, not only based on past risks. Appropriate institutional infrastructure should be designed for appropriate proactive decisions and successful implementation. The structures needed to respond to the disaster must be created in the sector that is best placed to manage the response.

In some sectors, there may be a need to change existing legislation to allow for more effective management of risks in that sector. Amendments to the National Health Act and health regulations may provide a more permanent solution to address risks associated with pandemics rather than evoking the DMA.

Future disaster preparedness requires a community-based approach from the beginning. A bottom-up approach to governance that works with citizens is important. While the management of risks may require short-term restriction of

movement and coordination of behaviours, freedom of movement is a constitutional right and Covid-19 fatigue demonstrates that long-term restriction of this right is not easily accepted by citizens.

Institutional structures to manage national-scale disasters

The institutional architecture created for Covid-19 offers lessons for future configurations. There is a need to consider more carefully the boundary between security and non-security-related apparatus; the unnecessary fixation with standardising administrative and managerial structures that may come at the expense of contextual appropriateness and innovation; providing a clear legal basis for established structures; eliminating duplication of reporting; and clear separation of mandates between the various implementing and decision-making institutions.

NATJOINTS is an effective structure for natural disasters. The structure in its composition is largely biased towards maintaining law and order through the police and military, and the tools adopted are ones more suited to that sector. Sustainable social commitment to implementing disaster management measures would benefit from an approach that balances control with the constitutional norms of democracy, human rights and cooperative governance. Whether the government achieved this balance is debatable, and the courts may be the final arbiter. It would, however, be deeply unfortunate if the pandemic led the government towards a more hierarchical and directive approach. Achieving coherence in government in 'normal times' should not mean overriding differences and relying on instruction but should rather ensure that the necessary platforms for dialogue and processes for mediation and conflict resolution are in place.

There is a need to clarify roles and responsibilities between the various coordination structures (NATJOINTS, NDMC and provincial- and district-level disaster management centres). The institutional placement of the NDMC could be reconsidered, with possible placement within the Office of the President to better allow the NMDC to coordinate a horizontally and vertically integrated response to national-level disasters. The NDCC should continuously build networks of experts that can provide advice on emerging and identified disasters.

At the local government level, the Joint District and Metro Approach (JDMA) methodology in the Western Cape Province provided for a geographic team-based approach with representatives from various provincial and national departments. The JDMA approach enabled the district and local mayors to have access to reported information and to participate in the Cabinet meetings where the Covid-19 response was discussed. Capitalising on the knowledge, skills and commitment of the officials within municipalities is important to guide successful implementation appropriate to the local context.

Building a resilient system that recovers from disasters effectively

The national state of disaster dramatically increased awareness of the importance of risk management. This awareness is helpful to ensure that every organ of state regularly analyse sectoral risks and adopt a disaster management strategy to manage and reduce such risks.

It is important to raise the profile and importance of disaster management centres at the national, provincial and municipal level. Disaster management planning needs to be used as a mechanism that enables resilience to disasters. All government departments, municipalities and entities need to adopt a disaster management plan and establish a central unit that will ensure day-to-day implementation of the plan and that will become the main contact for the NDMC in case of a disaster.

Given that national-scale disasters are infrequent and that the specific nature of a disaster cannot be predicted, creating permanent capacity for all possible types of disasters is not deemed viable. Rather, increased attention to designing appropriate protocols to manage national disasters is recommended. In the case of high-impact disasters, it is important not only to respond to the requirements of the sector but also to adopt a wider response that will limit the economic and social impact of the disaster on citizens and will enable the country to recover from the disaster more efficiently.

Successful mitigation of a disaster requires cooperation between all spheres of government as well as cooperation with private and non-government partners. Prioritisation is important in the context of limited resources. The learning and gains from the pandemic need to be institutionalised, and existing good relationships need to be further strengthened.

The process to streamline information sharing needs to be addressed to ensure a practical system that is widely supported. Attention must be given to developing approaches to emergency procurement that are flexible but remain transparent and retain the necessary safeguards.

Addressing health sector constraints

The Covid-19 pandemic highlighted the importance of addressing the impediments to universal and quality healthcare. This pandemic showed a lack of readiness in terms of facilities, resources and personnel in the health sector to provide service to all citizens. There is a need for ensuring appropriate infrastructure and equipment in all treatment facilities, expanding the number of health sector personnel, investing in the capacity and well-being of human resources, and investing in integrated electronic information management systems. To improve the management of future

pandemics, versatile laboratory services that can quickly adapt their testing capacity to deal with a short-term spike in demand for specific tests are important.

A sustainable funding model for disaster management

Spending on Covid-19 has put significant pressure on departmental and municipal budgets. SASSA and the Department of Social Development struggled significantly to distribute food parcels, and in the interim, provincial and local governments redirected funds to assist communities while the SASSA systems were put in place.

The DMA requires an integrated approach, and a single sphere or sector cannot provide the full financial commitment to mitigate a disaster. This pandemic demonstrated South Africa's lack of fiscal resilience to natural disasters. There is a need for a coordinated strategy to deal with the financial repercussions of the pandemic.

Changing behaviour through citizen engagement

Successful management of the pandemic depended on a collaborative implementation approach and commitment and support from citizens. Behaviour scientists advised that punitive measures were difficult to enforce. Adopting a positive approach that encourages and incentivises people to comply and work together is easier to implement and more successful to effect mass behaviour change.

The level of behaviour change achieved with Covid-19 restrictions demonstrates that behaviour-related diseases can be mitigated through these measures, but with due consideration to avoid infringement on human rights. During the hard lockdown phase, crime decreased due to restricted movement and reduced alcohol misuse decreased the number of trauma cases. There is a need to better understand and appreciate the lessons learned on implementing effective behaviour change on a societal level. This may be extended to addressing other lifestyle-related diseases and social ills associated with crime and substance abuse.

The Covid-19 pandemic is one type of disaster at a national level, but other challenges such as climate change, free movement in the global village, diverse social ills and inevitable economic setbacks also require a risk management system that creates a resilient society. Resilience does not mean that disaster is always avoided; rather, it measures our capacity to recover from the unforeseen.

CONCLUSION

In a crisis of this kind and scale, the government must assemble a wide array of capabilities including those concerning anticipation and quick diagnosis, ongoing

learning, rapid response, continual adaptation and sustained effort through the post- disaster recovery. These capabilities are underpinned by institutionalised disaster preparedness, including an institutional architecture for disaster response, effective decision support systems, and supportive institutional cultures and values. Political leaders must demonstrate moral authority, effective operational and communication skills, and attention to human rights.

Key leadership practices that must be exercised during times of adversity and crisis include offering decisiveness in decision-making, conveying resilience and confidence, providing hope and vision, retaining and building credibility and trustworthiness, and communicating constantly.

The discussion in this article on the initial response to the Covid-19 pandemic also reveals that while the regulatory framework was in place, the effective mobilisation and implementation of a coordinated disaster management response faces several limiting factors, including unclear mandates, lack of information, lack of financial, institutional and human capacity, unanticipated results from actions and a reactive approach to risk management.

A more resilient system will require dedicated and well capacitated institutional structures to coordinate national level disaster responses, supported by a sustainable funding mechanism and strong capacity across various effective sectors.

NOTE

* Views expressed here are those of the authors and not Stellenbosch University, the Department: Planning, Monitoring & Evaluation, the Government Technical Advisory Centre or the National Research Foundation.

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Public and Stakeholder Participation in the Municipal Demarcation Process in the Collins Chabane Local Municipality

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ABSTRACT

The article explores the nature and extent of public and stakeholder participation in the municipal demarcation processes undertaken by the Municipal Demarcation Board (MDB) towards establishing Collins Chabane Local Municipality located in the Vhembe District Municipality in Limpopo Province, South Africa. The study stems from the government's decision that was concluded through the Minister of Cooperative Governance and Traditional Affairs' (CoGTA) request to the MDB to establish the new municipality under the Vhembe District Municipality after the 2016 local government elections. The establishment of the new municipality led to several challenges that emanated from the community of Vuwani, which previously formed part of the Makhado Local Municipality, as well as certain traditional councils which objected and protested the MDB's decision to incorporate their areas into the newly established municipality. These stakeholders cited that they were not adequately consulted by the MDB before its decision to change the municipal boundary. To this end, a comprehensive review of a qualitative set of data collected from a variety of sources was selected and analysed to achieve the research objective of this article. The study revealed that various factors undermined the participatory role that communities and stakeholders should have played in the municipal demarcation processes leading towards the establishment of the municipality. Key challenges include, but are not limited to, the inadequate involvement

of traditional councils on areas proclaimed as rural traditional councils; inadequate mechanisms, systems and procedures for public participation; an inability to insulate between financial sustainability and service delivery challenges; and a lack of social cohesion between different ethnicities and tribal groups. Based on the aforementioned, the study proposes appropriate interventions that government can adopt to enhance and entrench a culture of public and stakeholder participation in the municipal demarcation processes. The study argues that government alone cannot resolve demarcation problems; it requires collective action by all relevant stakeholders.

INTRODUCTION

Since democratisation there have been several municipal boundary reforms in South Africa. The *Constitution of the Republic of South Africa, 1996* (hereinafter referred to as the Constitution) makes provision for the establishment of the MDB as an autonomous institution responsible for determining or re-determining municipal boundaries, including delimiting wards across the country's territories. Through engaging in its functions of boundary determination, the MDB must ensure that it actively encourages the public to participate in the decision-making and policymaking processes. As a democratic entity, the MDB should discharge its responsibility in a manner that is impartial and perform its functions without favour, fear or prejudice.

This article explores the level of public and stakeholder participation in the municipal demarcation processes leading to the establishment of Collins Chabane Local Municipality within the Vhembe District Municipality. More specifically, the article is concerned with the participatory role that stakeholders and communities should play in the municipal demarcation process. Thus, the process essentially forms part of the building blocks of a functional and participatory democratic local government in South Africa. First, the article will explore a historical perspective related to municipal boundary reforms in South Africa. Second, there will be an analysis of the level of public and stakeholder participation processes by the MDB. This will be contextualised within the process undertaken while establishing the Collins Chabane Local Municipality. Third, the research methodology will be described to explain the empirical approach followed in the study, and the institutions involved in the municipal demarcation process towards the establishment of the municipality. In conclusion, the article provides key research findings and recommendations regarding the municipal demarcation processes in South Africa.

HISTORICAL PERSPECTIVE OF MUNICIPAL BOUNDARY REFORMS IN SOUTH AFRICA

The present internal boundaries in Africa and sub-Saharan Africa have emerged and originated from its colonial legacy. Craythorne (1997) notes that, during the 19th century, most European forces targeted and paralysed the majority of the countries on the African continent and took control of several states through colonial means. According to Lynne (2012), after World War II, African countries gained control of their territories following an agreement made by sub-Saharan leaders to respect the colonial borders. In the 1890s, the British colonial power continued with the process of delineating countries into regions. In other cases, the countries were further subdivided into districts. The division was made to maintain large ethnically homogenous groups as far as possible to sustain control and manage communities. In 1910, the Union of South Africa established four colonies, namely the Cape Colony, Orange River, Natal and Transvaal, which were solely represented by Governor Generals as self-governing states of the British Empire and remained under the formal rule and control of the British (Kleingeld 2003). After the defeat of the Boers, the colonies gained self-governing status and began to demarcate jurisdictions based on race and ethnicity (Ncube & Monnakgotla 2017). For example, the promulgation of the various pieces of legislation such as the Natives Land Act, 1913; the Urban Areas Act, 1923; and the Group Areas Act, 1950 entrenched and formalised the policy of separate development. These pieces of legislation discriminated against African black people in society (Smythe 1999). Especially black men were targeted, as they were required to have a qualification before they could legally reside in white proclaimed areas (Smythe 1999). However, after the 1950s, when there was an attempt to apply the same law to African women, the legislation was met with significant challenges until these practices were effectively ended in the 1980s, resulting in a negotiated settlement relating to various matters pertaining to local government (Netswera & Phago 2011:131).

During transition to a democratic dispensation in South Africa, an independent institution was established to define the criteria for the determination or re-determination of municipal boundaries across the entire territory of the country. Thus, the local government elections and demarcation processes took place in accordance with the Local Government Transition Act 209 of 1993 (LGTA). During that period, the Member of the Provincial Executive Council (MEC) responsible for Local Government in each province determined the boundaries based on the advice of former provincial demarcation boards. Owing to a Provision of section 155(3)(b) of the Constitution, 1996 as well as the subsequent amendments to the LGTA, the nine provincial demarcation boards were disbanded and MECs were no longer responsible for the determination of municipal boundaries. This originated from the development and promulgation of two pieces of legislation,

namely the Local Government: Municipal Structures Act, 117 of 1998 (hereinafter referred to as the MSA) and the Local Government: Municipal Demarcation Act, 27 of 1998 (hereinafter referred to as the MDA).

Stanton (2009) contends that, whereas apartheid policies prohibited widespread public participation, the introduction of the Constitution, 1996 mandates municipalities to involve communities in local government matters. Mathekga (2006) argues that, although current local government institutions were created to positively influence local democracy and to bring about change in local government, the institutions have failed to meet expectations. The above discussion highlights that, while the Constitution, 1996, acknowledges the role of public participation in the demarcation process, communities play a limited role in the South African local government. As a result, it is essential that public participation processes in the municipal demarcation be encouraged to foster and ensure, among others, inclusivity and effective democratic local governance that adequately responds to the needs of the people, as enshrined in the Constitution, 1996.

RESEARCH METHODOLOGY

This study adopted a qualitative research approach to data collection and analysis. The rationale to engage in a qualitative research approach is that it would enable the researchers to focus on a specific phenomenon within the selected case. Furthermore, related documents were consulted to formulate a conceptual base for the research problem and to analyse them to determine the circumstances and limitations that keep the MDB from achieving its objectives. Content analysis was employed as data collection method, whereby the survey of the literature is analysed to develop themes that would assist in understanding the phenomenon of municipal demarcation.

The qualitative approach enabled the researchers to review the available documentation against the current practices by drawing inferences and determining gaps within the current demarcation processes and practices in South Africa. This included a comprehensive review of multiple sources, including journal articles, books, internet sources, news articles, court cases, MDB reports, circulars, municipal reports, Integrated Development Plans (IDPs) and legal notices published by the Minister of CoGTA and the MEC responsible for Local Government in the Limpopo Provincial Government. These sources were utilised to draw inferences, narrative and analysis of the research subject.

The chosen method also enabled the research study to scrutinise and analyse different cases based on existing literature. Through this approach, the researchers were able to identify, explore, analyse and determine challenges relating to community and stakeholder participation in the re-determination of municipal boundaries

Figure 1: Municipal boundary re-determination process

MUNICIPAL BOUNDARY RE-DETERMINATION PROCESS

Requests by Minister of CoGTA or MEC or concurrent municipalities in terms of Sections 22 of the MDA, 1998

Publication in terms of Section 26 of the MDA, 1998

Consideration of Section 26 views and representations

Public meetings and investigations

Conduct public meetings

Conduct formal investigations

Considerations of input

Decision to re-determine and publish in terms of section 21 for objections or not to re-determine

Consideration of objections

Final decision on re-determinations including confirmation or varying or withdraw and publish final decision on Provincial Gazette in terms of Section 21

Source: (Adapted from Municipal Demarcation Board (2017:10))

within the South African context. Through the use of content analysis, the researchers were able to re-examine and validate the existing information relevant to the research subject. Data gathered from these secondary sources was analysed and deductions were drawn, where applicable, to allow for further scrutiny.

PROMOTING PUBLIC AND STAKEHOLDER PARTICIPATION IN MUNICIPAL DEMARCATION PROCESSES

In South Africa, re-determination processes relating to municipal boundaries involve numerous actors with different roles and responsibilities. These roles and responsibilities are strictly defined in terms of the MDA, 1998 and certain provisions in the MSA, 1998. To ensure the efficiency and effectiveness of public and stakeholder participation, it is critical to understand the roles and responsibilities of the various actors during the process of restructuring of municipal boundaries. Figure 1 illustrates the processes, criteria and procedures that the Board should follow before considering the municipal boundary changes.

The process map contained in Figure 1 highlights that public opinion and participation is central to the MDB's boundary determination processes. Thus, without the necessary public meetings, there will be no investigations into whether it is feasible to re-draw the boundaries or not. Various stakeholders constantly opposed the Demarcation Board's decision to establish the Collins Chabane Local Municipality. Thus, it becomes imperative to understand the complexities around the municipal demarcation process, particularly when establishing a new municipality like the Collins Chabane Local Municipality.

The role of the Municipal Demarcation Board

Section 8 of the MDA, 1998 provides for the appointment and the composition of the members to form part of the decision-making of the Board, which may not be fewer than seven and should not exceed the maximum of 10 members. One of those members must be appointed as the chairperson of the Board and another member as the deputy chairperson. The members of the MDB must be appointed by the President and their term of office is seven years. However, while the MDA, 1998 places the responsibility for such an appointment on the President, it is based on the recommendation of the Minister responsible for Local Government as a designated member.

Since the demarcation of municipal boundaries is highly politicised, it has always been met with criticism from the opposition parties against the governing party, the African National Congress (ANC). Most of the criticism, as cited by various political parties, reveals that there is a perception that the ANC interferes

with the MDB's affairs. This notion has been reflected in the High Court judgment by Judge J Kollapen in the case between the Democratic Alliance v MDB and Others (High Court of South Africa Case No: 70915/201 5). It is argued that the MDB appoints individuals who are aligned to the ANC and who would make decisions that favour their partisan interest. This is despite the fact that the MDA, 1998, in terms of Section 8(2), empowers the Minister of CoGTA to form a panel of designated members including the Constitutional Court President, a South African Local Government Association (SALGA) representative and the Chairperson of the Select Committee responsible for Local Government in the National Council of Provinces (NCoP). It is argued that this on its own poses a risk for other people aligned to the ruling party to be appointed and shortlisted into the positions.

Despite the above, this has not guaranteed impartiality concerning the checks and balances for the appointed board members. Arguably, the Minister of CoGTA usually provides secretariat support services regarding the shortlisting and screening of applicants to be appointed as board members. This poses a risk that similar persons are interviewed and subsequently appointed to earmarked positions. It is therefore suggested that an independent process be established to guarantee the independence and impartiality of the process from its inception, including the screening and shortlisting process.

Section 6(3) of the MDA, 1998 also provides that, "The composition of Board members must be broadly representative of the South African society and should reflect regional diversity". However, there is a misunderstanding and misinterpretation of the term 'regional diversity', as contained in the Act in its present form. This has resulted in a misperception among other stakeholders who demand that the Board consist of nine Board members selected from each of the provinces, which is not the intention of the legislation. It is therefore essential that such a definition be clearly articulated in the MDA, 1998 to ensure consistency and uniformity regarding implementation.

Responsibilities of local communities and individuals in demarcation

The most common and primary stakeholders in the redetermination of municipal boundaries are individuals constituting the electoral constituents in communities. Before considering any re-determinations of a municipal boundary, Section 26(1) of the MDA, 1998 obliges the MDB to publish a notice in a newspaper circulating in the concerned municipal area stating such an intent to re-determine a municipal boundary. The notice should also invite written input from the public and this should be done within 21 days. Also, the notice should be conveyed via radio or any other appropriate means of communication within the concerned area.

During February 2015, the MDB embarked on a consultative process undertaken in terms of Section 26 of the MDA, 1998 to demarcate municipal boundaries. The process included distributing several notices to councillors, traditional councils and ward committees, informing them of the intention to demarcate the specified areas. Furthermore, the notices were issued to community development workers, businesses, community organisations and print media (i.e. *Sowetan*, *Beeld*, *SA News*, and *The Star* newspapers). Copies of print media messages were also distributed to national and local community radio stations, such as *Munghana Lonene*, *Phalaphala*, *Thobela* and *SAFM*. This was done in the *Provincial Gazette* No. 2545 (Notice No. 262 of 7 July 2015), requesting inputs and written representations from the stakeholders.

According to Rasila and Musitha (2017:1), the abovementioned media platforms used by the MDB failed to reach the objective of communicating the message to rural-based communities because of limited access to technology, such as radio and smartphones, as well as access to print media. As highlighted in the MDB Capacity Assessment Report (2014), Collins Chabane Local Municipality is predominantly rural with the highest prevalence of unemployment and illiteracy. The level of illiteracy within the Collins Chabane Local Municipality is estimated to be at 20.7%, with only 28.1% of people possessing a matric or higher education qualification. The remaining 50.6% of the population remain inconclusive. Given the high illiteracy rate, one could argue that only a few citizens are able to understand the content of a notice or newspaper article. More so, understanding the messages contained in the *Government Gazette* is a distant aspiration.

The aforementioned is demonstrated in the High Court Judgment (established by Judge JP Makgoba) in the case between Masia Traditional Council and Others v MDB and Others, whereby only about 1 000 people out of the entire population of 345 975 attended a consultative meeting held by the MDB in the area (High Court of South Africa Case No: 1256/2016). The low turnout at the meetings could be attributed to different reasons, but a lack of awareness was cited as the primary reason. According to Castello and Braun (2006:4), traditional communication methods such as billboards, posters and constructive dialogue may be an appropriate avenue for policy decision-makers to communicate and transmit general information to the masses. It is also supported that such innovative tools may be constructive to facilitate communication between municipal officials and the residents.

According to Nxumalo and Whittal (2013:310), other supporting mechanisms can also assist the planning team and provide technical expertise on investigations and the dissemination of information concerning municipal boundaries, including conducting studies, surveys, data collection, analysis and assessments of the municipal areas before boundary changes. At a community level, ward and street committees, non-governmental organisations (NGOs), community-based

organisations (CBOs) and the development forum can contribute significantly to the process. In this regard, it is essential that the Board disseminates information regarding its intention using appropriate means of communication to avoid a demarcation impasse associated with a lack of communication mechanisms.

The responsibilities of municipalities in the demarcation process

Section 16 of the Municipal Systems Act, 2000 states that: "Municipalities must develop a culture of municipal governance structures that complements formal representative government with a system of participatory governance, including contributing to building the capacity of the local community to enable it to participate in the affairs of the municipality; and councillors and staff to foster community participation". These municipal structures consist of Executive Mayors, Mayors, Councillors, ward committees and other committees of the municipal council established in terms of Section 79 of the MSA, 1998. According to Adeyemo (2011:17), these structures are created to foster and encourage participatory democracy by providing a channel of self-government and community involvement at grass-roots level.

Although the MDB consulted these structures through the circulars published in accordance with Sections 21, 26 and 28 of the MDA, 1998 to bring the contents to the local communities, including other stakeholders within the municipal areas, these municipal structures played little or no role to communicate information concerning local affairs to the local communities concerned. This was evident from the sentiments expressed by the Pro-Makhado Task Team representing the people of Vuwani, who argued that they were not informed about the MDB's intention, either by the municipality or ward communities (*The John Perlman Show* 2017).

According to Silima and Auriacombe (2013:48), the purpose of ward committees is to ensure that communities are informed and involved in council decisions that affect their lives. In terms of Section 18(2) of the MSA, 1998, the municipal council must meet at least quarterly to debate issues regarding each ward and to follow a meeting schedule. However, ward committees, as alleged by the Pro-Makhado Task Team, have not been effective in discharging this responsibility (*The John Perlman Show* 2017). To facilitate effective participatory democracy, as enshrined in the Constitution, 1996, and to ensure operational ward committees, the legislation needs to be strengthened to compel such committees to serve as a communication channel or point of reference between the community and the municipality. This will help strengthen the accountability of ward councillors towards the residents. It will also ensure that residents are informed about the decisions or intentions of proposed municipal boundary changes so that they can provide inputs.

The role of traditional councils in municipal demarcation

The role and responsibilities of traditional councils (TCs) in South Africa, according to customary law, are acknowledged in Chapter 12 of the Constitution, 1996. The existence of TCs in a constitutional democracy and democratic society is clearly defined in Section 4 of the Traditional Councils and Governance Framework Act 41, 2003 (TLGFA). Among others, TCs are responsible for providing support to municipalities in identifying community needs as well as facilitating the involvement of the traditional community in the development or amendment of the related municipal IDP, including performing the functions conferred. However, the roles and responsibilities of the TCs in the municipal demarcation processes are not clearly defined in the Constitution, 1996, its founding legislation (TLGFA) or the MDA, 1998.

Thus, in terms of Section 24 of the MDA, 1998, the MDB is compelled by legislation to consider from the onset, factors such as areas of traditional rural communities, before any determination or re-determination, as clearly outlined in Section 25 of the Act. The traditional authorities, through the Limpopo Provincial House of Traditional Leaders (PHTL), established in terms of the Limpopo Traditional Councils and Institution Act 6, 2005 as recognised traditional communities and the National House of Traditional Leaders (NHTL), were consulted in accordance with Circulars 2 and 5 which were issued by the MDB in terms of Section 21 and section 26(3) of the MDA, 1998, and were required to submit written representation about their affected areas.

Arguably, the institutions were undermined since there was no direct formal engagement through their TCs. Instead, the information was relayed through the office of the PHTL. In certain cases, politics or conflicting issues and interests between the PHTLs and NHTL with TCs may hamper the transmission of the intended information to the TCs concerned. Furthermore, the fact that the NHTL is housed, funded and reports directly to the Ministry of CoGTA and the PHTL directly reports to the MEC for Local Government in the province, poses conflicting challenges between the NHTL and PHTL.

The High Court case between the Masia Traditional Council and Others v MDB and Others demonstrated that there were eight TC applicants except for Vuwani Service Delivery and Development Forum. The eight TCs – Masia, Shikonelo, Tshimbupfe, Davhana, Mulenzhe, Mashau, Masakona and Senthumule – have constantly argued that the MDB had undermined their participation and role in the demarcation process (High Court of South Africa Case No: 1256/2016). The Vuwani Service Delivery and Development Forum sought a High Court order as a relief to review the possibility of setting aside and reconsideration of the MDB's decision published in the Limpopo *Provincial Gazette* No. 2586 of 25 August 2015 to demarcate the local municipalities located in the Vhembe District Municipality,

with the view of forming a newly established Collins Chabane Local Municipality in the Limpopo Province. At the heart of the application is the issue of improper consultation or public participation in the re-determination process undertaken by the MDB towards the establishment of the municipality. The Bungeni TC was also unhappy with the decision to incorporate some of its areas into the new municipality but could not be part of the eight TCs which reportedly took the matter to court. This prompted Chief Masia to inform people that no one should speak on behalf of TCs at a consultative meeting attended by over 1 000 people on 21 April 2015. After the meeting, several submissions with objections led the MDB to vary the determination according to section 21(5) of the MDA, 1998.

The Judge President of the Limpopo High Court, Judge Ephraim Makgoba, who presided over the Vuwani demarcation matter in the Case No: 1256 of 29 April 2016, dismissed the applicants' case against the MDB decision based on administrative and procedural grounds of consultations. However, the court challenge proved that neither the NHTL nor the PHTL, who claimed to represent TCs, formed part of the proceedings or submitted their opposing affidavit to support their TCs in this regard. The NHTL and the PHTL form part of the inter-governmental relations (IGR) structures established in terms of Chapter 3 of the Constitution, 1996, which enjoins spheres of government to cooperate in mutual trust and good faith by assisting and supporting one another. These IGR structures established in the realisation of the aforesaid constitutional mandate include the Ministerial MEC (MinMEC), Technical MinMEC, Inter-Ministerial Committee on Elections, and the Municipal MEC (MunMEC) structures chaired by the Minister of CoGTA and the MEC in the case of the MunMEC structure where such issues are frequently discussed (DCoG 2017). However, there was no support from both houses during the review application process. This confirms that there is conflicting interest between the NHTL and the Limpopo PHTL with its TCs since the matter would have been dealt with at that level before the Minister submitting the request for reviewing the municipal boundary changes to the MDB.

Kanyane, Pophiwa, Raseala, Mdlongwa, Viljoen, Moolman, Adonis, Ramphalile, and Rule (2017:19) argue that, while the MDB followed legal imperatives, underlying vocal objections and frustrations were inadequately addressed. It further points to the need to distinguish between consultation and public participation in the form of citizen engagement. As the former is passive engagement whereas the latter is constructive, there is a missing link in the legal framework. Nxumalo and Whittal (2013:316) also note that the contest between the government and traditional governance over land has, in many cases, resulted in an escalation of disputes. This is essentially the case, and, in many instances, the TCs will often air their dissatisfaction with the Board's decision and most of those disputes arise because the TC feels that it was not adequately consulted by the Board. As such, there is an urgent need to review legislation to

allow the demarcation process to permit for the inclusive participation of TCs in the municipal boundaries processes.

FINDINGS AND ANALYSIS

The municipal demarcation processes relating to the establishment of the Collins Chabane Local Municipality have been characterised by various factors, ranging from political interference to litigation and court challenges. Violent protests were also linked to the perceived lack of service delivery and tribalism. In many instances, these aspects emanated from the municipal demarcation process that led to the establishment of the municipality. Nxumalo and Whittal (2013:332) note that the municipal demarcation process has resulted in a changing relationship between communities and municipalities. Notwithstanding the above challenges, Figure 2 highlights some of the critical challenges in the municipal

Figure 2: Challenges identified in the establishment of Collins Chabane Local Municipality

1 Inadequate involvement of traditional councils
Inadequate involvement of traditional councils on areas proclaimed traditional communities in compliance with section 25 of the MDA, 1998, and inadequate involvement of traditional councils on meetings of the municipal councils in terms of Section 81 of the MSA, 1998

2 Inadequate mechanisms, systems and procedures for public and stakeholder participation
The platforms used leaves a far-reaching objective in terms of disseminating information to poor rural communities

3 Inability to insulate between financial viability and service delivery challenges
Lack of differentiation between financial viability and service delivery challenges contributes to redrawing of municipal boundaries without sufficient evidence to justify sustainability of municipalities. The term "financial viability" is not explicit or defined in the founding legislation.

4 Lack of social cohesion between different ethnicity and tribal groups
Ethnicity and tribalism are some of the main drivers in protests between merging communities

Source (Authors' own adaptation)

demarcation processes leading towards the establishment of Collins Chabane Local Municipality:

Finding One: Non-involvement of TCs in the demarcation of traditional community areas

The main point of contention identified in the establishment of Collins Chabane Local Municipality related to the interface between TCs and the MDB on the demarcation of the proclaimed areas of a rural traditional community. Notably, this aspect happened to cross the lines on the legislative functions and the role each of these institutions played in the establishment of the municipality. This situation stemmed from the fact that the founding legislation, the MDA, 1998, fails to outline the specific role of TCs in municipal demarcation. The Act only provides that, when determining municipal boundaries, the MDB must consider TCs' areas in terms of Section 25 of the Act. This legislative void undermines the potential role that TCs can play in the municipal demarcation process within a modern democracy, as well as towards the management and administration of land and the developmental role of their TCs.

Another challenge stemmed from an interaction between the TCs and the municipal councils – the municipal council encroached on the TCs' role in the municipal council, as prescribed in the MSA, 1998. The Act enjoins municipalities, in terms of Section 81, to ensure TCs' participation in municipal council meetings, including the exemption of such TCs in municipal proceedings. However, the TCs have complained that they were not invited to municipal council meetings and that their views were consistently ignored. This challenge could be explained by the fact that TCs were undermined and weakened by municipalities and their role was often unclear in rural development. Therefore, legislation needs to be strengthened to compel the municipal councils to foster TCs' involvement in developmental activities, particularly within TCs' areas of jurisdiction. This could cause a positive change in terms of rural development.

It is recommended that the MDA, 1998 be reviewed, so that the MDB is compelled by legislation to foster TCs' involvement in the municipal demarcation process, on areas proclaimed as TCs. The legislation in its present form does not clearly state the role of TCs' in processes relating to municipal boundary re-determination. TCs should not only be viewed as a light institution, but as a special institution worthy of consultation and active participation on local government matters, particularly in their demarcated areas.

To create harmony between the TCs and the municipal councils, the national department must draft legislation that will forge a good working relationship between both institutions. Several proposals were made on the possible cooperative relationship between local government and TCs (Republic of South Africa

1998a:15). It allowed for the participation of TCs in council meetings on matters relating to their localities' needs and interests. To promote a good working relationship, it is essential that both institutions partner in overcoming the challenges within local government. The ward councillors must be sensitive to public needs to be accountable for and strive towards solving any problems. Moreover, local government should ensure that TCs participate in community matters within their domain. They must work together to address the complaints of all concerned citizens regarding demarcation-related decisions.

Finding Two: Inadequate mechanisms, systems and procedures for public and stakeholder participation

The research revealed that the Demarcation Beard's use of mechanisms and systems (e.g., the *Government Gazette*, newspapers, circulars and notices) towards the establishment of Collins Chabane Local Municipality, as prescribed in the MDA, 1998, left much to be desired in terms of disseminating information and messages to rural-based communities. Many stakeholders, such as the Vuwani Demarcation Task Team and the Makhado Demarcation Task Team comprising eight TCs raised issues regarding the MDB's lack of full consultation during the process of establishing the municipality. This situation was ascribed to limited technological advancement in rural areas and subsequent lack of access to radios, smartphones as well as access to print media. Yet another challenge related to people's ability to read and interpret information concerning municipal boundary changes. As most people in the Collins Chabane Local Municipality are illiterate, reading and interpreting notices and information such as circulars and Government Gazettes remain a challenge. The Demarcation Board also acknowledged in its Annual Performance Plan (APP) (2018:3), as part of providing feedback through the lessons learned from the recent demarcation process, that there were several limitations in the legislation, such as the requirements in Section 21(2) of the MDA, 1998. There is also an issue of human capacity shortages in the MDB to discharge its mandate across the Republic's territories. The Board also stated in its APP for 2017/18 that there was a limited capacity to adequately execute the municipal boundary determination process. In recent years, the Board has relied on consultants to assist in conducting capacity assessments and other duties associated with the administration of municipal boundaries. This lack of technical professionals inhibits the Board to administer municipal boundary processes assigned to it in terms of the Constitution, 1996, including conducting proper public consultation processes.

In light of the above, it is suggested that a guideline or framework be established, where information can be disseminated to rural-based communities to ensure that local citizens participate and that their views are registered for

consideration before municipal boundary changes are announced. The MDB should also use traditional methods or platforms, such as megaphones, loud-hailers and constructive dialogue as appropriate means of communicating and transmitting general information to the local communities concerned. This will address limitations of access to information and communities and TCs' lack of understanding regarding communicated messages about demarcation undertaken in their rural-based area of jurisdiction.

Furthermore, education and awareness programmes should be instituted to help ensure that communities better understand the content of information dis-seminated through circulars, gazettes and newspapers. The MDB must convene public forums to educate the citizens of communities where the demarcation will be undertaken. Contestations and disputes that may arise will be reduced by including valuable information, such as illustrative maps, infographics, photos, drawings, information brochures and other exhibit examples of communication tools and information gathering and consultation. This could ensure a greater un-derstanding and stakeholder participation, given the level of illiteracy in the rural communities. Municipalities must also play an active role in this regard, since they are also obliged to communicate with their communities about information con-cerning the available mechanisms, processes and procedures to encourage and facilitate community participation in accordance with Section 18 of the Municipal Systems Act, 2000. In doing so, the municipalities must consider the language preferences and usage in the area and the special needs of people who cannot read and write, as outlined in Section 18(2) of the Municipal Systems Act, 2000. To address the issue of capacity-related challenges, funding must be provided to the Board to establish regional offices across all nine provinces. This will bring the Board closer to the people and allow it to fully discharge its mandate conferred on it by the Constitution, 1996.

Finding Three: Inability to insulate between financial viability and service delivery challenges

Another perceived challenge relating to the establishment of the Collins Chabane Local Municipality was a lack of insulation between financial viability and service delivery challenges. Section 25(c) of the MDA, 1998 stipulates that, "When the MDB determines municipal boundaries, it must take into account the financial viability and the administrative capacity of the municipality to perform municipal functions efficiently and effectively". However, the legislation does not define what constitutes financial viability. A study conducted by the Ministry of CoGTA, through the Back-to-Basics Approach adopted by the government to improve service delivery among dysfunctional municipalities, indicated that a third of mu-nicipalities across South Africa were not financially viable.

Also, the findings revealed that the only conceivable way to improve service delivery within the Vhembe District Municipality would be through its dis-establishment and by reconfiguring a new municipality with a broader tax base and a population that would guarantee viability. Considering the recent developments since the reconfiguration of the Vhembe District Municipality, the re-demarcation of the new local municipality has not resulted in a financially viable municipality. The research revealed that the issues raised by the Ministry of CoGTA were not genuine, given that the challenge of service delivery was evident in most of the municipalities in South Africa. This is particularly the case with municipalities with a low revenue base, such as the newly established Collins Chabane Local Municipality. This was also confirmed in the report released by the MDB (2018) on the feasibility study for the proposed boundary. The report concluded that the MDA, 1998 did not differentiate between municipalities due to size or location. It can be said that the belief that merging municipalities with a poor tax and revenue base with those that are financially sound would maximise service delivery is unfounded and has not proven to be a pre-determinant that CoGTA wanted to achieve.

The term 'financial viability', as set out in item 25(c) of the MDA, 1998 as one of the factors to be taken into consideration by the MDB before the determination of municipal boundaries, must be clearly defined in the principal Act. This is because the provision in its current form purports the idea that the challenge of poorly functioning municipalities can be addressed by merging them with financially sound counterparts. Most municipalities in South Africa are financially unviable and subsequently depend on government grants (Statistics South Africa 2015). Other issues attributed to municipalities' failure to deliver their mandates are debt burdens and inadequate revenue collection. In a presentation made during the Local Government Focus Week (2020), the Minister of CoGTA stated that, "There is over R127,7 billion owed to municipalities by households and slowed business activities, tax evasion and inadequate collection systems which resulted in a total debt of R181,3 billion of which R28,9 billion was owed by businesses and R18,1 billion by the government in all its spheres at the end of the municipal financial year in June 2020". This inability to collect revenue, coupled with inadequate revenue collection systems, continues to adversely impact the local sphere of government's ability to keep up with service payments. This, however, cannot be addressed through demarcation.

In this regard, it is suggested that to address service delivery challenges, the Minister of CoGTA must explore other means or devise alternative innovative ways of providing and accelerating municipal service delivery. This includes facilitating and building partnerships between financially sound and dysfunctional municipalities, as envisaged in the White Paper on Municipal Service Partnerships, 1998. The focus should also be on increasing or developing systems that enable

municipalities with lower tax bases to become financially viable through revenue collection rather than the merging of municipalities. Financial resources should be managed properly so that municipalities can sustain their municipal budget. On the other hand, it is vital for municipalities to deliver on their constitutional mandates. In this regard, municipalities must employ capable, competent and skilled personnel to support and strengthen its capacity to manage municipal affairs, exercise its powers and perform its functions. This is necessary to ensure that municipalities deliver on their service delivery mandates while ensuring proper financial, budgetary and planning processes to meet local communities' needs.

Finding Four: Lack of social cohesion between different ethnicity and tribal groups

Ethnicity and tribalism emerged as another factor that distinguishes Limpopo Province from other regions of the country. The province consists of different ethnic groups, including the Xitsonga, Tshivenda and Sepedi tribes. In the case of Vhembe District Municipality, the Vuwani community is dominated by the VhaVenda tribe who resided in the Thulamela and Makhado Local Municipalities. The community now falls under the newly established Collins Chabane Local Municipality, which is dominated by the VaTsonga tribe. Notably, central to the demands of the municipality, ethnicity triggered protests between Vuwani and Malamulele residents over service delivery. It is speculated that the people in Vuwani, who are predominantly VhaVenda, did not want to be led by the VaTsonga tribe and that there would be minimal job opportunities for them. According to Kanyane *et al.* (2017:7), the historical distribution of most Tshivenda speakers in the northern wards of Collins Chabane Local Municipality and the majority Xitsonga speakers in the south might have facilitated easy mobilisation.

Thus, it is recommended that a framework or policy to guide the IDP and Service Delivery and Budget and Implementation Plan (SDBIP) processes must be developed to ensure equal distribution of resources within municipalities. Notably, the apartheid dispensation was characterised by significant discrepancies in the distribution of resources between people from different ethnic groups. A framework and continuous monitoring of IDPs and SDBIP in the long- and short-term towards the allocation of resources within wards will help support the equal distribution of goods and services among all local communities. This includes employment, tender entrepreneurship, education, infrastructure development and other service delivery priorities. It is further suggested that awareness and education programmes to build social and mutual understanding must be intensified to overcome the issue of tribalism and ethnicity. This will ensure that municipalities do not discriminate against ethnic minorities but deliver services equitably to all citizens.

SUMMARY AND CONCLUSIONS

Evidently, the MDB has successfully and effectively managed to determine or re-determine municipal boundaries, from 1 262 municipalities in 1995 to 257 local municipalities over a 26-year period of municipal boundary reforms in South Africa. Since the MDB's inception after the adoption of the Constitution,1996, which established the various pieces of legislation such as the MDA, 1998 and the MSA, 1998, there has been both notable progress and obstacles. The aforementioned, as well as other legislation enacted in terms of Chapter 7 of the Constitution, 1996 guided the Board processes. However, the successes recorded since 1996 were not without challenges, ranging from political interference to inadequate or a lack of public and stakeholder participation in municipal demarcation processes. Also, there has been complaints from communities about a lack of proper communication or consultation before the finalisation of municipal boundary changes. Furthermore, there is the perception that the Board is constantly increasing the number of wards for political reasons, including changing wards for electoral purposes and splitting of the farms and rural areas of traditional communities. This has degenerated most communities' trust and confidence in the Board.

In an attempt to establish the root causes of disputes around the demarcation processes implemented by the Board, the study explored the extent of public and stakeholder participation in the municipal demarcation processes of the Collins Chabane Local Municipality. The findings around the identified challenges, and recommendations for each, were thoroughly discussed in the study. The findings revealed various factors that have, in many instances, undermined the participatory role that communities and stakeholders should play in the MDB processes. These include the inadequate involvement of TCs in rural areas, inadequate mechanisms, systems and procedures, political interference, and tribalism. Consequently, the study proposes some appropriate recommendations for alternative policy options and interventions that government can adopt to enhance and entrench the culture of public and stakeholder participation in the municipal demarcation processes.

The research suggests that the Board must be equally cautious and consistent when administering municipal boundary processes. This includes providing the motivation or details of the process that informed its decision and factors considered when making such a decision and will assist communities to comprehend the processes followed by the Board when making a decision. This is the case because MDB was established to transform the developmental of local government, rather than promoting the narrow political interests of an elite minority. If the general citizenry is to trust the process and maintain confidence, Board processes must remain apolitical and free from political manipulation. Thus, one of the key issues that the MBD needs to consider as part of its demarcation processes is constructive community engagement and, more importantly, to get

buy-in before demarcation decisions are concluded and implemented. The MDB must go beyond its mandate to have multiple constructive engagements. The study concludes that the state alone cannot solve demarcation problems, it also requires collective action by all the relevant stakeholders.

NOTE

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The Relationship Between Sustainable Development, Social Justice and Social Innovation

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ABSTRACT

Social innovation is based on the idea of addressing emerging social needs. Social innovation may act as a catalyst for providing effective solutions to address environmental and social issues. This article considers the relationship between sustainable development, social justice and social innovation. This article is based on a desktop study using authoritative literature and secondary data. The findings of the research suggest that social innovation can act as a nexus to facilitate sustainable development and social justice. The globe is faced with a number of grand challenges which requires interconnected, multifaceted solutions, social innovation is an avenue to provide holistic solutions to grand challenges. Best practices to increase social innovation were identified in this article, including a bottom approach to development, social innovation hubs, social entrepreneurship and social business park. Social innovation provides new solutions to empower communities, improve resource sharing and attain the Sustainable Development Goals (SDGs).

INTRODUCTION

Social innovation is an approach that focus on addressing social needs that can be solved within a particular community, by the residents of the respective community. This article aims to describe the relationship between sustainable

development, social justice and social innovation. This article is descriptive and conceptual in nature, by way of a desktop study. Unobtrusive research techniques including documentary and conceptual analysis are used in this article. The article firstly provides an overview of the concept social innovation. Secondly, an overview of social innovation practices is provided. Furthermore, this article considers how sustainable development can be fostered through social innovation. Social justice is conceptualised and contextualised and the intersection between social innovation and social justice is considered. In addition, the relationship between sustainable development and social justice is considered. Social innovation is identified as a nexus between social development and social justice. In conclusion, best practices for social justices are identified.

CONCEPTUALISING SOCIAL INNOVATION

Before the emergence of social innovation, innovation was associated with technological advancements. Innovation was also aligned to something new (Kramer and Wrightson 2016:17). Innovation is imperative for countries, organisations and industries to gain a competitive advantage in the global economy. Therefore, organisations should be able to respond in a quick manner to the needs of their customers and technological, social and other changes, can be utilised to gain a competitive advantage (Moses, Sithole, Blankley, Labadarios, Makelane and Nkobole 2012:1). In terms of long-term economic growth, competitiveness and a better quality of life, innovation can be regarded as the key driver. Soon after these advancements, economic development was also regarded as another form of innovation (Moulaert, Mehmood, MacCallum and Leubolt 2017:11). In order for innovation to be effective, innovation thus relies on human capital (knowledge, information and expertise) (O'Connor and Roos 2015:363). These two innovations were responsible for the setback in the development of socio-political and human dimensions.

According to Palma-Ruiz, Saiz-Álvarez, Herrero-Crespo (2019:54), social innovation can be defined as "finding new ways of solving societal problems, can be used as a new policy instrument by local governments and authorities, which are the leading actors in developing smart cities and territories". Social innovation dates back to the 1960's and it was mostly utilised within the disciplines of Social Sciences and Humanities. According to Moulaert *et al. (*2017:11), during the 1970's there was a research interest in social innovation. This interest was predominately as a result of academic and policy interest, more especially in "urban and regional development. Bittencourt, Figueiró and Schutel (2017:3), concur that social innovation fosters urban development. There has been a lot of interest from

stakeholders such as civil society, the private sector and government institutions in recent years. This interests fostered "different types of products and services, new collaborations, and new policy tools" (Palma-Ruiz *et al.* 2019:53). Social innovation can be regarded as a tool to facilitate the policy making processes on all three spheres of government (Palma-Ruiz *et al.* 2019:54).

Social innovation practices

Caulier-Grice, Davies, Patrick and Norman (2012:18), identified five common elements in order to deem a practice as socially innovative. The common elements are: "novelty, from ideas to implementation, meets a social need, effectiveness; and enhance society's capacity to act" (Caulier-Grice *et al.* 2012:18*)*.

These common elements will be briefly discussed. In terms of the first element, 'novelty', there is no emphasis that social innovations ought to be totally original or unique, but it is imperative that these innovations have a form of newness attached to it in order to be regarded as a social innovation. This can be within a new field, region, user or market (Caulier-Grice *et al.* 2012:18). The second element is 'from ideas to implementation', during this element it is imperative that the theory is translated into practice as a result of implementation. However, the idea ought to be a service, good or initiative that is sustainable in a financial manner over a medium and long term period. Effectiveness, is the third element, social innovation is aimed at bringing about social change, in order for this to be realised it is imperative that initiatives relating to social innovation are much more effective, than those solutions that are currently existing (Caulier-Grice *et al.* 2012:19).

Therefore measurable improvement structures pertaining to the desired outcomes should to be established. These can include the following: "quality, levels of user-satisfaction, rates of adoption or a reduction in costs or higher level impacts such as improved wellbeing or social cohesion" (Caulier-Grice *et al.* 2012:19). These improvement measures should be utilised by social innovation agents to firstly capture the impact of a specific social innovation initiative on the target group or issue. Thereafter the impact should be compared with the measureable improvement measures. The fourth element is to 'meet a social need'. The focus of this element is to ensure that social innovation initiatives are able to ensure that certain needs within a society is met, if it is not met citizens will suffer (Caulier-Grice *et al.* 2012:19). The final element is, 'enhances society's capacity to act'. Once social innovation has been successful, it will enhance society's capacity to act, it will foster the growth of new roles as well as relationships, there will be a development of assets as well as capabilities. Assets and resources will also be utilised in an optimum manner (Caulier-Grice *et al.* 2012:20).

FOSTERING SUSTAINABLE DEVELOPMENT THROUGH SOCIAL INNOVATION

The term sustainable development was coined in 1987 (Jarvie 2016). Sustainable development is "defined as development that can meet the needs of the present generation without compromising the ability of future generations to meet their own needs" (Rogers, Jalal and Byod 2008:42). According to Millard (2017:40), sustainable development is seen "as meeting the needs of the present without compromising the ability of future generations to meet their own needs". Therefore, integrated decision making, is imperative in order to ensure that economic and social needs of people are balanced, with the regenerative capacity of the natural environment (Millard 2017:40). Sustainable development is seen as a process of change that is not stagnant, but rather dynamic in which the exploitation of resources, the direction of investments, the orientation of technological development, and institutional changes are made consistent with future as well as present needs (Rogers *et al.* 2008:42). Sustainable development depends on the political will of governments as critical economic, environmental, and social decisions need to be made.

There are three dimensions of sustainable development, one, economic; two, environmental and three, social and these three dimensions are referred to as the triple bottom line. The success of every project or programme is measured against the triple bottom line (Rogers *et al.* 2008:42). In order for an outcome to be sustainable, it is imperative that all the above dimensions receive an equal amount of attention. Millard (2017:41), concurs that these three dimensions are regarded as the "guiding principle for balanced long-term global development".

In general, the social dimension of sustainable development has been neglected in theory and practice. The social dimension of sustainable development is linked to social capital. Social capital is important for sustainable development as it promotes society that is organised along certain social values to ensure stability. Social sustainability should ensure that sustainable development is achieved at a high level of trust and social capital (Ketschau 2015:15759). The social dimension of sustainable development includes: social equity, a healthy environment, health and safety, skilled workforce, community development, inclusion and cohesion (Millard 2017:40).

In September 2015, the SDGs were negotiated and adopted within the framework of the United Nations (French and Kotzé 2018:1). This was regarded as an important step of the international community if uneven, commitment to global development. The SDGs are an extension of the Millennium Development Goals (MDGs), which was administered between 2000 and 2015. The time frame that has been allocated for the SDGs are from 2015-2030 (French and Kotzé 2018:1). The SDGs are also referred to as the 'Global Goals' and the objective of the SDGs

are to encapsulate and promote global aspirations across a wide array of topic areas broadly associated with sustainable development. Most of the developed and developing countries across the globe signed the SDGs (Millard 2017:41). This was after intense and widespread consultation, involving a large number of organisations drawn from all sectors, including governments at all levels, civil society, businesses and academia. The SDGs have been designed to systematically address a large range of issues in comparison to the MDGs. The SDGs are also universal and applicable in all countries across the world, in both developed and developing countries (Eichler and Schwarz 2019:3). One way in which the importance of the SDGs are reiterated is due to the fact that these SDGs are not only written in the six languages of the United Nations, but it is translated into several other languages. The 17 SDG's were agreed upon by all 192 United Nations member of states in 2015 (Bonnici 2020). 17 SDGs and 169 targets and more indicators were agreed upon by the international community (French and Kotzé 2018:1).

These SDGs can be grouped into five elements, namely: government and governance, social, education, economic and environment (Millard 2017:42). The government and governance element are regarded governance capstone to promote and enable their achievement. The social, education, economic and environmental elements are also referred to as the four direct impact pillars (Millard 2017:42). The above SDGs goals are well known and have been accepted both academically and politically and a number of actions in various social and environmental fields, have been recommended (Eichler and Schwarz 2019:2).

The World Business Council for Sustainable Development, consists out of more than 150 players and the concept of eco-efficiency to combine ecology and economy with the objective to increase profit, whilst the environment benefits were development (Seiler-Hausmann 2002a:4). Seven core areas that these partners took into consideration are identified by Seiler-Hausmann (2002a:4), namely: "reduce material intensity, reduce energy intensity, reduce dispersion of toxic substances, enhance recyclability, maximize use of renewables, extend product life and increase service intensity".

One manner in which sustainable development can be fostered is through innovation that is eco-efficiency, therefore there has to be changes associated with consumption. In order for this to be realised is for human beings to be innovative and there is also a need for a framework that would guide eco-efficient innovation (Seiler-Hausmann 2002a:4). Sustainable development is an accepted international Goal and in developing countries a majority number of consumers are aware of the importance of products that are environmentally friendly (Seiler-Hausmann 2002a:5). The primary objective of sustainable development is to ensure that the positive impacts are maximised and that the negative impacts in turn are minimised. Millard (2017:41) state that "the United Nations now acknowledges that social innovation approaches are needed as mainstream tools

for delivering sustainable development, alongside large-scale public and private funding, although until recently the term 'social innovation' has rarely been recognised or used".

When public services are delivered "to income-poor and marginalised people in a gender sensitive manner, especially when based on local acceptance and advocacy campaigns" is regarded as an important mechanism in order for the SDGs to be achieved in 2030 (Millard 2017:41). Social innovation is regarded as an important component of the new innovation framework, which is essential for sustainable development. A lot of developing countries are aware of this, thus social innovation has been embedded and recognised in these countries. Social innovation helps to meet social needs, such as education and healthcare in a new manner and it also involves collaboration as well as empowerment. Members of society are regarded as active recipients instead of passive recipients as they are able to develop "their own capabilities around and ownership of the service, and thereby transforming their social relations and improving their access to power and resources" (Millard 2017:41). As a result of the increasing dialogue between the social innovation and sustainable development communities are also helping to chart the future policies and principles of societal development at all levels (Millard 2017:41).

Social innovation is regarded as an important mechanism to play a significant role towards the Sustainable Development Goals (SDG's). It is important to take into account that this role has been executed before the SDG framework came into existence (Bonnici 2020). The principles and practices of social innovation have been utilised within sustainable development initiatives. Social innovation and sustainable development have a lot in common and as a result of the SDGs, these concepts have been brought together in order to reap mutual benefits (Millard 2017:40). Sustainability can be enhanced by social innovation, when existing practices are changed and new practices are adopted in order to build an economy and lifestyle that is sustainable (Howaldt, Kaletka, Schröder and Zirngiebl 2018:44).

Eichler and Schwarz (2019:1), argue not much is known about which SDGs that have been addressed by social innovation. In addition to social innovation creating opportunities that are equal as well as fostering social integration, social innovation can also foster future sustainability for society at large (Howaldt and Schwarz 2016:1). Social innovation is also regarded as a phenomena that is developmental oriented. Not only is social innovation responsible for solving or mitigating social issues and also plays a pivotal role towards the creation of a sustainable future (Eichler and Schwarz 2019:2). The SDGs encompass all the elements that are necessary for sustainable development (Millard 2017:42). Social innovation works across and supports all 17 SDGs. It also supports the five elements of sustainable development. Social innovation "is helping to create a new mind set and

supportive framework for sustainable development as an essential part of the new innovation and knowledge paradigm" (Millard 2017:42). Not only is social innovation gaining more importance in terms of social integration and in the creation of equal opportunities, but in terms of its innovative ability and its contributions towards the future sustainability of a society (Howaldt *et al.* 2018:11).

According to O'Connor and Roos (2015:362), sustainability is fostered through a common shared value. Therefore, policies that support technical and social innovation are therefore required in order to fulfil the objective of sustainable development (Seiler-Hausmann 2002a:7). According to Seiler-Hausmann (2002b:33), in order for sustainable development to be realised companies need to implement a new kind of management tool. Seiler-Hausmann 2002b:34 emphasises that "sustainable innovation management means reusable products with no toxic materials, in other words, zero waste and zero toxic materials". In terms of innovation, emphasis ought not to be on the creation of new innovative products, but to ensure that these products have the ability to regenerate rather than deplete (Seiler-Hausmann 2002b:34). An example of the relationship between social innovation and sustainable development is the WWWFOREUROPE initiative (Howaldt *et al.* 2018:45). The objective of this initiative is to change the course of the economic policy in the direction if a socio-ecological transition. One of the questions that the project addresses is related to the way social and technological innovations could be supported in order to contribute to social and ecological sustainability (Howaldt *et al.* 2018:45).

CONCEPTUALISING AND CONTEXTUALISING SOCIAL JUSTICE

Social justice is the ability people have to realise their potential in the society where they live (Baum and Mahizhnan 2014:9). The equal rights for all human beings are the concern of social justice. The objective of social justice is to ensure that human beings are able to progress economically and socially that is free from any form of discrimination (Venieris 2013:3). This is aligned to the principle of Rawls, the principle of equal opportunity and difference (Cropanzano, Stein and Nadisic 2011:24). Social justice takes into consideration injustices such as economic, political and cultural aspects and the objective of social justice is to address these matters through redistribution of resources. Social justice aims to understand how individuals in terms of distributional issues both from an advantage and disadvantage perspective are progressing in general (Wilson-Strydom 2015:145). The objective of social justice is thus translated into policy demands that takes respectful treatment, social security and dignity into consideration (Venieris 2013:7). Social justice insects with philosophy, politics

and legal theory and it received attention from various perspectives (Wilson-Strydom 2015:145). Ketschau (2015:15760) defines social justice as "the state of a society when the distribution of rights, opportunities and resources can be rated as just".

During the 19th century, the question of economic differences amongst the fortunate and less fortunate were criticised. In the 21st century, social justice is rooted much deeper than fairness and equal opportunities, social justice also focuses on mitigating the wrongs that are associated with xenophobia and racism (Ibáñez 2012:2). Social justice is still in a developmental phase (Ibáñez 2012:1). According to Venieris (2013:32), in order for social justice to be realised it is imperative that improved conditions in terms of creating decent employment, job opportunities and social protection" ought to be fostered. Cramme and Diamond (2009:6), further states that economic growth and the creation of wealth is the first prerequisite for social justice in both developed and developing countries.

Social innovation focuses on innovations that address social needs and focus on social justice outcomes, the improvement of human wellbeing (Anderson, Curtis and Wittig 2014:8). Social innovation is driven by the need to improve the welfare of people. The increase in grand challenges and wicked problems such as global warming, inequality and poverty, pandemics and demographics have contributed to public sector austerity and welfare budgets being overstretched, thus there is a need for social innovation to address shortfalls and market failures in the provision of inclusive services (Nicholls, Simon and Gabriel 2015:7) to facilitate social justice.

THE RELATIONSHIP BETWEEN SOCIAL JUSTICE AND SUSTAINABLE DEVELOPMENT

Social justice is a nominal and subjective concept. There are different social approaches to social justice. For instance claims about social justice based on fundamental entitlements, would focus on social justice being built on the capabilities of a specific group (Ketschau 2015:15761). Furthermore, according to Ketschau (2015:15761), "distributive justice is a claim of the sustainability concept regarding the social bottom line". Intergenerational justice is closely linked to sustainable development, based on the premise that every generation must address their problems themselves instead of leaving it for the next generation (Ketschau 2015:15761). The environmental justice movement aim to synthesise environmentalism and social justice (Campbell 2013:77). Environmental justice is about the distribution or access to environmental quality, among different groups, the distributions have real consequences on the quality of their lives and on their environments (Asghar 2001:1). Asghar (2001:2), argues that "environmental justice may

well connect with broader issues of social justice that questions socio-political and economic institutional arrangements of societies, or even of the world as a whole".

It is very difficult to describe the complex terrain between social justice and sustainable development, each has its own set of complexities, including environmental and social politics (Campbell 2013:75-76). The purpose of this article is not to describe the terrain between social justice and sustainable development, neither is it to attempt a marriage between the concepts. However, this article focuses on how the two concepts can influence each other and the importance of social innovation to increase both social justice and sustainable development.

Sustainable development and social justice, collectively address the destructive costs of uneven development (Campbell 2013:77). Social justice is a prerequisite for social sustainability or for the social dimension of sustainable development. A long term vision is needed to provide for a just society for all (Ketschau 2015:15762). Ketschau (2015:15764) argues that "social sustainability may only be reached when perceived as providing social justice for a society".

THE NEXUS BETWEEN SUSTAINABLE DEVELOPMENT AND SOCIAL JUSTICE: SOCIAL INNOVATION

Social innovation creates opportunities for the community, enables the sharing of resources and empowers communities to adapt to challenges (Ravazzoli and López 2020:3). According to Ravazzoli and López (2020:3), "social innovation helps to meet social needs involving and empowering the citizens and making

Figure 1: The nexus between social innovation, social justice and sustainable development
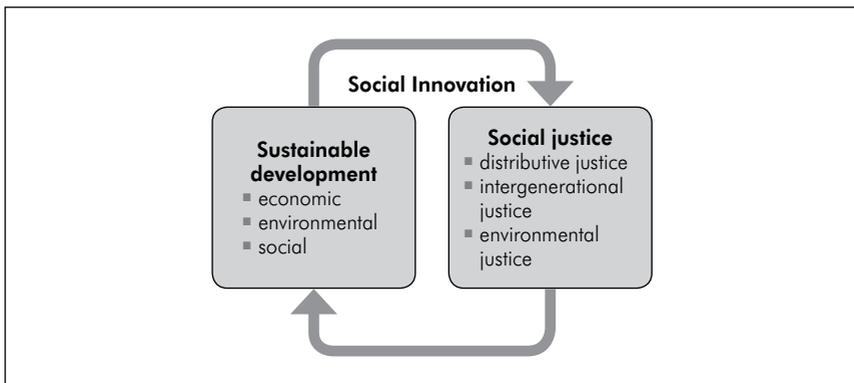
Source: (Authors own construction)

them participants of the sustainable development of their community". Sustainable development plays and important role in achieving the SDGs (Ravazzoli and López 2020:3). Ravazzoli and López (2020:6), argue that "In the UN SDGs for 2030, social innovation is considered an essential component as sustainable development initiatives implement principles and practices of social innovations". According to Kumari, Kwon, Lee and Choi (2019:3), "social innovation has been increasingly evident in policy areas and projects of development organisations as a means to solve emerging societal problems". Thus, social innovation is critical to facilitate sustainable development and increase social justice, by empowering people, enabling citizen participation in development and creating more opportunities and addressing the needs of people. Figure 1 illustrates how social innovation can link sustainable development and social justice by influencing an advance in sustainable development and social justice.

Many social innovation initiatives emerge due to a crisis, for instance a natural disaster which would trigger the emergence of social innovation (Ravazzoli and López 2020:3). Grand challenges are increasingly across the globe. Grand challenges include interconnected, complex and multidisciplinary problems for instance environmental destruction and energy security (Kumari *et al.* 2019:3). According to Kumari *et al.* (2019:3), "the complex interconnected problems have driven society towards social innovation initiatives that require critical thinking and cooperation that can guide the co-creation of new ideas or solitons to provide sustainability in society". The Covid-19 pandemic is an example of a crisis that has increased the gap between the haves and have nots and exposed the vulnerabilities of individuals, societies and economies. The pandemic called for strong responses based on solidarity, cooperation and responsibility. The social economy has played an important part in mitigating the effects of the Covid-19 pandemic (Organisation for Economic Co-operation and Development (OECD) 2020). The social economy includes social innovation, social enterprises and social entrepreneurs. Social entrepreneurship consists of organisations within communities, with the objective of addressing critical challenges that are faced by people, society and the economy of a country. According to Bonnici (2020), "social innovators have an important catalytic role to play in highlighting and integrating what has worked effectively with local, sustainable solutions into the global economy".

According to Li, Sun and Lin (2012:57), "social innovation is appreciated as a strategy to foster its normative factors of solidarity, social justice, human dignity and equal value". Social innovation is regarded as an ethical position of social justice (Sendi 2014:122). One manner in which social innovation is aligned to social justice is when agendas are changed to ensure that groups that have been previously excluded are included, ensuring that human needs are satisfied, changing social and power relations, overcoming conservative forces that preserve social

practices, participation of deprived groups and empowerment (Sendi 2014:122). The importance of committing to a social justice agenda, has been acknowledged by universities within South Africa (Czerniewicz 2019).

There has been a lot of interest regarding the nature, needs, possibilities and dilemmas of social innovation. New policies were created, funding mechanisms were put in place, various research initiatives were executed to foster the growth of social innovation. There were also accelerators, emerging fields around design, the maker movement, open data and sharing the economy, climate transition and social justice (Mulgan 2019:7). These initiatives were administered by citizens from countries such as Canada, China, Sweden and South Africa. Billions of people were beneficiaries of these initiatives. Social innovation is aligned with social progress as there will always be a requirement for adaptation, improvisation, trial and error (Mulgan 2019:14).

Social innovation has the ability to overcome the challenges that societies are experiencing today. These challenges can range from zero-carbon housing to fair economic system by providing social capital needed for the improvement of the human well-being and social progress (Ates, Ates and Yülek 2016:28). Social innovation is at the opposite continuum of business innovation. Social innovation is 'social' oriented and business innovation is profit oriented. Initiatives executed through social innovation have an objective to meet the social needs of people (Ates *et al.* 2016:34). According to De Souza, De Souza Lessa and Da Silva Filho (2019:55), "social innovation emerges as the result of knowledge applied to social needs". This is as a result of participation and cooperation amongst various actors in the public, private and NGO sectors, which leads to long-lasting solutions for social groups and society at large. According to Butkevi iene (2009), in de Souza *et al.* (2019:55), social innovation may be regarded as a mechanism "to create social change, fostering mechanisms to deal with different sorts of problems". When new ideas are created within the realm of social actions, these actions lead to change and new practices are thus created that social groups can adopt to ensure that social change continues (De Souza *et al.* 2019:55).

People can be empowered as a result of social innovation and societal change can also be fostered by social innovation (Ates *et al.* 2016:35). People who are facing economic challenges and that have low income, can receive assistance from initiatives that are spearheaded by social innovation in order to aid to the relieve of economic and societal problems (Ates *et al.* 2016:36). Howaldt (2017:89), concurs that people can be empowered, when various stakeholders are in an agreement "to improve social cohesion and allow for smart, sustainable and inclusive growth". The interest of social interest was triggered as a result of understanding how civil society can increase its role in order to solve social problems as well as sustaining and improving the wellbeing of the people, beyond a monetary manner (Ates *et al.* 2016:40).

Social innovation has the ability to provide solutions that can contribute towards the improvement of an individual's well-being (De Souza *et al.* 2019:68). According to De Souza *et al.* (2019:59), social innovation has an aim to offer a solution or to take an opportunity to create a change to particular "social relations, transforming a scenario or providing new cultural guidance for improving well-being and life conditions for communities". Social change can be modified or redirected as a result of social innovation (Howaldt 2017:89). One of the characteristics of social innovation is to achieve change (Sendi 2014:123).

Social innovation is also aligned with social value. A number of social values are fostered by social innovation, namely: "increasing creativity, emancipation, social inclusiveness, responsibility, transformation capacity, self-actualisation; and social awareness" (Ates *et al.* 2016:37).

Howaldt and Schwarz (2016:1), state that "the relationship between social innovation and social change remains a largely under-explored area within the social sciences as well as government innovation policies".

BEST PRACTICES FOR SOCIAL INNOVATION

Best practices consist of specific methods or interventions that can be utilised by both the public and private sector as it offers a range of benefits (improved performance), that can be utilised in order for these organisations to achieve their respective strategic outcomes. Best practice can therefore be regarded as a mechanism that can be utilised for the improvement of the operational activities of the public and private sector (Vallabhaneni 2008:1). Through the application of best practice both the public and private sector are in a position to learn from one another's successes. According to Brannan, Durose, John and Wolman (2008:23), governments have adopted best practices as a mechanism that will help improve productivity as well as public management.

Millard (2017:41), explored 'a bottom-up social innovation' approach, which was launched in the North East of Brazil in 2001. This social innovation was steered by civil society and small scale farmers, as well as the public and private sector who worked together in order to promote co-existence and local empowerment. The objective of this initiative was to ensure that rural families were provided with clean drinking water throughout the year, even if it did not rain. Millard (2017:41) emphasise "one million cisterns were built" to capture rainwater. A lot of tension was removed from the less privileged especially, women who usually have to ensure that there is water in their households. The cost associated with the build of the cisterns is low and the cisterns are relatively easy to build and indigenous "knowledge and support from local authorities, universities and companies for technical assistance", were utilised (Millard 2017:41). In addition

to the initiative providing good quality drinking water, families, farmers, women and local organisations, as well as their capacity to influence public policy were empowered (Millard 2017:41).

Innovation hubs grant social entrepreneurs, community activists, non-profit organisations, the platform to come together to learn, share and collaborate (Murray, Caulier-Grice and Mulgan 2010:129). Mutual support is thus provided at these innovation hubs. They also provide economies of scale and scope – as hub members share associated costs (overheads, meeting rooms and internet connection). Innovation hubs are workspaces that are shared, with the objective of promoting collaboration and innovation, for example CAN Mezzanine in the United Kingdom, Social Fusion in the United States or the worldwide Hub. The worldwide Hub is located on four continents and in 12 cities (Murray *et al.* 2010:129). The worldwide Hub consists out of individuals from various professions, backgrounds and cultures, which joined forces to tackle the world's most pressing social, cultural, and environmental challenges. Emphasis is placed on the notion that there is no absence of good ideas, however factors such as access, scale, resources and impact is the problem. Therefore, the founders of the Hub, created places across the world, where individuals have access and support, connections, knowledge, experience, and investment (Murray *et al.* 2010:129).

Social business parks and 'Social Silicon Valleys' are another example of best practice in social innovation. 'Social Silicon Valley' is developed by DenokInn in Bilbao, Spain (Murray *et al.* 2010:131). A business park has been created for social enterprises and co-operatives. This park hosts "start-ups, regional and governmental organisations, and charitable foundations. Through the school of social innovation, research and developmental needs will be met. The hopes of the head of the organisation, Carlos Fernandez is for the park to attract and nurture new talent that will develop models, methods and tools for social innovation (Murray *et al.* 2010:131).

Another example of best practice is the Quarto Food service in Quarto Oggiaro, in Europe. The objective of this social innovation initiative is to address the relevant needs of the quite large community of elderly people living in Quarto Oggiaro (Howaldt *et al.* 2018:67). Food is provided to vulnerable single elderly citizens and their social life is also improved. The elderly citizens are afforded the opportunity to enjoy a meal prepared with special care and dining in a sociable environment to relieve their sense of loneliness. This is usually at one of the local hotel schools, where the elderly are able to engage with one another and the students from the respective hotel school. The unemployment rate amongst the youth in this area is high, therefore this initiative responds to another socio-economic issue in the community. Students from hotel schools in the area, receive credits for their practical training, whereby students are afforded the opportunity

to partake in a real food preparation and catering experience (Howaldt *et al.* 2018:67). There is a formal partnership between the professional hoteling schools and some local associations. The hotel schools were responsible for the preparations of meals and the venue and the local associations were responsible obtaining the contact details of the elderly and for the provision of transport (Howaldt *et al.* 2018:69).

Mulgan (2019:17), identifies an initiative from Indonesia within the city of Surabaya as an international best practice. The objective of this initiative is to create awareness around the importance of recycling. The citizens in Surabaya do not pay for riding the bus by using money, instead they come to the bus with plastic with the ultimate objective is for the plastic being recycled. Therefore, mobility is affordable and the plastic problem is thus reduced (Mulgan 2019:17). This is a very great initiative because if the plastic is recycled, it does not reach the landfill. One of the biggest challenges across the globe, is overpopulated landfills (Mavropoulos 2010). Products that can be recycled ought to be recycled in order to alleviate the pressure from overpopulated landfills. Therefore, there is reduction in waste (Herweijer and Waughray 2019).

CONCLUSION

This article aimed to describe the relationship between sustainable development, social justice and social innovation. The concept of social innovation was defined. Social innovation focuses on addressing emerging social needs. The relationship between sustainable development, social justice and social innovation is considered in this article. Social innovation is a catalyst for providing effective solutions to address environmental and social issues. Social innovation is a nexus to facilitate sustainable development and social innovation. Social innovation is a holistic approach to empower communities, improve resource sharing, address grand challenges and to attain the SDGs. Best practices for social innovation were identified in this article, including a bottom approach to development, social innovation hubs, social entrepreneurship and social business park, serve as examples of best practices for social innovation.

NOTE

* This article is partly based on an unpublished Doctoral thesis, "The impact of e-governance on social justice in the Gauteng Department of Education", by Carmen Joel, under supervision of Professor Danielle Nel-Sanders, at the University of Johannesburg.

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Bureaucrats' Views on Performance Management in a KwaZulu-Natal Provincial Government Department

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ABSTRACT

The performance of public institutions is an issue as old as the system of government itself. In just under three decades of democratic history, South Africa's public institutions' performance has not been satisfactory considering their significant role in 'rebuilding' the country. This inquiry investigates the causes of (in)effective implementation of the Performance Management System (PMS) if any, in a KwaZulu-Natal provincial department. The views of street-level and low-level bureaucrats were attained via interviews, making this an interpretivist and qualitative study adopting a phenomenological strategy of inquiry. Data was analysed through the use of a thematic analysis. The study found that the PMS was 'perceived' as being conducted in an inconsistent and erratic manner, seen as concerning the human resource department only. Also, the PMS being monetary driven and abused was perceived as not fair. This study contribution builds further on provincial government level Performance Management (PM) research, and brings in a qualitative exploration of a PMS at a provincial government level, which has received limited attention, unlike its counterpart: local government.

INTRODUCTION

Government performance has always been seen as an issue and remains so, especially in developing countries; and this problem is as old as the system of government itself (Van der Waldt 2006).

After democracy was realised in 1994, the South African government embarked on radically transforming all spheres of government, to better position them to eradicate the legacy of apartheid. For this to happen many things had to be put in place, and PM policy was introduced. However, the poor performance of South Africa's public institutions is reflected in the Auditor-General of South Africa's (AGSA) annual reports (Mafolo 2012; Magoro 2015; 2016).

Examining the success of policy is dependent on a number of things such as, understanding why and how bureaucrats react to a policy (Hung 2021), but also their views of it are just as important because the reaction to something is influenced by one's view of it. This study focuses on street-level and low-level bureaucracy and explores the views of frontline workers and their line managers (Assadi and Lundin 2018) in relation to the (in)effectiveness if any, in the implementation of a PMS in their department. International research shows that public servants influence policy outcomes, primarily its implementation. Hence, they, in the case of street-level bureaucrats, are the 'foot soldiers', frontline public service personnel (Lipsky 1980; Brodkin, 1997; Hupe and Hill 2007; Arnold 2015). Low-level bureaucrats are professionals who also implement policy at low levels by converting it (*policy*) into action (Frisch-Aviram *et al.* 2018) and this is the case in South Africa.

BACKGROUND AND PROBLEM

After democracy was achieved in South Africa, the new government had the mammoth task of changing public service. PM was imperative for effective but also efficient public service necessary to improve public service performance with limited resources. Numerous regulations and legislative frameworks in South Africa's public sector have been promulgated which are key pillars for PM (Visser 2006). An example of this would be the White Paper on Transforming Public Service Delivery 1997, referred to as *Batho Pele* (Nzimakwe and Mpehle 2012), Chapter 10 of the *Constitution of the Republic of South Africa*, on the values and principles governing public administration, the Performance Management and Development Systems (PMDS) policy and the White Paper on Human Resources Management (HRM) in the public service, which were put in place to improve public service performance in the country. Unfortunately, in

spite of all the effort, there still remains challenges in PM and the implementation of PMSs.

The challenges facing public sector organisations in the past 20-plus years regarding the implementation of PMSs in South Africa have been: lack of commitment to PM (*see* Manyaka and Sebola 2012; 2015), the role played by elected and appointed leaders in PM (*see* Dweba 2017; Klinck and Swanepoel 2019), the leadership styles used (Isaacs 2016), and the performance culture that exists (Cameron 2009). In addition, not enough skills and knowledge of performance monitoring and evaluating PMSs by those in authority (Govender and Reddy 2014). However, these challenges which local government is most notorious for, are also spread across national and provincial levels of the public sector. The perceived reasons for an in(effective) PMS received little attention at provincial government level in South Africa. Scholars such as Botha *et al*. (2019); Klinck and Swanepoel (2019) have looked at it, but either using a quantitative or mixed methods design approach. Adopting a qualitative design, this study attains the views of street-level and low-level bureaucrats on the causes of (in)effective implementation of the PMS at the KwaZulu-Natal Department of Sport and Recreation (KZNDSR).

The KZNDSR was chosen because it was relatively new when compared to other departments in KwaZulu-Natal (KZN), having been established in 2004 with an aim of transforming the sporting environment using integrated strategies involving all stakeholders such as communities, schools and sporting associations to ensure sustainable development and equitable access to most types of sports in the province (KZNDSR 2019c). However, in its first year of operation, it had no structured PMS process and in 2005 the Department had a manual PMS, a manual process of record keeping, a system of recording performance information by Project Coordinators on a project-by-project basis (KZNDSR 2019a).

KZNDSR, prior to 2015, experienced ineffective and problematic execution of its PMS and the AGSA did not "…identify any material findings on the usefulness and reliability of the reported performance information for the programmes selected" and, "identified no material findings on the usefulness and reliability of the reported performance information for the selected programmes" while drawing attention to the challenged achievement of planned targets in the 2015/16 annual report (KZNDSR 2019:240b). KZNDSR aimed at an improved implementation of the Department's PMS that is aligned with the reviewed Employee Performance Management and Development System Policy that was intensified during the 2015/16 performance cycle (KZNDSR 2019b). However, to date, the KZNDSR continues to use a manual system to gather performance data from its directorates while it still has human capacity constraints (KZNDSR 2019d) which might be affecting the implementation of its PMS.

THE CAUSES OF (IN)EFFECTIVE IMPLEMENTATION OF A PMS

Understanding the causes of an (in)effective PMS, starts by first reflecting on PM. There are various factors that contribute to poor PM (Ohemeng 2009) and the PMS has faced a number of implementation challenges (Rademan and Vos 2001). The lack of commitment led to problems in the implementation of PMSs (De Waal and Counet 2009; Pace 2011). While a PMS is also perceived as a human resources (HR) function (Ngcelwane 2008), it must be driven, not only by the HRM departments but also line functions and they ought to take ownership of the PMS which usually does not happen (Armstrong and Baron 2005; Nel *et al.* 2011).

The available resources and capacity for the effective implementation of a PMS are also key and scholars such as De Waal and Counet (2009) point out that insufficient resources such as institutional capacity contribute to an ineffective PMS, hence its desired outcomes are not reached. A good plan on paper is a futile exercise if it does not give a comprehensive guideline on how scarce resources can be obtained and used. A PMS requires a skilful communication technology system and operative information in data collection processing and communication (Karuhanga 2010).

De Waal and Counet (2009) are also of the view that insufficient knowledge and skills have negative implications on the effective implementation of a PMS. This usually leads to improper execution of the system; or no attempt is made to implement the system. To Watkins and Leigh (2012), challenges often emanate from the poor formulation of a PMS, where communication and training has not been cascaded to the institution for the execution of the system. This is also supported by Klinck and Swanepoel (2019).

Resistance to a PMS is also a problem and employees may resist change because it brings uncertainty into people's lives. There is reluctance to innovate because of anxiety: the unknown can have negative consequences on the implementation of PMSs (Karuhanga 2010). A holistic approach to a PMS within the organisation would oblige every employee to account for poor performance; therefore, resistance to change might be inevitable from employees. Also, a barrier to the maintenance and implementation of a PMS is likely to be an institution's culture (Markus 2004; Seychelles 2009; Cameron 2009).

In the pursuit of an effective PMS, it has long been identified that performance-related pay may not be a proper motivator (*see* Gabris and Mitchell 1985; Kim 2003). Performance-related pay does, however, provide several advantages but due to issues of fairness, it can, "impair an initial motivation to work and change the norms that guide behaviour" (Bregn 2013:21). Botha *et al.* (2019) express that for employees who feel treated unfairly during their performance evaluation, their morale and performance is negatively affected and a precondition for an effective

PMS, lies on it being perceived as accurate and fair. Also, the lack of training, leadership, proper feedback, low staff morale and manager-subordinate relationships, is not conducive to an effective PMS (Klinck and Swanepoel 2019).

Bregn (2013) goes on to note that performance-related pay (PRP) may thus have detrimental effects on performance in the public sector. PRP can also involve non-financial rewards that can be equally important, play a significant role in motivating public service employees and this can be broken down into intrinsic and extrinsic motivating factors (Mweshi and Mubanga 2019). Despite the expected outcome of PRP, the public sector experience on PRP has not been satisfactory and Seychelles (2009) indicates that one of the contributing factors is the absence of a strong performance culture that is not dominated by monetary issues in PM.

Kotter (2007) observes that there should be consistent communication on what has motivated the need for a PMS in the organisation to avoid delusions and resistance relating to its success, underpinned by its motivating factors (*see* Mweshi and Mubanga 2019; Klinck and Swanepoel 2019), or its demise contributing to its core motivation and fairness or perceived fairness (*see* Bregn 2013; Botha *et al.* 2019). Latham and Mann (2006) indicate that for a PMS to be seen as being equitable, it should have the following features: procedural fairness and distributive fairness. This sentiment is also held by Botha *et al.* (2019). The following are some of the preconditions for it to be effective.

Cawley, Keeping and Levy (1998), cited in Aguinis (2013), observed that the involvement of employees in the PM process has varied benefits such as high employee satisfaction, motivation to perform better, and higher perceived fairness. A PMS that encourages an employee's involvement is considered more effective compared with a system that uses a tell-sell approach (Kleinegld, Van Tuijl and Algera 2004). The lack of employee involvement may cause resistance to change and employees failing to take ownership of the system. Anitha (2014) and Kata, Rastogi and Garg (2013) ascertained that employee participation has a tremendous impact on employee performance; hence, it is crucial for managers to use various platforms of participation, such as a bottom-up approach, to ensure ownership of the system by members. This would also lead to a better understanding of the PMS. Hence, employee involvement is another precondition necessary for effective implementation of a PMS.

Latham and Mann (2006) on the one hand point out that employees believe that management implements a PMS to hold them accountable and further, to open a route for disciplining them; with the view that a PMS is adopted for the wrong reasons. While on the other hand Allen-lle, Ile and Munyaka (2007) reflect that application of a successful PMS may lead to an increase in the work volume of supervisors. Therefore, it is crucial for supervisors to have a clear insight into the PMS, as this will enable them to adapt, rather than not supporting it, or

rejecting the system. Nevertheless, the implementation of a PMS has to be a clear understanding and its use, by the whole organisation, irrespective of the level within the organisation.

Another precondition for an effective PMS, is that it takes time because the implementation of a PMS may require more time than the organisation anticipates and this may lead to lack of short-term results which might discourage employees in the organisation from implementing a system (De Waal and Counet 2009). At times the implementation is made hastily, and this may cause resistance to change, and increase the amount of pressure from/on managers (De Waal and Heijden 2015). Pace (2011) claims that most implementation challenges of a PMS are related to poor executive commitment of those in charge. The institution should play a pivotal role in mitigating all the above factors, so that the institution and employee performance is not hampered. De Waal and Counet (2009), note that the adoption of a PMS can cause resistance in an institution, the system should promote transparency about everybody's performance. Nevertheless, some employees may feel threatened by the system.

Rees and Porter (2003) indicate that it is risky to adopt systems used by other institutions in one's own organisation simply because this is a managerial fashion. Hence, each public institution must design a PMS that reflects its needs and wants, bearing in mind its employees, their overall abilities such as skills, competencies and views because street-level and low-level bureaucrats are in the front line of converting policy into action.

THEORETICAL FRAMEWORK

The theory underpinning PM is as a result of a flood of public sector reforms around the world that prompted research and knowledge on the management of performance in public administration (Steccolini, Saliterer and Guthrie 2020). Policies of Western governments such as that of the United Kingdom (UK) under Prime Minister Thatcher, and that of the United States of America (USA) under President Reagan, led the change towards the public sector managing its performance by embracing private sector principles (Hood 1991; Hughes 2012; George *et al.* 2020). Core to this were economic principles of rationality and result orientation where these are instilled and practised in the public sector (Hood 1991). New Public Management (NPM) was born of this and has two key focus areas, the first being limiting the role of government and second, improving of the performance of public institutions, while the first focus remains highly debated today (De Vries and Nemec 2013) in countries such as South Africa where state-owned enterprises' (SOEs) performance has remained poor.

Globally in the public sector, Olson *et al.* (1998) are of the view that PM remains the lifeblood of NPM, hence NPM underpins PM and PM research (*see* Steccolini 2019; Steccolini, Saliterer and Guthrie 2020), which focuses on the use of varied apparatuses such as a PMS by public institutions with the assumption that this would result in better policy outcomes (Taylor 2009 2011; Kroll 2014). After the era of Reagan and Thatcher, the evaluation and management of performance in public institutions does not always produce the expected or desired results while even worse, it has negative effects (Nemec, Merickova and Ochrana 2008).

Nemec (2010) observes that NPM has been misused for cost-cutting instead of being used for efficiency but this is contrary to South Africa, bearing in mind the poor financial performance or overall performance of its SOEs (*see* Gumede 2016; Kikeri 2018; Marimuthu and Kwenda 2019; Marimuthu 2020). NPM has had mixed success and failures dependent on various factors (*see* Bouckaer, Nakrosis and Nemec 2011; Singh and Slack 2020; Lapuente and Van de Walle 2020). In South Africa focus has been mostly on local government to improve service delivery and seen as most vital in developing regions because adequate performance by public institutions is severely needed (Reddy, Nemec and De Vries 2015). The performance of public institutions in South Africa has for years been problematic and all spheres of government have experienced this (*see* Van der Waldt 2004; Cameron 2009; Fourie and Poggenpoel 2017). Thus, PM has not resulted in better policy outcomes in some cases.

PERFORMANCE MANAGEMENT IN SOUTH AFRICA'S PUBLIC SECTOR

Much effort has been made to improve public service delivery in South Africa (Cameron 2009; Muller and Ndevu 2018). Unfortunately, with all the legislative and regularly measures put in place South Africa's public sector has yet to reap the fruits of PM. Cameron (2009:931) is of the view that "there is no substantive performance culture within the South African Public Service" although PM has been an integral part of many reforms after 1994. In most cases it has been "erratically and inconsistently applied" (Cameron 2009:910).

The current status quo of mere regulatory compliance with a PMS and managers not having enough knowledge of performance monitoring and evaluation to take advantage of the benefits of PM in their institutions is a prevalent problem in South Africa (Govender and Reddy 2014). Erasmus (2008) is of the view that performance of public institutions is significantly influenced by the skills and competencies of line managers needed for them to perform their duties effectively.

PERFORMANCE MANAGEMENT SYSTEMS IN SOUTH AFRICA'S PUBLIC SECTOR

A PMS generally involves putting in place a mechanism to manage by measuring employees' tasks to ensure that they focus on their work activities in the case of public sector institutions, their contribution to the achievement of public institutions' goals. Also, a PMS involves the building of a process, system and culture that will enable the achievement of an organisation's mission and objectives. A PMS is a key feature of NPM (Hughes 2008:60) and was popularised by it (George *et al.* 2020).

In 1994 when South Africa became a democracy, PM was seen as an additional measure in place to ensure realising not only improved public service delivery, but also for achieving national development priorities (Pessima 2009), such as equal access and development to human settlements, education and health; to mention a few. Unfortunately, in reality this has not been the case post-1994, because PMSs have been generally poorly understood and implemented in the public service sector in South Africa (Munzhedzi and Phago 2014). Little research has focused on PMSs at provincial government level in South Africa. The provincial government level since its inception after the amalgamation of the provincial civil services established in the Union of South Africa and the old homeland governments – that were unevenly resourced in 1994 through the Interim Constitution (Act 200 of 1993) – plays a role in legislative oversight and promoting inclusive citizen engagement (Lodge 2005). The next section presents the methodology this study adopted in investigating the causes of (in)effective implementation of PMS if any, at a KZN provincial department.

RESEARCH METHODOLOGY

This interpretivist study adopted a qualitative research design in its attempt to obtain street-level and low-level bureaucrats' perceptions, views and opinions (Guest, Namey and Mitchell 2013; Khumalo *et al.* 2019; Singh and Mthuli 2020) on the causes of (in)effective implementation of a PMS based on their experience. The study adopted a phenomenological research strategy and interacted with those affected by the phenomenon: a PMS (Creswell 2009; Khumalo *et al.* 2019). Data was collected using in-depth, face-to-face, one-on-one, audio-recorded interviews with 15 street-level and low-level bureaucrats employed by the KZNDSR. The sample was made up of two groups of employees: employees at officer level (*street-level*), these employees' performance is managed using a PMS; and the sample was also representative of employees who sit on the Intermediate Review

Committee (IRC), which committee includes unit supervisors and HR Directorate personnel (*low-level*). This sample size was deemed to be adequate based on the targeted sample (*officers and line managers*) and the sampling technique (*judgemental sampling*) utilised, where not all employees had an equal chance to be sampled because of their characteristics which in this case was their position in the department (Creswell and Creswell 2018).

Interviewees' perceptions were explored (Yin 2011; Guest, Namey and Mitchell 2013) with the assistance of an interview guide with a pre-set list of open-ended questions (Creswell 2012; Khumalo *et al.* 2019). The study employed a non-probability strategy because it was qualitative and not all KZNDSR employees had an equal chance to be sampled (Yin 2011; Creswell 2009, 2012; Guest, Namey and Mitchell 2013), and also adopted a purposive sampling technique, by interviewing specific people based on their characteristics (Yin 2011). Data quality control was ensured through trustworthiness of the data where credibility was ensured by interviewing knowledge-holders (Mthuli 2018) consisting of both officers and their line managers in the department as they were perceived to be in a better position to provide insights about the PMS. Data was analysed using a thematic analysis process, where the interviews were transcribed and the data categorised into themes (Creswell 2012).

FINDINGS AND DISCUSSION

This study aimed at investigating street-level and low-level bureaucrats' views on the causes of (in)effective implementation of the PMS at the KZNDSR. The study found that there were numerous causes of ineffective implementation of the PMS at the KZNDSR that support the literature while the study found these common themes: the PMS was viewed as being conducted in an inconsistent and erratic manner and seen as a function concerning the HR department only. The PMS was monetary-driven and also lacking fairness while being abused. These themes are discussed below:

Inconsistent and erratic PMS

The IRC had required the KZNDSR HR practitioners to return the Employee Performance Management and Development System Policy (EPMDS) for correction after it was found that it was erratic and inconsistent. Such a situation causes work pressure at the IRC as it needs to deal with waiting for documents returned for corrections within a short period of time. Some interviewees acknowledged the commitment of the newly appointed Accounting Officer in improving the implementation of the PMS. Interviewees indicated that, for the first time in the

history of the department, pay progression was received before 31 December as regulation stipulates. Participants expressed that:

> "The KZN Department of Sport and Recreation is faced with inconsistent and erratic filing of PMS documents which over the past years has led to delays in processing employees pay progression and performance bonuses" (Interviewee: 5).

> "The PMS has been partially ineffective because of the lack of compliance over the past years which has resulted in the failure by the DSR to pay performance bonuses and pay progression on time" (Interviewee: 6).

South Africa's Department of Public Service and Administration (2008), had identified a number of reasons for lack of compliance with PM regulations which can be attributed to work pressure, unforeseen emergencies, administrative leadership changes, and political restructuring which create organisational instability. Over a decade later it seems that the challenges that related to lack of compliance with the PM regulation still remain.

Human Resource-driven PMS

It was identified from the interviewees that the HR section from KZNDSR has worked hard over the past years to ensure that the PMS works smoothly. Unfortunately, a performance culture remains lacking but the Department is aiming at instilling a performance culture among all its employees in KZN at all levels, by having road shows prior to the start of each performance cycle. The KZNDSR emphasises the necessity for taking ownership of people management; however, despite tremendous efforts made, there is still much to be done in order to ensure that line managers or section heads take full ownership of the PMS for their respective employees. Some participants expressed that:

> "Performance management system is mostly human resource driven" (Interviewee: 1)

> "There seemed to be lack of understanding on the clear roles between who should be driving PMS especially from various section heads which has caused the system to be more driven by human resource section" (Interviewee: 11).

This finding supports that of Ngcelwane (2008), that there is a perception that a PMS implementation is an HR core function, and line managers are not included in

the process. Armstrong and Baron (2005) and Nel *et al*. (2011) insist that a PMS implementation is the responsibility of line managers and they should take ownership of the system, this is not the case at the KZNDSR, according to the interviewees.

Monetary-driven PMS

The study has also found that the challenge currently facing the KZNDSR is seemingly a misunderstanding of the main aim of a PMS because most employees are more interested in the monetary rewards. Yet the system is mainly designed to improve performance for both employees and the overall institution. Hence participants expressed:

> "*One of the biggest challenges of the PMS in the department is the strong dominance of monetary culture*" (Interviewee: 6).

> "*There is a huge gap in understanding the main goal of PMS in the Department of Sport and Recreation which causes the employees to be less concerned about shortcomings identified in their performance evaluation but more concerned about monetary rewards*" (Interviewee: 15).

This finding is also consistent with that of Seychelles (2009) who found that one of the contributing factors in PM problems is the absence of a strong performance culture which is lacking at KZNDSR.

Unfair and abused PMS

The PMS was perceived at the KZNDSR as not fair because the awarding of performance rewards, such as monetary bonuses, was unevenly conducted. An interviewee outlined the need for the PMS to be fair, in order for KZNDSR to achieve its goals. Some interviewees identified that there were cases where people who were not deserving of bonuses were given such rewards. This was causing factions among the employees, who viewed this as favouritism and bias because employees who are performing below expectation might be unfairly rewarded. One interviewee identified that those who are "good in writing in comprehensive English" are the ones who more readily obtain performance bonuses. It was expressed that:

> "*There are strong views on the lack of fairness in assessment and evaluation in KZN Department of Sport and Recreation*" (Interviewees: 9 and 14).

This study also found that the PMS was merely a means of regulatory compliance. A participant was of the view that:

> "*PMS is undertaken as a compliance exercise to such an extent that there are employees who have stopped motivating for their PM and assign themselves with a scores which do not require motivation for performance bonuses*" (Interviewee: 7).

This might be an indication that the PMS is abused by those who understand the system and provide just enough feedback to not alert or attract attention. There is evidence of the PMS being biased, subjective and abused. This finding is similar to that of a study by Munzhedzi and Phago (2014), in Limpopo province; Klinck and Swanepoel (2019) and Botha *et al.* (2019) in the North West Province. Overall, while a PMS is meant to improve public administration this has not always been the case, specifically at the KZNDSR. While there is a call for more focus to be on understanding performance policies in the public sector, how they shape and are shaped by organisational, economic, psychological, social and political values and realities (Steccolini, Saliterer and Guthrie 2020); these are not visible at the KZNDSR.

An inconsistent and erratic PMS might also be an indication that the Department does not have the skills necessary by those in authority to implement it, in this case line managers. Govender and Reddy (2014), note this but at local government level; while De Waal and Counet (2009) are of the view that insufficient resources such as institutional capacity contributes to an ineffective PMS. This to Watkins and Leigh, (2012) usually emanates from a poorly formulated PMS because when a policy is formulated, it is generally understood that resources available that will/might be required are considered and strategies are put in place to attain them. This is evident in the AGSA finding no usefulness and reliability of its reported performance information although the PMS was aligned with the reviewed EPMDS policy that was intensified during the 2015/16 performance cycle.

Nevertheless, the PMS at KZNDSR remains to be seen as unfair and abused and this might also emanate from the PMS being manual as KZNDSR (2019d) identified. A PMS that is not manual and only driven by the HR department, can promote transparency about everybody's performance but must not be hastily implemented because it might cause resistance (*see* De Waal and Counet 2009) from those that feel threatened because they use the manual system unfairly and abuse it. A manual PMS also leaves room for errors and Botha *et al.* (2019) identify that perceived accuracy and fairness also determines the effectiveness of a PMS.

A monetary-driven PMS relates to the economic aspect as well as the psychological and social aspects relating to its fairness and leading to its abuse which the study has identified, making it seen as not being equitable, which Latham and Mann (2006) indicate are important features that are needed to achieve equitable PMS features such as procedural and distributive fairness.

Steccolini, Saliterer and Guthrie (2020:5) observed that the "…uses of performance measurement have largely been downplayed in public administration empirical studies". This has been the case in the developing world in countries like South Africa where the AGSA has outlined unpleasant reports time and again with little or no change in most public institutions (*See* Mafolo 2012; Magoro 2015; 2016). PM at the KZNDSR has not delivered as expected and this study's findings are a reflection of its ineffectiveness. For KZNDSR to achieve better policy outcomes in transforming the sporting environment by ensuring sustainable development and an equitable access to most types of sports in the province, it must design a PMS that reflects its own needs but also bearing in mind its employees' skills and views (*see* Rees and Porter 2003), which the current manual PMS has not done.

CONCLUSION

This study investigated street-level and low-level bureaucrats' views on the causes of (in)effective implementation of a PMS at the department, KZNDSR. It found that the PMS was seen as inconsistent and erratically implemented, not fair, abused and only seen as an HR function, while line managers were also not taking ownership of it. These challenges can also be a result of a PMS that is manual, because the ineffective PMS causes are interconnected. For KZNDSR to be truly result orientated and produce reliable performance information, this study recommends that its PMS should move away from being manual, by integrating it with Information and Communication Technology. This should produce the desired results, because in its current state, it is viewed as not fair and abused, while not involving low-level bureaucrats, such as line-managers. This study's contribution lies in that it builds further on PM research in South Africa using a case of a provincial government department. The study has shown that although much is known about a PMS implementation's (in)effectiveness, too much focus has been on the local government level. Little focus has been on the provincial government level, which plays a key role since its inception after the amalgamation of the provincial civil services established in the Union of South Africa and the old homeland governments.

NOTE

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The Role of Policy Networks in Self-Build Housing

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ABSTRACT

In 2009 South Africa's enhanced People's Housing Process (ePHP) through which self-build housing would be implemented, was introduced. This article summarises the purposes and results of a research project undertaken to determine what role good policy network practices played in the attainment of ePHP policy objectives. The Clark Policy Network model served as a heuristic device in analysing the relationship between network characteristics, the Masizakhele Project as a case study and the attainment of policy outcomes in the project. The analysis revealed that project operations exhibited many of the indicators of the characteristics contained in the Clark Policy Network model, and that the operationalised policy outcomes associated thereto were fully attained. Generalisable observations developed during the analysis allowed the researcher to propose a network theory of policy implementation, that policy networks aimed at attaining developmental objectives must incorporate strategies to both attract and retain resources within the network.

INTRODUCTION

The research project investigated the role of policy networks in the enhanced People's Housing Process (ePHP), through which government-subsidised housing is provided to indigent households in South Africa. The 1994 White Paper: *A New Housing Policy and Strategy for South Africa* did not include a self-build housing strategy (NDOH 1994:28; Marais *et al*. 2008:7). It prioritised strategies that could immediately be implemented at scale and fast-tracked in order to eliminate the considerable existing housing backlog. The 1998 *White Paper on Housing* stated

that" Government *is under a duty to take steps and create conditions which will lead to an effective right to housing for all"*. The process of delivering 'housing for all' could, however, not be attained as fast as envisioned (Dawson & Mclaren 2014:18; Visser 2004:12). The 1998 White Paper: *Supporting the People's Housing Process* introduced self-build housing. In a progressive approach, within which self-build housing falls, households are first provided with a serviced site and then with a house in a separate phase. In the conventional approach households are provided with a serviced site and house in one phase (Marais *et al.* 2003:348). The 1998 policy's objective is to "encourage *and support individuals and communities in their efforts to fulfil their own housing needs by assisting them in accessing land, services and technical assistance in a way that leads to the transfer of skills to, and empowerment of the community"* (NDOH 1998:1).

The 1998 policy is the guiding policy for the ePHP, although the manner in which the housing programme should be implemented has been revised in the 2009 Housing Code. The Housing Code details the underlying policy principles, guidelines, norms and standards applicable to the housing process, and contains the various housing programmes through which the provision of the socio-economic right to housing is to be progressively realised (Patal 2015:2738; WCDOHS 2015:17). The ePHP is defined as *"a housing delivery mechanism whereby beneficiary households build, or organise between themselves, the building of their own homes, make a 'sweat equity' contribution through their labour and exercise a greater choice in the application of their housing subsidy through their direct involvement in the entire process"* (NDOH 2005:7).

This research utilised a policy network approach to determine what role policy networks play in the implementation of the ePHP. Clark's 2017 Policy Network model (the Clark Model) was utilised as a heuristic device to explore the relationship between network characteristics contained within the model, the Masizakhele Five ePHP Project (the Masizakhele Project) and the attainment of ePHP policy outcomes.

THEORETICAL APPROACH

Policy Network Analysis

Policy Network Analysis emerged during the 1950s under theories of interest intermediation, aimed at capturing the role that non-governmental actors played in policy processes (Skogstad 2005:1). Contributors such as Wilks and Wright (1987) developed a descriptive model (a disaggregation of policy functions and levels) for cross-sectoral and cross-national policy comparison. The Rhodes and Marsh (1992) descriptive model was developed based on a comparative analysis

undertaken of nine policy areas within the British government, spanning central-local government and industrial-government relations (Rhodes & Marsh 1992:181). This model distinguished between a policy community and issue network using characteristics of its membership, integration, resources and power distribution (Rhodes 1997:44). The period between the 1950s up to the mid-1990s essentially witnessed a proliferation of descriptive policy network typologies. The policy network literature continued to develop so as to use policy network models as analytical tools. The Marsh and Smith model (2000) highlights shortfalls in the rational choice, personal choice, formal network analysis and structural approach to policy network theory building. Their paper examines three types of dialectical relationships (*an iterative relationship between two variables in which each affects the other in a continuing, iterative way*) which they argue affect policy outcomes (Marsh & Smith 2000:4). These relationships are between the network and the agents involved in the network, the context within which the network operates, and the policy outcome (Marsh & Smith 2000:4).

African contributions to the policy network literature emerged in the late 2000s, starting with a focus on education policies (Fataar 2006; Evoh 2007; Johnson *et al.* 2011; Moyo & Modiba 2013). In applying the policy network concept to HIV/AIDS policy in Botswana, Kaboyakgosi and Mpule utilised policy network analysis to provide an alternative to traditional theories of public administration that were unable to account for contexts in which the state was not the decisive role player in policy formulation. They found that within the network, dominant coalitions (constituted of both government and health sector practitioners) defined the network problems and devised the manner in which network resources would be utilised (Kaboyakgosi & Mpule 2008:301:305). In a change of policy focus area, Koronteng and Mpule (2008:301:305) apply the Rhodes and Marsh (1992) model referred to above to describe the formulation of decentralisation policies in Ghana. Like the majority of African contributions, they applied the policy network concept to the policy formulation stage and concluded that varied interests were represented at, and in turn influenced the development of, decentralisation policies. Omenya (2006:38) utilises a comparative case study approach to compare how different network types access resources during the implementation of self-build housing in Kenya and South Africa. He does this by incorporating policy network analysis into relational attributes and political economy analysis.

The Clark Policy Network Model

Skogstad proposed that to move beyond descriptive typologies towards a theory with explanatory power, three requirements had to be met. First, the attributes of the network and not the actor would have to be the unit of analysis. Second, the policy structure had to be linked to broader contextual factors; and third,

there had to be recognition of the role of actor agency (Walker 2004:8; Skogstad 2005:5). Clark undertakes a literature review of the democratic developmental state as a theory for understanding contextual factors at a macro-level and social capital theories to understand actor agency at the micro-level. The policy network literature was reviewed to understand the meso-level network dimensions of linkages, actors and boundary management. Dowding critiqued attempts to utilise policy network typologies to develop a policy network theory by arguing that the independent variables were in fact not network characteristics but

Table 1: Clark Policy Network Model

	Mediating Influence on Social Capital Dimensions	Mediating Influence on Developmental State Dimensions
Characteristics	Diverse actors linked in a differentiated manner	Presence of mechanisms to legitimise Government presence within the network
Indicators	▪ Diversity of membership and actors from the commencement of the ePHP project. ▪ Actor roles and responsibilities determine resources contributions to the network. ▪ Rewards and incentives associated with the presence of diverse actor linkages and membership type.	▪ Government actors viewed as legitimate by network actors. ▪ Government in non-hierarchical relationships with other ePHP project network actors. ▪ Presence of conflict resolution platform when government presence is no longer viewed as legitimate. ▪ Rewards and sanctions associated with the legitimacy of government's presence.
Characteristics	Simultaneous maintenance of formal and informal linkages between actors.	Government actors across government spheres act as coherent actors.
Indicators	▪ Difference in the nature of formal and informal linkages between members. ▪ Presence of conflict resolution platforms for both formal and informal linkages. ▪ Rewards and sanctions associated with the maintenance of formal and informal linkages.	▪ Government acts coherently through non–hierarchical relationships. ▪ Presence of platform to allow the resolution of conflict that emerges between government actors. ▪ Rewards and sanctions associated with government acting as a coherent actor. ▪ Government has long-term and synchronised approach to development planning. ▪ Government undertakes Strength, Weakness, Opportunity and Threats (SWOT) analyses of ePHP policy implementation.

	Mediating Influence on Social Capital Dimensions	Mediating Influence on Developmental State Dimensions
Characteristics	Differentiated flow of resources.	Developmental elite led by developmentalist ideology.
Indicators	▪ Linkages allow for the receipt of and the differentiated flow of resources. ▪ Presence of conflict resolution measures when resources are prevented from flowing through the network. ▪ Rewards and sanctions associated with the differentiated flow of resources. ▪ All relevant government spheres exchange resources within the network.	▪ Government plays a role in increasing the capacity of civil society. ▪ Presence of conflict resolution mechanisms when government does not play a capacity-building role. ▪ Rewards and sanctions associated with government's role to increase the capacity of civil society. ▪ Implementation of the policy prioritised by the developmental elite. ▪ Politicians facilitate political settlement.
Characteristics	Simultaneous maintenance of bridging, bonding and linking social capital.	
Indicators	▪ Presence of bridging, bonding and linking social capital. ▪ Presence of both expressive and instrumental action. ▪ Presence of conflict resolution platforms when bridging, bonding and linking social capital cannot be maintained. ▪ Rewards and sanctions associated with the use of horizontal and/or vertical linkages. ▪ Presence of social norms that facilitate the attainment of network objectives.	
Characteristics	Differentiated linkages with other networks that affect the primary network.	
Indicators	Network actors engage with other actors that affect the network. Network not in conflict with the community in which it operates.	

Source: Clark, 2017, Towards a Network Theory of Policy Implementation. Unpublished PhD thesis, University of Johannesburg.

rather characteristics of components within the network (Dowding 1995:137). In responding to this critique, the Clark Model contains characteristics that would theoretically be the result of the manner in which the project characteristics at a micro- meso- and macro-level interact with and mediate each other (Clark 2017:88-96). Table 1 presents the outcomes of such a theoretical process.

The next section summarises how the Clark Model was used to explore the role of policy network characteristics in the selected case study.

RESULTS: APPLYING THE CLARK POLICY NETWORK MODEL TO THE MASIZAKHELE PROJECT

The Masizakhele Project is located in Wallacedene, Kraaifontein, approximately 40 km from the centre of Cape Town. The Masizakhele Group was established as a community-based organisation (CBO) in 2004, and in 2006 construction of the first houses as part of Masizakhele PHP One commenced. The project business plan for the Masizakhele Project was submitted to the relevant municipality in 2013, gained its support for the project in 2014, and the municipality undertook to earmark funding for the project during the 2014/2015 financial year. The Western Cape Department of Human Settlements (WCDOHS) approved the project in 2014 and one year later construction of 400 houses commenced. For this research project implementation was separated into a group formation and business plan development phase, project approval and construction phase and close-out phase.

The first step in the analysis was to restate (operationalise) the ePHP objectives as positive outcomes of generally accepted good policy network characteristics. For each of the Clark Model characteristics, an analysis was then undertaken of the extent to which relevant policies encouraged ePHP projects to take on network characteristics. This approach was important as it confirmed that any implementation gap (that is, concerning the attainment of policy objectives) identified could not be as a result of a mismatch between policy design and policy implementation.

Diverse Actors Linked in a Differentiated Manner

The roles set out for the various actors within the Project Social Compact Assessment Report identified the differentiated manner in which they were to be linked. ePHP support measures compel the inclusion of at least beneficiaries, the National Home Builders Registration Council (NHBRC), the relevant municipality and the Provincial Department responsible for Human Settlements (PDHS) into the network. Beyond this, the involvement of as wide a range of actors that

can make a contribution to the housing process including, among others, Non-Government Organisation (NGO), CBO and Faith-Based Organisation (FBO) sectors are encouraged. In addition, provision is made for actors to take on more than one role. A facilitator could, for example, play the role of developer, while the Housing Support Committee (HSC) also plays the role of the Housing Support Organisation (HSO). The requirements (for example, being married) potential beneficiaries have to meet, as stipulated in the Housing Code, act as a justified form of boundary management (NDOHS 2009:7:22).

ePHP support measures also link differentiation and responsiveness as evidenced by the fact that the 2011 WCDOHS ePHP framework undertook to institute systems and procedures that would ensure that the considerations of ePHP beneficiary applications are dealt with in a fair manner (WCDOHS 2011:5). The 2009 Housing Code, also has a focus on the incorporation of women, youth and disabled persons (who require modifications to their homes) into projects (NDOHS 2009:10). The operationalised policy outcome related to this Clark Model characteristic is therefore 'responsiveness', both to the needs of beneficiaries and the willingness of different actors to contribute to the housing process.

The Masizakhele Project operations exhibited many of the indicators related to this Clark Model characteristic. There was a high degree of actor differentiation from the government, private and CBO sector, as well as linkage differentiation which was sustained throughout the implementation phases. The linkages through which resources flowed were simultaneously in operation alongside each other. An illustration of this is the example of beneficiaries who legitimised and added social capital to the Masizakhele Group (for example, volunteering to serve on the HSC) while they themselves received financial resources in the form of subsidies from government. Beneficiaries reported that they shared in decision-making during all phases of the project and that they had direct linkages to all other actors within the project. It was therefore not necessary to go through a gatekeeper to speak to, for example, the NHBRC or the provincial officials.

During the group formation and business plan development phase government is seen as a separate network that the Masizakhele Group wanted to penetrate to access resources. In representing the project actors, the Provan and Milward (2001) categorisation of principals, agents and/or clients can be utilised. Agents are actors working with aspects of the network as administrators and service-level professionals. For the Masizakhele Project the contractor/supplier, NHBRC, construction controller and facilitator played the role of agents. Principals are actors that monitor and fund network activities, and for the Masizakhele Project the WCDOHS and relevant municipality played the role of principals. Clients are actors that receive services through the network, but are also intricately involved in the provision of these services. This role was played by beneficiaries who offered their time, commitment and leadership to the project.

There were avenues for further differentiation which were not utilised in the project. These included the inclusion of volunteer actors, the ward councillor and linkages to government projects and programmes (beyond the EPWP). The network, that included resources-poor (or vulnerable) beneficiaries, would have benefited from the help of volunteers or from the resources that partnership through learning exchanges, for example, could have brought to the network. Actor differentiation was, however, broad enough to say that the operationalised policy outcome of 'responsiveness' was attained and one can generalise that 'linkage differentiation provided actors with the resources required to respond to a limited set of needs'.

Simultaneous Maintenance of Formal and Informal Linkages between Actors

In stating that the review process allowed the NDOHS to 'properly accommodate support for other community driven housing initiatives', there is an understanding that synergy would not come about as a result of some 'hidden hand', and that it would have to be formalised within ePHP support measures (NDOHS 2009:7). Conflict resolution processes were formalised through the requirement that dispute resolution procedures would be facilitated with duly elected representatives (WCDOHS 2011:5). The linkage between the proposed ePHP project and other municipal projects was also formalised through the requirement that the identification and approval of ePHP projects has to be linked to existing strategic development plans (WCDOHS 2011:5).

There is in effect very little opportunity to make use of informal networks, including social capital networks, to attract resources, without formalising such linkages. This formalisation would occur through verification and accreditation before service providers and suppliers are placed on the supplier database. Although this was not a requirement under the PHP, contractors and suppliers are now required to be registered with the NHBRC and will therefore be subject to compulsory inspections. Furthermore, service providers are to be appointed by the PDHS or relevant municipality in accordance with government Supply Chain Management (SCM) procedures and processes (WCDOHS 2011:6-7). Finally, service contracts are to be concluded between the WCDOHS, relevant municipality and service provider (WCDOHS 2011:4).

ePHP support measures make provision for both voluntary and compulsory linkages. In the formalisation of previously informal processes, the nature of these linkages has also become compulsory. The use of private Accounts Administrators (AAs), for example, will no longer be allowed, and the relevant municipality must be the AA for all projects within its jurisdiction. The involvement of municipalities has in this manner become compulsory (WCDOHS 2011:6). The operationalised

policy outcome related to this Clark Model characteristic is therefore 'synchronised planning'.

The Masizakhele Project operations exhibited many of the indicators related to this Clark Model characteristic. The HSO for this project was registered as a legal entity and the facilitator was selected from the Provincial Supplier Database. The relevant municipality ensured that the project was aligned to other strategic municipal plans, including the Integrated Development Plan (IDP), and it also initiated the process of registering the project by submitting it to the NHBRC. It also ensured that the approval of projects in the area did not result in the over-commitment of its budget. Despite the provisions of the WCDOHS guidelines, the Provincial Supplier Database was, however, not linked to the Municipal Supplier Databases. Furthermore, the appointment of service providers (facilitator, contractor, supplier and construction controller during the next phase) did not take place in accordance with government SCM regulations as the HSC in each instance approached a single service provider. A process of competitive bidding was not utilised. Furthermore, the service contract was only signed between the respective service providers and the HSC, and not with the relevant municipality or PDHS.

The NHBRC conducted inspections as required and they did not have to impose any sanctions as all houses met the technical requirements. Beneficiary involvement occurred through compulsory (for example, submission of housing subsidy applications forms), voluntary (for example, serving on the HSC), formal (for example, HSC formation) and informal (neighbours looking after each other's houses during construction) linkages. The various linkages and actor roles made it possible for actors to resolve network issues informally, often via telephone calls. The operationalised policy outcome of 'synchronised planning' was therefore attained and in relation thereto one can generalise that 'informal linkages were formalised with the aim of ensuring that synchronised planning takes place'.

Differentiated Flow of Resources

The ePHP is described by government as being "a mechanism to facilitate the flow of resources from Government to resource-poor groups"' (NDOHS 2009:15). The primary conduits in this regard are the Human Settlements Development Grant (HSDG) and the Urban Settlement Development Grant (USDG). The first of these is a transfer to the PDHS which then allocates these funds to municipalities upon approval of a business plan. Once the HSDG funding is allocated to the project, it is further differentiated into an establishment grant, facilitation grant and the top structure subsidy. The Housing Code also makes provision for a geotechnical variance amount to be added to the subsidy amount, dependent on the geological conditions of the settlement.

Depending on its ability to undertake synchronised planning, it is possible for provinces to receive additional or lose funds. As provided for in Section 19 of the Division of Revenue Acts published annually, provinces may lose funds if municipalities within their jurisdiction are not able to implement their projects according to schedule. The USDG is a transfer directly from National Treasury to municipalities and is utilised in *greenfields* projects or projects which require improvements to infrastructure (bulk services such as sewage systems and internal services such as connections from the electricity grid to households).

ePHP support measures recognise various forms of capital as listed in the 2009 Housing Code. These include capital funding (housing subsidy, special conditions/enhancements to the capital subsidy, municipal funding and funding with which to purchase land), capacity building funding and bridging finance (NDOHS 2009:29-32). In a departure from the policy provisions for the ePHP, "Access to the establishment grant will now have to be motivated for and approved separately to the top structure housing subsidy" (WCDOHS 2011:6). For projects that are in effect a continuation of other phases there might not be a need for an establishment grant as a number of the costs associated with establishment would already have been incurred during previous phases. This includes, for example, the costs associated with registering the CBO as a legal entity or the construction or purchase of a site office. The establishment grant for the Masizakhele Project was utilised to pay for a security officer, stipends for the chairperson and secretary, and fencing and containers for the site office. The project also received a geotechnical variance after a report undertaken by an independent company undertook an assessment of the settlement.

Concerning the flow of resources within the network, the focus is on "community contributions, partnerships and leveraging of additional resources through partnerships" (NDOHS 2009:13). During the group formation stage, social capital is the primary resource community members use to form the group and give of their time, leadership and commitment to the group. The transfer of skills throughout the network is also another way to leverage resources.

The network is also a conduit for the flow of resources to the community in which it is located, primarily through the utilisation of the housing process to promote local economic development (NDOHS 2009:9). By creating a local multiplier effect, skills, goods and/or services of the local community, if not the immediate beneficiaries, are utilised for the project. This is in contrast to projects where all the income generated through the project accrues to private developers. The operationalised policy outcome related to this Clark Model characteristic is therefore 'maximising available resources'.

The Masizakhele Project operations did exhibit a few of the indicators related to this Clark Model characteristic. The preceding four phases allowed the Masizakhele Group to incorporate considerable social capital into the project

from the community by the time that the Masizakhele Five Project was initiated. During all of the phases the beneficiaries provided their support by taking ownership of the project, giving their buy-in in the form of attendance at workshops and meetings, and ensuring that they were kept up to date with developments in the project. Community members also contributed social capital by 'looking after' housing units while the beneficiaries had not yet occupied the units, as houses are often vandalised during the construction phase.

The maintenance of the Provincial Supplier Database is a manner in which the resources of the Provincial Department, required to undertake probity processes (for example, undertaking credit checks and ensuring that potential service providers have tax clearance certificates), are at the disposal of HSO and beneficiaries. The relevant municipality, as AA, made payments to the contractor in accordance with the completion of various stages (floor, wall plate, roof and completion stage) of the construction process. The NHBRC and municipal and WCDOHS certifiers and construction controller also added their technical expertise through the inspection of constructed houses.

Some policy provisions were, however, not implemented; the first being that persons employed to construct the houses were not selected from among the beneficiaries, and the contractor employed people from outside the area. As a result, construction could not be utilised as a cost saving measure and none of the beneficiaries received technical training related to construction. The contractor and material supplier selected were also not from the Wallacedene area, and the local multiplier effect could therefore not be fully attained. The EPWP programme linked to the project did not bring any additional resources into the network. It only requires of a municipality and the WCDOHS to document and report on the number of job opportunities created through a government-funded project. Beneficiaries also reported that no recycled materials were utilised during construction and they indicated that they have a strong preference for the utilisation of new material. The operationalised policy outcome of 'maximising available resources' was therefore not fully attained. In relation to this objective one can therefore generalise that resource contributions of beneficiaries were limited to taking ownership of the project as only compulsory avenues to incorporate resources into the project were utilised.

Simultaneous Maintenance of Bridging, Bonding and Linking Social Capital

ePHP policy provisions have attempted to formalise certain conducive social norms in the form of compulsory community contributions. These contributions are defined as time, leadership, participation, ownership of the project and attracting community volunteers into the project (NDOHS 2009:31).

In stating that the review process will allow government "to work with communities in a way that Social Capital is built upon rather than destroyed", there is an understanding that the social norms that enable especially bridging (ties between actors within the same community who do not share many demographic characteristics) and bonding (ties between similar actors within the same community that share demographic characteristics) social capital are network resources (TPC 2003:18; NDOHS 2009:7). Concerning both bonding and bridging social capital, ePHP support measures, in line with the Breaking New Ground (BNG) (officially named the Comprehensive Plan for the Development of Sustainable Human Settlements) policy and the People's Contract, call for the mobilisation of communities. BNG, introduced in 2004, embodied a shift from a private developer-driven approach towards a more local government-centred and government-driven housing delivery process.

The People's Contract envisages partnerships between government and interested actors, which facilitates bottom-up decision-making (NDOHS 2009:7, 9, 15). Partnerships are mechanisms for increasing vertical (linking) social capital. Linking social capital refers to ties between less privileged actors and actors in positions of authority (Grootaert *et al.* 2004:4; TPC 2003:18). Bridging and linking social capital is a necessity in instances where communities are undertaking instrumental action, that is, action intended to improve access to resources. Bonding social capital, on the other hand, is more closely related to expressive action, that is, action aimed at maintaining resources within the network (Son & Lin 2008:333; Adler & Kwon 2002:24). The operationalised policy outcome related to this Clark Model characteristic is therefore 'enhancing sustainable livelihoods'.

The Masizakhele Project operations exhibited only a few of the indicators related to this Clark Model characteristic. Although there was an existing social capital network when the project commenced, it was arguably not fully utilised as a result of the fact that many of the linkages within the project were formalised. Expressive action ended once the business plan was approved and the grant funding released to the project. Furthermore, the limited subsequent expressive action is arguably as a result of the fact that avenues through which resources could be retained within the network (for example, through the local economic multiplier effect) were not explored by the network. During the close-out phase there were no examples of instrumental action, only expressive action in the form of homeowner and consumer education that was offered to provide beneficiaries with sufficient knowledge and skills to maintain their houses.

The operationalised project objective of 'enhancing sustainable livelihoods' was not fully attained, and in relation to this objective one can generalise that instrumental action undertaken through bridging social capital contributed predetermined resources to the network and without measures to improve bonding and linking social capital, these resources could not be enhanced.

Differentiated Linkages with Other Networks that Affect the Primary Network

ePHP support measures do make provision for differentiated linkages with other networks that affect the primary network. ePHP support measures particularly encourage conducive relationships between networks where government actors are involved. Many ePHP projects operate alongside the housing micro-financing sector which allows beneficiaries to save sufficient money to be able to cover the start-up costs required to complete construction phases. In such an approach there is greater incentive for beneficiaries to institute cost saving mechanisms, and government has undertaken to support this approach by assisting NGOs who facilitate such micro-financing schemes (NDOHS 2009:14). PHP projects which are not developer- and profit-driven still operate in this manner, and the flow of resources through projects has been facilitated by such savings schemes (DAG 2003:5; Manie 2004:6). The operationalised policy outcome related to this Clark Model characteristic is therefore 'maximising available resources'.

The Masizakhele Project operations exhibited only a few of the indicators related to this Clark Model characteristic, with the focus being on resources contributed by government. When the business plan was submitted to the relevant municipality for consideration, it was assessed in light of the available budget, given allocations that had already been made to other housing projects. Other housing projects are in effect other networks that are competing for resources and government instituted measures to ensure that there was no conflict between these networks. These measures include ensuring that beneficiaries are not included in more than one project, and that there is not an 'oversubscription' of projects in a particular area. The absence of linkages with the micro-financing sector is as a result of the fact that beneficiaries did not have to secure start-up capital, as this cost was absorbed by the contractor.

Throughout the various phases, the project was implemented alongside other ePHP projects in the area, one such example being the Masipatisane project. Beneficiaries reported that the Masipatisane project progressed slower than the Masizakhele Project and as a result beneficiaries in the other project attempted to 'migrate' their subsidies to the Masizakhele Project. The new WCDOHS guidelines, however, stipulate that such migrations are no longer allowed, and these guidelines acted as a boundary management measure. In further justified boundary management, the network had to institute measures to insulate itself from criminal networks operating in the area. The establishment grant was utilised to pay for a security guard to prevent the site office being burgled or building material and supplies being stolen.

When read together with the discussion above on a differentiated flow of resources to the network, the analysis of this Clark Model characteristic finds that the

operationalised policy outcome of 'maximising available resources' was not fully attained. One can generalise that instrumental action within the network ceased once predetermined government resources were incorporated into the network.

Mechanisms to Legitimise Government Presence within the Network

Beneficiary involvement and decision-making legitimises the actions taken by government as a result of such decisions, reducing the chances of beneficiaries rejecting the actions taken by government on behalf of the network. Measures for legitimising the presence of government within the network can be described as being either resource- or assurance-based mechanisms. Concerning assurance-based mechanisms, at a macro-level the WCDOHS developed and maintained the policy framework that creates an environment that is conducive to the implementation of the ePHP. The framework indicates that administrators should apply a "fair and consistent approach in the registration, evaluation and approval of projects that is based on sound, credible criteria and principles of fair allocation across districts" (WCDOHS 2011:5). The vetting process that government undertakes before placing potential service providers on the Provincial Supplier Database is another assurance-based mechanism for legitimising its involvement in the selection process.

The credibility of the housing demand database is also an assurance-based form of legitimacy. The municipal Housing Demand Database (HDD) details persons who have applied to receive government-subsidised housing, and is utilised as a reference for the housing backlog within a municipality. The municipal HDD is populated by municipalities, in turn consolidated into the provincial HDD and finally consolidated into the national HDD. The operationalised policy outcome related to this Clark Model characteristic is therefore 'responsiveness'.

The Masizakhele Project operations exhibited many of the indicators related to this Clark Model characteristic. This includes the steps the relevant municipality took to ensure alignment between potential projects and its strategic plans. The relevant municipality has, however, indicated that it would want to be involved during the group formation stage, earlier than is currently required. It argues that its involvement would be legitimate because it would allow the relevant municipality, in what is essentially boundary management, to inform potential groups that there is either no budget for a particular period or that the project is not in line with its strategic direction.

The only resource-based mechanism for legitimising government's presence was the disbursement of the allocated subsidy amount to the project. The Consideration Committee, convened by the WCDOHS, provided assurance that the various aspects of the project, for example, the social and technical aspects,

were sound. Government also continued the assurance-based mechanism of ensuring that only vetted service providers are utilised in projects. Through the work of the municipal quality assurers and monitoring and evaluation processes, government monitored the project against the project schedule and required standards. The relevant municipality was also the AA for this project and in this manner ensured the correct disbursement of project funding. Government also ensured that all beneficiaries were listed on the HDD and that they were eligible for the consolidation subsidy. The operationalised policy outcome of 'responsiveness' was therefore attained, and in relation thereto one can generalise that assurance-based forms of legitimacy were all aimed at ensuring that the resources continued by government remained within the network.

Government Actors across Government Spheres Act as a Coherent Actor

In stating that the review process allowed the NDOHS to "align the programme with existing NDOH initiatives, strategies and partnerships" there is an attempt to incorporate departments across the three spheres of government into the delivery of the ePHP programme (NDOHS 2009:7,13). It is also an illustration of measures to ensure that departments do not undertake silo planning, but rather take on a strategic and integrated approach to development planning. Finally, the maintenance and cascading of the HDD from the municipal to the national database also requires government across spheres to act coherently to ensure that the database is credible.

Support measures also contain provisions to ensure that government undertakes a SWOT analysis of the policy as a whole as well as its implementation in individual projects. The broader shift from the PHP to the ePHP was none other than the outcomes of a SWOT analysis that government undertook together with sector partners. For individual projects, SWOT analysis takes the form of monitoring and evaluation, and ePHP support measures place the primary responsibility of monitoring and evaluation with PDHS that must, among other things, prepare, monitor and manage contracts (NDOHS 2009:37). In addition, the department, relevant municipality and HSO are required to jointly assess the performance of the appointed service providers on at least a quarterly basis (WCDOHS 2011:7). The operationalised policy outcome related to this Clark Model characteristic is therefore 'synchronised planning'.

The Masizakhele Project operations exhibited many of the indicators related to this Clark Model characteristic. The exception, the inconsistency concerning the interpretation of the National Housing Code provisions that relate to the ePHP, was a result of the absence of implementation guidelines. The potential negative impact was mitigated by the WCDOHS ePHP implementation framework

which was developed based on its experience in policy implementation. This is again an example of reflective learning that has resulted in changes to policy implementation.

Once the housing units were handed over to beneficiaries and title deeds were issued, the relevant municipality ensured that the HSS was updated to reflect that project beneficiaries are no longer eligible to receive further government housing. There is a probation on beneficiaries selling government subsidised houses within eight years of taking ownership (Sisulu 2015). The operationalised policy outcome of 'synchronised planning' was attained and in relation to this outcome one can generalise that project (meso-) level implementation provided administrators with the opportunity to address macro-level policy deficiencies.

CONCLUSIONS: POLICY UNDERPINNED BY A DEVELOPMENTALIST IDEOLOGY

The final Clark Model characteristic serves as a useful point for drawing conclusions about the study findings. Because of the fact that a developmentalist ideology should underpin all ePhP support measures, all of the operationalised policy outcomes should link back to it.

The developmentalist ideology underpinning ePHP support measures is evident in various policy provisions. The underpinnings of the social transformation programme together with the People's Contract resulted in a paradigm shift from the delivery of houses as an end in itself, to the delivery of sustainable human settlements and the attainment of broader developmental objectives (DOHS 2009:7; 9). The implementation process was designed in such a manner that beneficiaries would be empowered individually as well as collectively (NDOHS 2009:7,10,13). To ensure that the broader developmentalist policy intent is met, monitoring measures would be put in place concerning minimum standards for community participation and empowerment (NDOHS 2009:7,19).

The ePHP specifically makes provision for capacity building funding for, among other things, pre-project consumer education funding and project-specific capacity building and facilitation funding (NDOHS 2009:30). Government is in effect accepting that it will provide funding for facilitation processes that might not result in a project being approved. Even if the project does not progress past the application stage, the capacity that communities build (for example, development of a business plan and learning about meeting procedures) during the facilitation process, can still be utilised in future community-driven projects.

The Masizakhele Project operations exhibited a number of the indicators related to this Clark Model characteristic, although a number of shortcomings were

identified. There was an absence of partnerships with private and NGO actors through which additional resources could enter the network. It has also already been illustrated that avenues to empowerment such as training, attaining a local multiplier effect and utilising recycled material were not utilised. In addition, while the project was in line with the municipal and WCDOHS incremental housing strategy, it was not aligned to national policy through any other government initiatives, programmes or partnerships beyond the ePHP.

The requirement that monitoring measures would be put in place concerning minimum standards for community participation and empowerment is not yet at an advanced stage. Presently municipalities can meet this requirement by proving beneficiary attendance, at meetings or training sessions such as the consumer education training, by way of attendance registers. The content of the discussion and the nature of decision-making are not yet being evaluated.

Beneficiaries (who included members of the HSC), for example, reported that they were not involved in the selection of the contractor and did not consider this to be part of their responsibility. Knowing that you have a choice is an important component of beneficiary decision-making, as you would otherwise not know when trade-offs are to be made. The broader developmental objective of the policy was therefore not fully attained and one can generalise as follows: broader developmental objectives were jeopardised because the network did not explore all decisions related to trade-offs, and the incorporation of all possible actors and resources into the network.

Where the project therefore exhibited few of the indicators of the Clark Model, the related operationalised policy outcomes of 'Maximising Available Resources', 'Enhancing Sustainable Livelihoods' and 'Broader Developmental Objectives', all policy outcomes aimed at instrumental action, were not fully attained. The non-compliance of the project operations with such network practices can therefore explain the lower levels of success or the failure of the project to achieve the related outcomes. The attainment of instrumental action requires of the network to challenge itself to go beyond the minimum requirements of linkage creation and resource attainment. A working network theory of policy implementation is therefore proposed, that policy networks aimed at attaining developmental objectives must incorporate strategies to both attract and retain resources within the network.

NOTE

* This article comprises an extract from Clark (2017) completed by the first author in 2017 in the Department of Public Management and Governance at the University of Johannesburg under the supervision of the second author.

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Leadership Accountability and the Development of Administrative Staff at Prominent Hospitals in the Mangaung Metropolitan Health Area

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ABSTRACT

The development of administrative staff in the Mangaung Metropolitan health area, an important asset, is often overlooked. The development of this cohort directly impacts the services rendered to communities. It is for this reason that effective, efficient, and costly human resource development (HRD), as a tool to enhance the skills, knowledge, and abilities of administrative staff, comes under investigation.

The study aimed to determine the HRD challenges that the administrative staff of the National District, Pelonomi Regional, and Universitas Academic Hospitals face in their mandate to provide efficient, effective, and economical service delivery. The question this article aimed to answer was: what are typical HRD challenges concerning the development of administrative staff working in the Free State public health sector?

The abovementioned hospitals have been under increasing pressure to stay within their annual budget allocation without reducing the quality of health services rendered. It appears as if budget allocations are often shifted to the training of specialists, medical practitioners, professional nurses, and pharmacists, rather than that of administrative staff (salary levels 6 and 8). These financial challenges moved the Free State Provincial Treasury to take control over the Free State Department of Health in 2014.

The study employed a qualitative research approach. Focus group discussions were conducted with administrative staff and semi-structured interviews with staff responsible for the management of HRD in the Mangaung Metropolitan health area.

INTRODUCTION

The Free State Department of Health (FSDoH), the largest of the 11 Free State provincial departments, is responsible for the delivery of health services within the province. The quality and capacity of its human resources is the decisive factor in its ability to adhere to its constitutional mandate (section 197) in the provision of quality health services. Within this department, the Mangaung Metropolitan health area, the focus of this study, consists of the National District, Pelonomi Regional and Universitas Academic Hospitals and administers the functions of providing primary and secondary healthcare services in this area.

The National District, Pelonomi Regional, and Universitas Academic Hospitals respectively have recently received much attention concerning poor service delivery. Media headings such as the following were among publications confirming that the Mangaung Metropolitan health area struggles to render efficient, effective, and economical services to the communities: "Extent of poor security at Pelonomi hospital revealed as student doctors return" (Times Live 2019); "UFS advises intern doctors not to report for duty at dangerous Pelonomi Hospital" (Coetzee and Dlodlo 2019); "Illegible handwriting and other prescription errors on prescriptions at National District Hospital" (Brits, Botha, Niksch, Terblanché, Venter, and Joubert 2017); "Child deaths at National District Hospital, Free State: One a month is better than one a week" (Brits 2017); "Crisis looms at Bloemfontein academic hospital" (News24 2014); "Universitas Hospital: From best to the worst" (Choane and Dlodlo 2016); and "Free State healthcare system has collapsed, says DA" (African News Agency 2019). According to the latest report by the Office of Health Standards Compliance (2016:35), out of 10 academic hospitals in the country, Universitas Hospital has fallen to the last place. In previous years, Universitas Academic Hospital had a 90% compliance rate but, according to the latest findings, it now has a compliance rate of only 62%. This state of affairs increased complaints, adverse events, and litigations (captured in the Public Service Commission Report 2015) and raises serious concerns.

It further appears that the management of the National District, Pelonomi Regional and Universitas Academic Hospitals respectively has neglected implementing basic management processes (including improvement in the planning,

budgeting, and quality measurement, and the training and development of administrative staff) (Public Service Commission 2015:27). Therefore, these hospitals have been under increasing pressure to stay within their annual budget allocation without reducing the quality of health services rendered. To keep rendering services, the shifting of funds between various programmes and economic items became the order of the day (Free State Department of Health 2017). This situation resulted in their budgetary functions being taken over by the provincial treasury due to a severe financial crisis that has had a direct impact on efficient, effective, and economical service delivery to communities since 2014.

These predicaments also had a direct influence on the development of administrative staff, whose development, according to the Public Service Commission (2015:10), was neglected. It appears as if budget allocations are often shifted to the training of specialists, medical practitioners, professional nurses, and pharmacists, rather than that of administrative staff (salary levels 6 and 8). It is further noted that basic job descriptions (defining the nature of the job content, the environment, and the conditions of employment) and job specifications (stipulating the minimum expectable characteristics a jobholder must possess to perform the job) (Van der Westhuizen 2016:4) are not updated and in some cases do not even exist (Public Service Commission 2015:10). Not having a clear job description and specification will lead to the appointment of unskilled staff who will not be trained in the area of their capability and will therefore not be in a position to deliver effective and efficient services at the lowest possible cost. Other obvious HRD challenges faced by the mentioned hospitals include, among other things, that training expenditures are not properly monitored, that little attention is given to the link between training and performance, and that HRD policies are rarely honoured and implemented.

Against these looming challenges, the study aimed to determine the HRD challenges that the administrative staff of the National District, Pelonomi Regional and Universitas Academic Hospitals face in their mandate to provide efficient, effective, and economical service delivery. Administrative staff performing a staff function is defined by Van der Westhuizen (2016:7) as an agency established to ensure the effective administration of government functions. First, the article conceptualises the concepts of HRD, service delivery, and service delivery challenges. Second, the Mangaung Metropolitan health area is introduced. The remainder of the article focuses on recommendations towards addressing the HRD challenges.

CONCEPTUALISING THE CONCEPTS HRD AND SERVICE DELIVERY AND CHALLENGES

The origins of HRD are widely disputed among researchers and across geographic and cultural boundaries. It has been suggested that the concept of HRD was

introduced by the ancient Greeks and Babylonians through the apprenticeship system (Werner and DeSimone 2012:5) or that it evolved during the beginning of the Industrial Revolution in 1800 (Jacobs 2017:13), but that the roots of HRD lie in the 1900s when Ford started training its workers in mass production of cars in the assembly line (Haslinda 2009). The 19th century saw even greater changes affecting the HRD field by a tremendous influx of workers to the manufacturing industry (Nasreen and Rao 2015). However, it could be argued that technology, which boomed in the 1980s, brought about a shift from the primarily Socratic-based instructional delivery method (a moral education on how one ought to live) to webinars (an educational presentation is made available online, usually as either a video or audio) and e-learning (the use of electronic technologies to access educational information to equip oneself) (Erasmus, Loedolff, Mda, and Nel 2013:25).

It is not only the origins of HRD that are extensively debated but also the attempts to define the concept. HRD is seen as a process: it is implemented either over a short or long term (Werner 2014:128; Harris 2015:35), aims at acquiring new knowledge continuously and making human resources self-reliant (Singh 2012), develops human capabilities through organisation development as well as personnel training (Andries 2017), and involves the acquiring of work-based knowledge and expertise aimed at enhancing productivity and satisfaction (Schlebusch and Kgati 2016:25). The *Oxford English Dictionary* (2020) defines HRD as the framework for helping employees develop their personal and organisational skills, knowledge, and abilities.

Taking cognisance of the enormous number of variables within the HRD process (time, skills, knowledge, abilities, capability, productivity, to name a few), for the purpose of this article, two concepts need to be clarified, although neither is seen as superior to the other. These are training and development. Similarities between both concepts of training and development are that they are systematic (Nassazi 2013:55; Kum, Cowden, and Karodia 2014:73), planned (Kum *et al.* 2014:74), and are processes linked to time (Singh 2012:120; DeSimone and Werner 2012). By applying both concepts in an organisational environment, the aim is to change the current state of readiness of the human resources of that environment (Mampane and Ababio 2010:176-177), improve employee performance (Kum *et al.* 2014:73; Van der Westhuizen 2016:211), and increase organisational productivity (Nassazi 2013:55; Nel, Werner, Du Plessis, Ngalo, Poisat, Sono, Van Hoek, and Botha 2014). Such an aim can be achieved by addressing the knowledge and skills of employees (Abdullah 2014; Amare 2014; Van der Westhuizen 2016:78; Al-Mustapha 2017:19) as well as their future readiness (Nosizo 2016:31). The activities that are typically used to achieve such an aim are (i) career counselling, (ii) mentoring, and (iii) coaching (Grobler and Warnich 2016:714). The Department of Public Service and Administration (2016) has demarcated HRD

as a necessary aspect for South Africa to attain its developmental goals and as having to be dealt with as a matter of urgency.

Aswegen (2017:108) defines development as more about providing ongoing learning opportunities, that is, preparing employees for future work responsibilities, increasing capacities, and helping them perform their current job. Employee development focuses on providing opportunities for employees to be able to learn in their work situation (Nel *et al.* 2013). Furthermore, as Nosizo (2016:32) notes, development is broad, which means an ongoing set of training activities that intend to raise someone to another threshold of performance level within the organisation. For this discussion, the concept "development" is seen as a holistic approach, initiated by either the employer or employee and undertaken by employees to improve their current position regarding knowledge, skills, and work-related output. In the public service domain, this "output" is directly linked to the provision of service delivery. The Constitution (1996), the White Paper on Transforming Public Service Delivery (1997), and the Public Finance Management Act, 1 of 1999 call for an efficient (doing things the right way), effective (doing the right things), and economical (at the lowest possible cost) administration of social services.

The performance of the public service and its human resources (public servants) is to a large extent achieved through the effective training of employees. It is objectively assumed that public servants who undergo training interventions are developed for the main purpose of rendering efficient, effective, and economical services.

HRD, SERVICE DELIVERY AND THE MANGAUNG METROPOLITAN HEALTH AREA

The Mangaung Metropolitan health area, consisting of the National District, Pelonomi Regional, and Universitas Academic hospitals and which is the focus of this study, administers the functions of primary and secondary healthcare services in the Free State Province. The National Health Act, 61 of 2003, states that regional hospitals (such as Pelonomi) must, on a 24-hour basis, provide health services in the fields of internal medicine, paediatrics and gynaecology, and general surgery. Regional hospitals receive referrals from several district hospitals, have between 200 and 800 beds, and receive outreach and support from tertiary hospitals. The National Health Act, 61 of 2003, further elaborates that tertiary hospitals (such as Universitas Academic Hospital) provide specialist-level services and receive referrals from regional hospitals not limited to provincial boundaries. Tertiary hospitals have between 400 and 800 beds and may provide training for healthcare service providers (National Health Act, 61 of 2003).

The National District Hospital receives referrals from local clinics, private doctors, correctional services, South African police, Southern Free State towns, and open, regulated, and controlled frontiers. The National District Hospital provides a comprehensive healthcare service, which includes treatment, care, and support services related to maternity, HIV, AIDS, and TB. Their staff compilation includes administrative staff, specialists, medical practitioners, professional nurses, and pharmacists. The National District Hospital renders a package of services to a population of 500 000 in its catchment area, which is constantly growing (Britz 2017).

The Pelonomi Regional Hospital is a specialist hospital that also provides training of health professionals. Access to the hospital is mostly by referral from other institutions, although there is a casualty department providing for acute emergencies. The staff compilation consists of administrative staff, medical officers, medical specialists, dentists, professional nurses, staff nurses, nursing assistants, pharmacists, allied health professionals, executive management, radiographers, and technical support (Pelonomi Hospital 2017:3). Orthopaedic surgery, psychiatry, anaesthetics, diagnostic radiology, trauma, and emergency services are the health specialties provided by the regional hospitals (National Health Act, 61 of 2003).

Universitas Academic Hospital's vision is to render quality level III and IV hospital services to the Free State community and to the specifically designated cross-border geographic areas. These services are to be accessible, affordable, and equitable within a given financial framework and are to support education/training and development of healthcare professionals and research (Public Service Commission 2017:20). Their staff compilation includes administrative staff, specialists, medical practitioners, professional nurses, and pharmacists. A tertiary hospital provides intensive care services under the supervision of a specialist or specialist intensivist (National Health Act, 61 of 2003). Universitas Academic Hospital provides some care as well, for example, for urology and neurosurgery patients.

The activities of the National District, Pelonomi Regional and Universitas Academic Hospitals are closely linked in that Pelonomi is supported by the Universitas Academic Hospital when it does not have enough available resources to assist the society. Regional hospitals thus receive outreach and support from tertiary hospitals. The National District Hospital in turn gets support from the Pelonomi Hospital in that it receives outreach and support from general specialists based at regional hospitals. These hospitals further serve as a referral centre for outside the province. The Universitas Academic Hospital provides a substantial part of its tertiary services to the Northern Cape and even hospitals in neighbouring countries such as Lesotho.

These three hospitals provide a training platform for medical practitioners, medical students, interns, and registrars within the Free State region. It is further

noted that the Pelonomi Regional Hospital only provides training for medical interns, registrars, and medical practitioners. The training of the administrative staff, who provide administrative assistance to the health workers as well as members of society, is not attended to by these hospitals. The Free State Training and Development Institute (FSTDI) and the skills development unit within the FSDoH are responsible for the training of all administrative staff in the FSDoH.

METHODOLOGY

For this study, a qualitative research approach was used to investigate the influence of HRD challenges in public health service delivery, focusing on the three hospitals, namely National District, Pelonomi Regional, and Universitas Academic. Two methods of data collection were used: focus group discussions and semi-structured interviews. The information collected via the aforementioned methodology was supported by a comprehensive literature review. Non-probability sampling was used for the selection of respondents. In this study, the sample was made up of administrative staff in the three hospitals identified.

Focus group discussions were used to obtain information from a sample comprising 71 respondents consisting of 28 Pelonomi Regional, 22 National District, and 21 Universitas Academic administrative staff. As a second method of data collection, semi-structured interviews were conducted with six staff members directly responsible for the management of HRD (director of FSTDI, deputy director of the National School of Government (NSG), director of the Mangaung Department of Health (DoH), CEO of Pelonomi, CEO of National, and assistant director of Universitas).

Open-ended questions were used to prompt responses to address the two research questions. The first was: what are the HRD challenges that administrative staff in the National District, Pelonomi Regional, and Universitas Academic Hospitals respectively face in their mandate to provide quality service delivery? The second question was: what recommendations can be made towards addressing the HRD challenges? The respective interview schedules were divided into three sections (Section A covered biographic information, Section B focused on the training received so far by the administrative staff, and Section C covered HRD challenges facing administrative staff in the Mangaung DoH). The 11 questions were formulated to address the four research questions.

The researcher facilitated the discussions and made observational notes during the interview process. Thereafter, descriptive statements were made and rearranged under various thematic contexts that were interpreted to form conclusions and recommendations. Focus group interviews, semi-structured interviews, and reflective journal material were transcribed. The researcher obtained a general

sense of the information gathered by reading and rereading the responses. This assisted with the initial data analysis process and coding of the aforementioned transcribed material. Next, the researcher combined the codes into themes and subthemes and entered into a formal discussion of the themes. The data was interpreted by drawing on the theoretical framework of the study.

FINDINGS

The study first determined the demographic characteristics of the 77 respondents to determine the suitability of the respondents for providing the required information for the validity of the study.

It was found that 45 (58%) respondents were female (Table 1). The age category with the highest response rate (n = 34) was between 40 years and 49 years (Table 1). In terms of educational qualifications, measured by the different levels of the National Qualifications Framework (NQF), 17 respondents held at least a matric/grade 12 (NQF 4); 12 respondents a certificate/advanced certificate (NQF 5); 27 respondents a National Diploma (NQF 6); 13 respondents a BTech/bachelor's degree (NQF 7); 1 respondent a postgraduate diploma/honours degree (NQF 8); 3 respondents a master's degree (NQF 9); and 2 respondents a doctoral degree (NQF 10). It can be deduced, based on the highest level of education in focus group discussions and semi-structured interviews, that the majority of the administrative staff, as well as those staff responsible for HRD, have qualifications that support their duties and responsibilities.

Table 1: Biographical profile

Hospitals	Male	Female	18–29	30–39	40–49	50<
Pelonomi Regional	16	12	2	10	13	3
National District	9	13	1	8	8	5
Universitas Academic	4	17	-	5	10	6
HRD management (all hospitals)	3	3		1	3	2
Total	32	45	3	24	34	16

The majority of the respondents had been with their respective institutions for 10 years or longer (Figure 1). It appears that the minority of all the respondents had been in their current position for five years or less. It was expected, due to the high level of unemployment in South Africa, that people tended to occupy a position for as long as they can even though it could not be concluded that they

**Figure 1: Number of years in the current position**
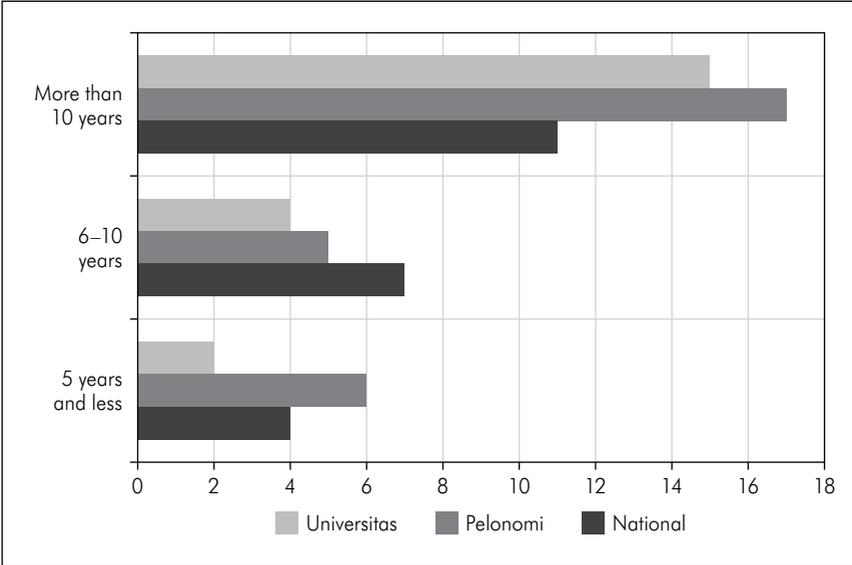
Figure 2: Position occupied at present
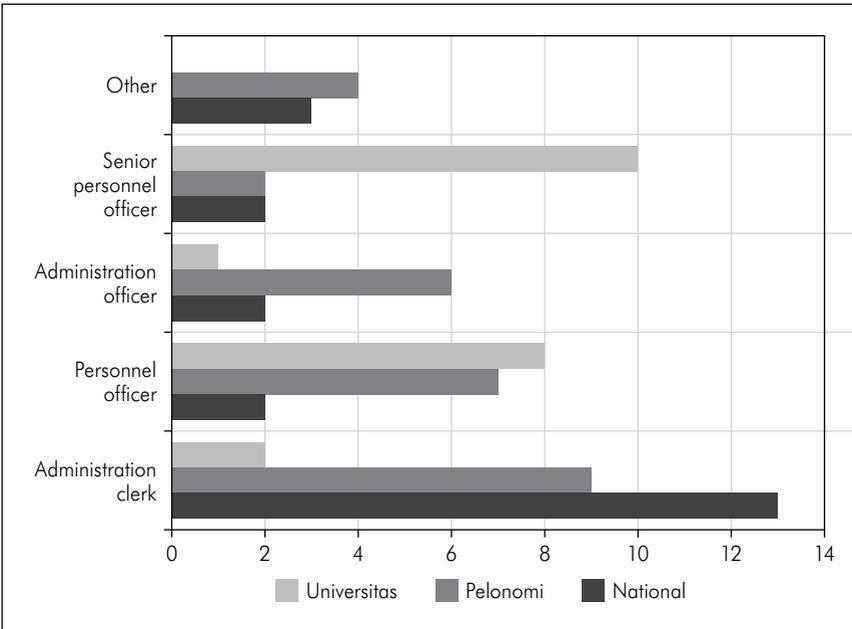
are content in that institution or position. The respondents' salaries varied from levels 6 to 8 (form the focus group responses) and levels 9 and above for the six semi-structured interview responses (data not shown).

At the Pelonomi Regional Hospital, nine respondents were administration clerks, seven were personnel officers, six were administration officers, two were in senior personnel positions, and four were in other positions. At the National District Hospital, the majority of the respondents (n = 13) were administration clerks; two were personnel officers, two were administration officers, two were in senior personnel positions, and three respondents indicated that they were in other positions. At the Universitas Academic Hospital, 10 respondents held senior personnel positions followed by eight personnel officers, two administration clerks, and one administration officer (Figure 2). In terms of semi-structured interviews, two respondents indicated that they occupied chief executive positions, two were directors, one was a deputy director, and one was an assistant director.

Discussion: Focusing on the training received

In this section of the interview schedule, questions posed focused on the content, quality, and service providers of the training received.

Many of the respondents indicated that they went through a formal introduction to the public service, which was facilitated by the FSTDI. They also found the content of this training relevant. The content of the training focused on general information about administrative matters of different systems (such as recordkeeping, payroll information, etc.) used within the public service. It was mentioned that newly recruited employees received Compulsory Induction Programme training that is facilitated by the NSG. However, because it takes quite some time before this training can be completed, new appointees are often already familiar with the functioning of the particular department.

Specialised training on the Personnel and Salary Administration System (PERSAL), the Logistical Information System (Logis), the Basic Accounting System (BAS), and the Integrated Financial Management System (IFMS) was also offered, but only provided to staff members or management officials who have access to financial transactions within their unit. Specialised training is offered in-house by supply chain staff of the Free State Department of Treasury. It was mentioned that the BAS system is an old system that is still in use by the FSDoH. Also mentioned was that the IFMS system is not yet used regularly as the department has not yet migrated to the new system. Other in-house training focused on policies, regulations, and Acts, which respondents found "irrelevant and a waste of time". The reasons appeared to be that these trainings are conducted by colleagues who often tell training attendees "to download the documents and read it on their own time".

Concerning credit-bearing short courses, the majority of the respondents mentioned that these training opportunities are normally attended by senior staff, unless there is no "certificate of some sort, then a junior staff will be asked to attend on [their] behalf". The question was asked whether the respondents have received any kind of mentorship or learnership from the department. The respondents indicated that no formal mentorships or learnerships are currently offered within their respective units. As far as some of the respondents could recall, they had not received any training for the past six years and more. This contradicts the requirement that, at the beginning of each year, staff members have to complete skills development forms to state what kind of training the staff need.

Finally, it was mentioned that most of the training done focused on medical practitioners, under specific themes such as HIV, TB, cancer and other related medical training that should be provided to the medical practitioners, not the administrative staff who are basically "hanging in the middle". Again, the administrative staff members are only trained for a particular task at the moment when it is needed and relevant to the job at hand.

The question was posed to what extent the FSDoH rates the quality of the training offered by the service providers (i.e. complies with the required standards of learning and assessment services set forward by the Department of Education). Five response categories were put forward: training facilitated by the (i) NSG, (ii) FSTDI, (iii) FSDoH (in-house), (iv) skills development unit within the FSDoH, or (v) other training providers.

The NSG, through the facilitation of its Monitoring and Evaluation Unit, complies with the required standards of learning and assessment services set forward by the Department of Education (Mokgoro 2013). The quality (content) of the training offered by these service providers was also acknowledged by the respondents. However, it appears that for some respondents the content of the training offered by FSTDI is "not always relevant as it did not meet their expectations" and it "… was relevant then, five years back but not at present". The quality of the training offered by the FSDoH (in-house) and the skills development unit within the FSDoH is considered to be "a waste of resources and time". It appears as if the content of these training sessions, often facilitated by a peer or colleague, does not contribute to enhancing staff's current knowledge and skills.

HRD challenges facing the administrative staff in the FSDoH

In this section, the aim was to determine HRD challenges that the administrative staff face in addition to the mentioned (i) regular budget shifts taking place, (ii) absence of basic job descriptions and job specifications for administrative staff, and (iii) training expenditures that are not monitored.

The issue of budget allocation, cost, and the availability of funds was found to be the biggest challenge facing the administrative staff as a consequence of the budgetary functions being taken over by the provincial treasury since 2014. As a result, there is little transparency and openness in how the HRD is allocated for administrative staff and medical practitioners' training programmes.

The shortage of staff in the skills development unit who are responsible for offering training was also identified as a challenge. At the time, the skills development unit was managed by no more than two people in each of the three respective hospitals. Due to limited resources (e.g. money, trainers), the respective skills development units rely heavily on the FSDoH, which is also under-capacitated (only two appointed staff members to serve the whole province).

It appeared as if managers within the respective hospitals do not view HRD as a priority. The respondents' opinions were based on (i) the lack of engagement between management and staff regarding personal development plans; (ii) a lack of communication between lower, middle, and top management (salary levels 5-11); (iii) senior staff failing to release their employees for training; and (iv) inadequate monitoring and evaluation to identify employee weaknesses. This challenge was mostly due to the culture of learning not being encouraged. The reasons given are that, while attending the training, the workload of the staff member upsurges and there is no one else to stand in for the responsibilities of that staff member during this time. This predicament is caused by the high number of vacancies of administrative positions, which are not filled due to the unavailability of funds.

The fear of the department to invest in technology to enhance the administrative functions within the FSDoH was identified as a further challenge. It was mentioned that the department still makes use of a manual leave application system, still relies on landlines to communicate with the public, and shares office equipment such as laptops and printers.

RECOMMENDATIONS TOWARDS ADDRESSING THE HRD CHALLENGES

It was argued that the FSDoH needs to invest in conducting a valid skills audit among all administrative staff in all three hospitals. It was emphasised that there is an urgent need to "strategically restructure and reposition the hospitals to a position that will render quality services", hence the suggestion of conducting a skills audit. The results of a valid skills audit will not only enable the FSDoH to account for the correct number of administrative vacancies that exist but also (i) to become aware of the skills gaps that exist among administrative staff, and (ii) to identify and plan HRD interventions to address skills gaps.

Recommendations:
Focusing on the type of training interventions

Outdated systems, such as BAS, need to be replaced with systems that are efficient, effective, and economical. Apart from outdated systems it was also apparent that the mismanagement of finances within hospitals is prevalent. To combat criminal activities and financial maladministration, it is imperative to invest in the training of administrative staff in financial management systems, including supply chain management. It is often at a staff function level that early warning signs can be detected and reported.

In addition, training should be fast-tracked on new systems such as IFMS to address administrative staff's fear of the unknown and allow them to become familiar with the application of technology. There is a dire need for "tech-savvy managers and employees", according to Price Waterhouse Coopers (2019), especially in the health profession and amid the Covid-19 pandemic. In other words, at the administration level of the FSDoH, officials are needed who can use innovative thinking to apply the systems and tools that best fit the needs of the client. According to Price Waterhouse Coopers (2019), it is only then that a department can really maximise the productivity benefits of technology.

The responses that in-house training was often seen as "irrelevant and a waste of time" were worrying. It is recommended that hospital management and the FSDoH should start to engage with stakeholders (such as local Further Education and Training colleges, universities, consultants, and Technical and Vocational Education and Training colleges) on credit-bearing development of administrative staff in their respective roles. The skills development unit within the FSDoH and the FSTDI should invest in using service providers that provide credit-bearing courses that can lead to a formal higher education (NQF) qualification for the administrative staff. Hospitals often function in silos and do not collaborate effectively with other government structures and stakeholders in terms of the preparation of assessment documents and the content of the training administrative staff should receive. It is therefore recommended that the skills development unit within the FSDoH and the FSTDI should engage in deliberately planned partnerships with different stakeholders such as tertiary institutions to assist with structuring and implementation of training and development of administrative staff.

Such a planned initiative and making a deliberate effort to support training and development of administrative staff by the management echelon will establish a culture of lifelong learning. It is of the utmost importance to create a learning society where no one should be excluded from learning (Van der Westhuizen 2016:213), where different types and forms of teaching and learning approaches should be available (Irina 2018:2), and where service delivery is in line with the specific outcomes that societies consider important (Jarvis 2017:343). It must be

emphasised that FSDoH management support in establishing a culture of lifelong learning will probably be the decisive element in guaranteeing success.

Recommendations:
Focusing on the quality of training interventions

The current service providers (the NSG, FSTDI, and skills development unit within the FSDoH) need to align or re-align training and development objectives with the strategic priorities of the FSDoH (supported by Narain and Ofrin 2016:124), especially amid the Covid-19 pandemic. In this regard, to merely have a strategic plan and demarcated priorities is not enough in a volatile, uncertain, complex, and ambiguous environment. The success of this initiative lies in that the administrative staff must participate in this strategic alignment within their respective hospitals. They know best what the shortfalls and challenges are when it comes to the provision of efficient, effective, and economical service delivery. It is anticipated that involving the administrative staff in aligning their training and development needs with the strategic priorities of the FSDoH will ensure quality training interventions that comply with the required standards of learning and assessment services set forward by the Department of Education.

Vinesh (2014:213) echoes this recommendation by stating that putting in place strategies for motivating and encouraging employees to commit to the aspirations and ideals of the organisation poses a major challenge in most organisations, including how to turn these aspirations and ideals into improved performances and productivity in the organisation's human resources. Nosizo (2016:63) states that there is a good HRD strategy in place for proper health services, but the main problem has always been the support from management to implement HRD. Sarode and Shirsath (2014:2736) mention that an unfavourable working environment negatively affects employees physiologically, emotionally, cognitively, and behaviourally, which then leads to poor organisational productivity. The importance of the working conditions of staff was captured in the study by Pillay (2009:7). The study confirms that nursing staff in the South African private healthcare sector were more satisfied with their salary, workload, working environment, and resource available than those working in the public healthcare domain.

It is further recommended that the FSDoH should keep up with current technological developments. Although it is well known that technology is developing at a fast speed and guarantees to improve the rendering of services, technology is only as good as the managers who identify its opportunities, the technologists who deliver it, and the people who work with it every day (Price Waterhouse Coopers 2019). The e-government platform, including the following four programmes, is acknowledged: (i) government-to-government programmes focusing on the interaction between different spheres and levels of

government and government agencies; (ii) government-to-citizen programmes that involve an interaction between government and citizens; (iii) government-to-employees programmes, which refer to the relationship between government and its employees; and (iv) government-to-business programmes that are related to government supporting business opportunities (Department of Telecommunications and Postal Services 2017). Again, the successful implementation of these programmes within the respective hospitals will depend on FSDoH management support.

According to Mehlape (2017:109), the fast-evolving techniques and technologies can be used not only for training but also for providing quality services. Due to the high initial costs of modern technology, it is recommended that the FSDoH should start investing in smaller technologies such as improving their software (e.g. PERSAL). This will help the department minimise a lot of paperwork by the staff, such as logging their leave on the system as opposed to manually. It can also make use of their information and communication technology unit to update the current systems, and this could assist in saving costs.

Recommendations:
Focusing on the management of training and development

It was clear that regular budget shifts are taking place, that training expenditures are not monitored and that there is little transparency and openness in the allocation of funding towards administrative staff and medical practitioner's training programmes. The recommendations here are straightforward: (i) the FSDoH needs to put forward a realistic HRD budget and hold to the allocation; (ii) the annual budget allocation towards the HRD of administrative staff needs to be honoured; and (iii) the 1% skills levy, which the FSDoH receives for training purposes, also needs to be used for this purpose.

Narain and Ofrin (2016:124) further note that challenges lie within the lack of communication, analysis capabilities, leadership qualities, and relationship-building skills from HRD practitioners. Internal communication refers to the constant contact of employees within the organisation. Lack of communication often means that employees do not have a firm grasp on what they are supposed to be doing, which can cause low productivity, missed deadlines, and failure to provide quality services. A spill-over effect can lead to the resignation and/or transferrals of administrative staff and is, according to Amare (2014), due to a lack of motivation by administrative staff to stay in their current jobs. It is therefore recommended that there should be regular and positive contact by the management and staff from the HRD unit. To improve the understanding and benefits of HRD by the hospital's management, internal communications need to be strengthened.

CONCLUSION

The article introduced the problem statement that the Pelonomi Regional, Universitas Academic, and National District Hospitals respectively showed a massive decline in service delivery due to their financial shortfall, which had a direct influence on the development of administrative staff. Two research questions were posed. First, what are the HRD challenges that administrative staff in the National District, Pelonomi Regional, and Universitas Academic Hospitals respectively face in their mandate to provide quality service delivery? Second, what recommendations can be made towards addressing the HRD challenges? The aim of the study as well as the objectives were stated.

The article proceeded by defining HRD according to the different scholarly perspectives. This was followed by discussing components of HRD, the research design, and methodology employed in this study, and the responses from the administrative staff as well as the staff responsible for the management of HRD were presented and interpreted.

The first section dealt with the biographical information of administrative staff from the three hospitals and staff responsible for the management of HRD. The second section focused on the HRD challenges facing the administrative staff in the FSDoH, and section three dealt with recommendations for addressing HRD challenges.

Finally, the article made recommendations towards addressing HRD challenges that the administrative staff at the National District, Pelonomi Regional, and Universitas Academic Hospitals face in their mandate to provide efficient, effective, and economical service delivery.

The tough economic conditions, high unemployment rate, technical recession, and Covid-19 pandemic experienced in South Africa have exacerbated the financial challenges faced by FSDoH. This situation is worsening due to ineffective redistribution of funds, maladministration, and poor management, which have led to less money being allocated to the training of administrative staff. Incorporating modern technological changes and developments (Habib 2012) in the public health sector is a dire need. The development and use of technology in specialist health professions is not even an option, but the use of technology in basic administrative service delivery still has a long way to go. The South African public health sector has to recognise the place of knowledge and technology in development and that not only labour and capital, but also technology and knowledge, are crucial in future service delivery. Thus, it is acknowledged that the development of administrative staff has become imperative to enhance good performance and render the service that is required by communities. Services should be provided economically and efficiently to provide citizens with the principle of the best value for money (*Batho Pele Handbook* – A Service Delivery Improvement Guide).

NOTE

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Crisis, Management and Co-Production of Public Service in the Area of Health

The Action of the Lauduz Institute Against the Covid-19 Pandemic

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ABSTRACT

This study aims to analyse the planning for crisis management, the necessary management process, as well as the co-production of public service as a possibility to respond to the impacts imposed by unexpected situations, through the study of the activities developed by the Lauduz Institute, a non-profit organisation, headquartered in the municipality of Santa Maria/RS, in the face of the Covid-19 pandemic, during 2020. For the development of this study, there was the rescue of theoretical elements that contemplate the analytical dimension of the conceptualisation of crisis management and, still, of co-production in the sphere of public service, supported in the state of the art, as well as conducting documentary analysis and semi-structured interviews with social actors participating in the voluntary activities carried out by the Lauduz Institute. The research results were obtained employing content analysis and triangulation with bibliography and document analysis, which made it possible to identify a process of self-organising co-production that contributed to the most vulnerable population in the region covered by the Lauduz Institute having access to medical guidance, through telemedicine, without exposure to the coronavirus at high health risk.

INTRODUCTION

The pandemic caused by the spread of Covid-19 infers crisis management in the context of nations. Among the multilateral crisis management mechanisms, the United Nations (UN) system is the most advanced model. Through OCHA – United Nations Office for the Coordination of Humanitarian Affairs, humanitarian assistance is defined in three phases, comprising respectively, the emergency, the rehabilitation of basic infrastructure and the development phase (OCHA 2004).

Concerning health crises resulting from epidemics, natural disasters and conflicts, the World Health Organization (WHO) a multilateral body linked to the UN system, considers that, in order to overcome the challenges, coordinated planning based on solid information is necessary, rapid mobilisation of workers, command-and-control type responses, and collaboration between sectors with non-governmental organisations, the military, peacekeeping forces, and the media. Moreover, the quality of the response is ultimately an action that depends on the preparation of the workforce, based on local capacity, supported by timely international support (WHO 2007).

Acting as a regional office of the WHO for the Americas, the Pan American Health Organization (PAHO) works with countries offering technical cooperation in health to their member countries, combats communicable diseases and chronic non-communicable diseases, as well as their causes, and strengthens health and disaster response systems, thus contributing to the mitigation of their negative effects.

Covid-19, a disease caused by the new coronavirus and responsible for the major health crisis of the early 21st century, was characterised as a pandemic on 11 March 2020, announced by the Director-General of the WHO on account of the simultaneous recurrent transmission in different parts of the world.

However, the crisis scenario designed by Covid-19, caused by the coronavirus, appeared in 2019 in China and expanded to several parts of the globe in 2020 continuing into 2021. In a short time, due to the crisis generated by Covid-19, the dynamism of life had to be rethought, changing ways of acting with regard mainly to personal, economic, and social relations.

Considering the need to discuss the crisis process experienced, the present construction is based on two premises that will be discussed as the theoretical foundation: crisis management in public health organisations and co-production as an alternative to conducting public processes and purposes.

The first pillar that supports the approach concerns authors such as Boin, McConnell and Hart (2020); Christensen and Laegreid (2020); Coelho *et al.* (2020); Lima, Buss and Paes-Sousa (2020); Silveira e Oliveira (2020); Christensen *et al.* (2015); Ventura and Perez (2014); Furedi (2013); Reis (2009) and McConnell and Drennan (2006), among others. In summary, the authors discuss in their works aspects related to planning for crisis management, the need to establish effective

coordination at times when crises arise, as well as the implementation of actions, both operational and strategic. The efficiency and effectiveness of the coordination process are mainly due to the legitimacy and capacity of governance, as well as the capacity to articulate a multidimensional action with the participation of civil society, governments, armed forces, and private enterprise, among other actors.

In order to support co-production in the perspective of the possibility of filling gaps in services demanded by the population, which are not provided satisfactorily by the government, either in quality or quantity; considerations will be addressed by authors such as Cheng *et al.* (2020); Gasley Lafontant and Cheng (2020); Goodwin (2019); Moretto Neto, Salm e Souza (2014); Osborne and Strokosch (2013) and Zwick *et al.* (2012), among others. As adherent elements, it identifies the perceptions that citizens need to actively participate in the production of public goods and services that meet their demands, with governments implementing strategies of decentralisation of decisions, consolidating in practice a democratic process of governance, through continued participation.

These authors also point out on the one hand that the dynamic and time-consuming interaction between several actors with their varying degrees of participation, autonomy and engagement, can contribute significantly to the construction of a new relationship between the state and the community; increasing the effectiveness and legitimacy of government actions. Also noteworthy is the discussion about forms of co-production in five typologies: self-organised participation, collaborative participation, selfish participation, symbolic participation, and non-participation (Moretto Neto and Souza 2019), based on the characteristics observed during its construction.

On the other hand, Lima, Buss and Paes-Sousa (2020) describe that, as in all crises, each country tends to mobilise its best assets to get around the problem. However, they point out that in this course the weaknesses of the countries are also highlighted and it is in the confrontation of these antagonistic forces, that lives are saved or uselessly lost.

Different forms of mobilisations were organised in Brazil in the face of a crisis that highlighted (even more) the economic and social differences and their effects on the power relations between the state and civil society. Because of this lack of articulation between the Federal Government, state and civil society, Brazil has become

> [...] internationally recognized as one of the worst governance examples of the crisis. This is due to several aspects, such as (1) gradual collapse of health systems of various states; (2) lack of coordination, communication and recurrent conflicts between powers and levels of government; (3) deep territorial inequality, income, living conditions and access to public health and social protection services; (4) formalism, coverage deficit and lack of budget for

public health and social protection policies; (5) escalating authoritarianism, lack of transparency and political polarization, amplified by the postures of the president and the high echelon of his government in the face of the pandemic (Andion 2020:937).

Thus, such mobilisations by civil society have been relevant from the point of view of Andion (2020), since the beginning of the pandemic as different actions were developed by non-governmental organisations and Institutes for Society, through donations and fundraisers for social assistance and healthcare. The need for reinvention requires rapid and effective action by the government and civil society, aiming at common well-being. The author also emphasises the need for the reinvention of democracy, in which the governance systems of the crisis, especially at the local level, are willing to see, learn and act together with the experiments in progress in the networks of civil society, many of them still invisible.

On crisis governance, or crisis/conflict management, Saraiva (2011) conceptualises it as a practise of management of phenomena and developments not routinely with disruptive effects and characterised by threat, uncertainty and urgency. This makes it necessary to work out a more specific and operational definition of crisis situations.

With a look at the Lauduz Institute, a Brazilian entity with purposes aligned with the UN's sustainable development objectives, acting through technology and volunteering, there is a direct action to reduce social inequalities and to promote health in the face of Covid-19. In this way, it is evident co-production actions with self-organised participation, acted in the frontline of the Covid-19 pandemic in Santa Maria/RS, contributing directly to the reduction of agglomerations in health units and ready assistance and in reducing the contamination and cross-infection of the pandemic.

This study aims to analyse the planning for crisis management, the necessary management process, as well as the co-production of public service as a possibility to respond to the impacts imposed by unexpected situations, through the study of the activities developed by the Lauduz Institute, a non-profit organisation based in the municipality of Santa Maria/RS, in the face of the Covid-19 pandemic, during 2020.

THEORETICAL BASIS

Crisis planning and management

Pre-crisis planning and preparation for dealing with adverse events are difficult tasks but must be part of the actions of governments. However, for McConnell

and Drenann (2006), crisis preparedness is not an "impossible mission" but they point out that complete planning is difficult to achieve because of conflicting interests between those who advocate investments in preventive actions and those who consider that resources, most often scarce, should be allocated to first-order needs.

In this sense, four main points need to be observed in the planning process, where: a) the low probability of occurrence concerning the large expenses for the response is adequately organised; b) the predictability of the occurrence of crises, which requires order and consistency with the scenarios presented; c) crisis planning with integration and synergy between institutional networks, with the need to overcome fragmentation in public, private and voluntary sectors and, finally, d) active preparation through training and exercises, activities with high costs, which often produce a level of symbolic readiness that does not reflect operational realities (McConnell and Drenann 2006).

Therefore, it is necessary to understand the diversity of thoughts of the various actors as a potential force, where the adaptation to the local context observed in the specificities of the different types of crises, can contribute to the success of the established protection networks. According to Christensen *et al.* (2016), comparing coordination structures for crisis management, there is no single solution or formula that can harmonise competing interests, overcome uncertainty and point out to governments mechanisms for them to make policy choices accepted by everyone within the crisis management process.

In search of solutions built in the collective and agreed in the social, during the critical period of the crisis derived from the pandemic of Covid-19 around the world, the National Defense Institute – an entity of the structure of the Government of Portugal – promoted debates and studies, with the participation of experts from various fields linked to the crisis management process. The debates pointed to reflections synthesised in the following statements (Instituto de Defesa Nacional 2020).

Covid-19 poses itself as an unprecedented threat, which requires political and diplomatic actions, noting the importance of cooperative processes in various dimensions to minimise their effects. In addition, it is necessary that those responsible for crisis management coordinate actions to enable the ability to adjust crisis management concepts and practices, observed past learning, within a civil protection system that needs to be prepared for high impact events, even low probability ones.

Difficulties are encountered in certain situations that imply different response capacities, often as a result of ideological positions of governments, political parties, or economic blocs. It is important to highlight that to overcome the problems caused by the pandemic, it is necessary to face it with multiple approaches, because of the great complexity of the situation posed by Covid-19.

A relevant aspect to be considered is the need for effective coordination, with transparency and clarity in communication. For the population to contribute to facing a given crisis, it needs to rely on the managers responsible for conducting the actions, as well as having access to reliable guidelines, supported by scientific knowledge.

Governments need to define policy strategies to respond to the pandemic that do not (re)produce or nurture the exclusion and vulnerability dynamics of the most vulnerable groups, and to this end take inclusive actions that take into account human rights aspects, solidarity and fundamental freedoms, with a watchful eye that the actions undertaken respond, in a structural way, to those that are the causes and origins of all humanitarian crises.

It is important to highlight the need to combat anti-scientism and to value science and that humanitarian aspects should prevail over economic ones, such as the sharing of information on immunisation vaccines against Covid-19. Furthermore, it should be noted that the weakening of multilateralism does not contribute to dealing with crises, which can best be combated with the plural participation of actors from as many nations as possible, as is the case with the work carried out by the WHO.

Regarding the crisis faced by Covid-19 over 2020, Christensen and Laegreid (2020) state that Norway, compared to many other countries, performed well in crisis management. According to the authors, the alleged success of the Norwegian case concerns the relationship between crisis management capacity and legitimacy, that is, a combination of democratic legitimacy and governmental capacity, adopting a strategy of suppression, followed by a control strategy, based on a style of collaborative and pragmatic decision-making, successful communication with the public, many resources and a high level of citizen confidence in the government.

When a crisis invades a society, it creates a relentless series of challenges for citizens and governments (Boin, McConnell and Hart 2010). In the same sense, Furedi (2013) suggests sociology of fear that dismantles the implicit and closely related relationship between fear and risk, understanding that there is a commodification of fear through its inscription in cultural and political narratives. Because of this, fear is shaped by *cultural scripts* that comfort or shake the confidence of individuals who drive the response to extreme events, such as the pandemic caused by Covid-19.

Furthermore, fear, in its present form, derives from society's difficulty in giving meaning to uncertainty, which does not refer merely to a state of mind or an emotional climate, as well as the tendency to disagree on what constitutes a threat and what should be done to address it (Furedi 2013). Similarly, the vulnerability and impotence of the individual contrasts with the tremendous powers attributed to the challenges that people face every day, such as pollution, global warming, flu

epidemics of catastrophic proportions, weapons of mass destruction and a wide variety of health-related fears.

Regarding the need for the legitimacy of institutions, Reis (2009) mentions that this is achieved through several factors, among which stands out the credibility of managers. Based on this aspect, the relationship "individuals x institutions" can be consolidated through good governance actions. The author argues that differentiated political-institutional configurations are more empowering and creative in the face of world conduct under a unifying logic. It seems to us, agreeing with the perception of Reis (2013), that the capacity to adapt to the most diverse scenarios and to rebuild in environments with frequent changes are more solid bases for the necessary recovery of normality in crisis situations.

In addition, the lack of planning forges the social connections needed to deal with crises and can cause irreversible damage to society. To prevent this, there needs to be a social engagement to gain an understanding of the threats and the different forms of responses that we can offer as humans, the easing of responses, an integrated plan, the training of people, in addition to recognising the differences between crisis planning and crisis management, and this should be the agenda of the governors' management, to lead the society from rational thoughts (Taleb 2008).

Good governance involves society and differs from government, as it is supported by authorities and power. Whereas governance is the process by which effective results are produced, sequentially there is involvement in the state dimension and the non-state dimension. However, both dimensions need to be involved in emergencies in a relevant way, involving a vision of multilateral relations between actors and entities (Santos 2002).

In general, it is clear that one of the major management challenges for the improbable is the uptake of increasingly scarce financial and human resources in society. At a time when unexpected events take place, such as what we face in the world today with the Covid-19 pandemic, there have been enormous impacts on society, causing major cognitive transformations, such as the destruction of a sector in the stock market or a political crisis. Given this, Taleb (2008) reaffirms that the effects can deeply affect some people and others can pass practically unharmed, however, to prevent the impacts the pillar is information.

Co-production

Regarding the characteristics of co-production, Souza and Moretto Neto (2019) propose five types: self-organised participation, collaborative participation, selfish participation, symbolic participation, and non-participation. The first typology involves the state. However, those who lead the initiatives are the citizens, carrying out actions that result in the creation of the public good through the

empowerment of the community. The co-production, therefore, involves community automobilisation.

In collaborative participation, these same authors mention the state's engagement in partnership with groups and organisations in the private sector, focusing on democracy, citizenship, and the sharing of responsibilities, leading to negotiations for the common good, through sustainable actions. In turn, the selfish co-production focuses on the interest of small groups and not the common good, where citizens who engage in this construction seek individual gains, which when ceased, imply the disconnection of these actors from the groups in which they acted (Souza and Moretto Neto 2019).

Furthermore, in the description of the types of co-production, Souza and Moretto Neto (2019) point out that symbolic participation, in which the state provides minimum participation of citizens in decision-making processes, has little effect on decisions and, consequently, in obtaining goods and/or services that serve collective interests. Finally, non-participation involves the legal authority of the state as a form of cohesion and persuasion of citizens, requiring compliance with laws and policies through the application of legal provisions or retention of benefits.

To complement this, Moretto Neto, Salm e Souza (2014) state that the integration between social management and co-production models establishes the active participation of the community and its organisations. Therefore, the modes of participatory management and social management, when used in the management of co-production models, cause a great interconnection and become complementary models.

On the other hand, Osborne (2013) analyses the co-production in public administration and service management regarding efficiency and effectiveness, with some limitations and barriers to the realisation of co-production in practice. In fact, the coercion of society is unfortunately a real fact that we face. However, it is believed that the participation of the community integrated with the public agents can improve performance.

Regarding the aspects of contemporary Brazilian public administration under the approach Guerreiro Ramos, author of Theories N and P, Zwick *et al.* (2012) point out that there are two ways of thinking about the problem of modernising societies, by valuing Theory P, which sought to demonstrate the possibilities of breaking with the deterministic standards that want to be established in the Brazilian public administration, within the hybrid public management model in force in the country. In this model,

> [...] social management practices evidence the existence of a tupiniquim public administration, corresponding to the P Theory of Ramos Warrior as a true objective possibility, as social management is translated as a creative manifestation of the will of the citizen [...] (Zwick *et al.* 2012:296).

It is noted that the task of social science is to discover the horizon of its possibilities, to contribute to human participation in the construction and conscious transformation of contemporary societies, within the bureaucratic state-managerial, amid the adequacy of imported technologies. However, all actions and measures need to be taken from a democratic vision, seeking ways to make them possible both in the perception of those who execute them and in that of those who receive them (Silveira and Oliveira 2020).

It is from this perspective that strategies such as co-production have been developed since 1980, based on the understanding that co-production models serve as a mechanism to improve the quality of public service, through citizen participation and involvement (Gazley *et al.* 2020). According to Goodwin (2019), co-production is rooted in capitalist development and historical events have a significant influence on contemporary politics. Moreover, concerning autonomy, co-production simultaneously promotes the involvement with and autonomy of the state, and this tension generates struggle and political change.

In addition, Silveira and Oliveira (2020) believe in the adoption of four measures to deal with crises. For the authors, the organisation of health situation rooms, the interaction of agents and sectors for health response to the pandemic is essential; the structuring of emergency plans and the development of specific assistance models must be contemplated and discussed in the depth that the crisis situation requires, in a single space and with clearly defined command and control lines.

Finally, Cheng *et al.* (2020) recommend that public sector leaders strategically take advantage of the strengths of community-based organisations at various stages of the Covid-19 response. To this end, they recommend encouraging volunteers to participate in epidemic prevention and control, as well as providing data infrastructure and digital tracking platforms, and building the trust and long-term capacity of community-based organisations.

METHODOLOGY

This study has a qualitative approach, based on the case study method (Yin 2005) NA Associação Tele Consulta SM–Lauduz, a non-profit organisation, located in Santa Maria/RS. For this, the qualitative case study enabled an in-depth analysis of the phenomenon investigated, providing a practical analysis of planning, crisis management, and co-production to meet social demands in the face of the pandemic caused by Covid-19.

For the development of this study, there was the rescue of theoretical elements that contemplate the analytical dimension of the conceptualisation of crisis management and, also of co-production in the public service sphere, supported in the state of the art, as well as conducting documentary analysis and semi-structured

interviews and not disguised with social actors participating in voluntary activities conducted by the Association Tele Consulta SM–Lauduz during 2020. Interviews with the president of the Association and with the health secretary of the municipality of Santa Maria/RS were conducted in January and February 2021.

To analyse the perception of volunteers concerning the activities of the Institute, a structured online questionnaire was used, via Google Forms in January and February 2021, to analyse the causal relations between the following constructs: the organisation, coordination, actions taken and the communication process. The measure used to evaluate responses was a Likert scale of 1 (I totally disagree) up to 5 (I totally agree), a psychometric response scale, defined as a scientific instrument of observation and measurement of social phenomena with the purpose of measuring attitudes through opinions in an objective way, to establish criteria in the evaluation (Lucian 2016).

From these premises, as an empirical object, it was decided to analyse the Lauduz Institute, correlating with approaches published by authors working on the theme of planning, crisis management, and co-production (Boin, McConnell and Hart 2020; Cheng *et al.* 2020; Christensen and Laegreid 2020; and Coelho *et al.* 2020; Gasley Lafontant and Cheng 2020; Goodwin 2019; Lime, Buss, Paes-Sousa 2020; Moretto Neto, Salm and Souza 2014; Osborne and Strokosch 2013; Silveira and Oliveira 2020; Christensen *et al.* 2015; Ventura and Perez 2014; and Furedi 2013; and Reis 2009; McConnell and Drennan 2006; and Zwick *et al.* 2012). The analysis of the results was performed through content analysis and triangulation with bibliography and document analysis.

CHARACTERISATION OF THE ORGANISATION

The Lauduz Institute is a non-profit association, founded on 19 March 2020, which provides free 24-hour medical consultations by video calls and is intended exclusively for residents of Santa Maria who have symptoms of the new Coronavirus (Covid-19). The Institute is supported by Bill 9078/2020 that considers Municipal Public Utility Association Tele Consultation SM–Lauduz, approved by the Municipality of Santa Maria/RS on 26 March 2020 (Santa Maria 2020).

Among the activities carried out by the Institute, we highlight the offer of *online consultations*, minimising the exposure of people who would seek face-to-face care in the Basic Health Units of the city of Santa Maria/RS. Such activities are anchored in the construction of the organisation's first statute, registered in the Santa Maria/RS notary office, pointing out that:

> "Article 2: The purpose of the Association is to organize a multidisciplinary working group to promote, organize, and implement preventive actions and

orientation of the community in general, to address the situation of public calamity installed in the Municipality of Santa Maria/RS, due to the advance of the COVID pandemic 19, without prejudice to other activities directly related to the prevention and treatment of the pandemic, as well as making possible resources and donations of values and goods intended for the above purposes" (Associação Tele Consulta SM–Lauduz 2020:01).

The work developed in support of the actions undertaken by the Brazilian Unified Health System (SUS) led the municipality of Santa Maria/RS, through Law 6,457/2020, to recognise the public utility of the Lauduz Institute. According to Salm (2014), co-production can be perceived as a way for civil society to act directly and actively in the provision of public services, redesigning the relations between state and society, in which there is an articulation between various actors and shared participation in the implementation of public policies.

After the recognition of the Municipal Public Administration, there was a statutory update, registered in January 2021 in the notary of Santa Maria/RS, highlighting the points indicated below:

"Article 2: The purpose of the LAUDUZ INSTITUTE is to defend social rights, to promote health, voluntary work, culture, sport, ethics, peace, citizenship, human rights, democracy and other universal values, the promotion of the rights of children and adolescents, women, the elderly and people with disabilities, as well as social inclusion, enabling health professionals and businesses to provide voluntary assistance and guidance, low-income and socially vulnerable patients, participants of previously registered support institutions, making available to the general population actions that complement the activities of the State. Single paragraph: In the area of health promotion, prevention and care the INSTITUTO LAUDUZ will enable teleconsultations, therapeutic care, examinations, and procedures, through the approximation of doctors and health professionals, clinics, and laboratories for analysis and examination, previously registered with INSTITUTO LAUDUZ, for low-income and socially vulnerable patients, participants of institutions and public agencies previously registered with INSTITUTO LAUDUZ; and promote educational classes and lectures, focused on health education and health technology" (Instituto Lauduz–Estatuto Social 2021:01).

The adaptability of the status and institutional purposes derive from the legal needs to continue acting within the scope and in accordance with social demands in the face of emerging needs.

ANALYSIS OF RESEARCH RESULTS

In an interview with the President of the organisation studied, it was found that the purpose behind the foundation of the Lauduz Institute, whose main actors are individuals and, to a lesser extent, private legal persons, added to public entities and entities of the third sector, was the provision of assistance to the Public Health System of the municipality of Santa Maria/RS in dealing with the effects caused by the Covid-19 pandemic.

It can be seen that the construction of the actions carried out by the Lauduz Institute was sustained in the collaboration of the actors already nominated, through collective decisions on the suggestions presented to the working group. The activities of this organisation took place, uninterruptedly, since the recognition of the pandemic by the WHO until 31 May 2020, maintaining the activities 24 hours a day, seven days a week. After this period, the adaptive process of the organisation and the requirements, team, and other needs that could arise in order to maintain the Institute project even after the pandemic began.

Given the data, it is observed that for the 3 500 consultations to be carried out in the period, more than 300 professionals contributed voluntarily. Among these volunteers, doctors of various specialities, interns of medical courses, psychologists, nurses, administrators, system developers, among other professionals, contributed to the online consultation platform meeting the purpose of taking healthcare remotely and online for people in social vulnerability.

Besides, the data indicates that the workload dedicated by a great number of the volunteers was up to two hours daily for the fulfillment of the purpose of the organisation; organised in work scales, so that the number of professionals in the course of time was sufficient to meet the presented demand. Together with about 300 professionals, five volunteers linked to the management of the activities, had an average daily workload of eight hours, due to the requirements for the maintenance of the platform.

According to Shommer and Tavares (2017), an important aspect of co-production is continuity, since specific actions can be considered as co-production, but it is preferable to focus on the most lasting relations in the provision of services. The direct and active contribution of citizens and their voluntary nature are also important elements. In this sense, it should be noted that the interruption of the activities of the Lauduz Institute was not due to the understanding that the purpose of the organisation had been realised.

The service activities through digital tools were resumed in August 2020, after a period of reorganisation and technological updating, concentrating in this new stage on actions related to mental health, in a new moment of the impact of the Covid-19 pandemic. The permanence of actions built collectively, in addition to contributing to the access of people in conditions of social vulnerability to public

services of recognised relevance, consolidates the importance of co-production and its contribution within a context of full citizenship.

When asked about the acquisition of resources, the President of the Institute mentioned that all resources were received as a donation, intended in their entirety to combat the pandemic, either in the development of logistics for consultations, whether in passing on funds to Epis and supplies funded by the Lauduz Institute with donations money. Moreover, Salm (2014) emphasises that the network and partnership or other corporate arrangements that co-produce public goods and services are usually integrated by public organisations, private organisations, social organisations, or community associations, in addition to individual citizens.

When analysing the perception of volunteers regarding the activities of the Institute, it can be seen that as for the organisation, the majority of volunteers (94.1%) consider that the structure of the Lauduz Institute was adequate for the development of the activities. According to Bill 9078/2020, the Institute has the support of the city's Higher Education Institutions, through computers and physical space, enabling the professionals of the video consultation centre to screen the cases according to the patient's symptoms (Santa Maria 2020).

In addition, it is possible to observe that 85.3% consider that the process of conducting the activities of the Institute was adequate to reach the objectives of the institution and, 85.2% consider that the mobilisation of resources (material, technological and human) to carry out the activities was appropriate. However, although the majority (94.1%) of volunteers consider that the establishment of public/private partnerships contributed to the achievement of the objectives proposed by the Institute, 36.8% agree that there was a conflict of interest between the Institute and other entities that provide health services. However, this perception does not invalidate the collective construction, which must, in these cases, overcome particular interests with financial bias, a situation that may have been one of the relevant aspects considered by the volunteers in this position.

Regarding coordination, it is noticed that the majority of volunteers (73.5%) consider that there was planning of the activities carried out by the Lauduz Institute and for 73.5% the performance of the coordination was continuous and effective during the performance of the activities. It is noteworthy that the actions were developed with the commitment to deal with the crisis in Covid-19, representing the perception of 97.1% of the volunteers. Still, on coordination, 73.5% say that the Institute operates in a network with other entities while 8.8% believe this does not happen and 17.6% do not agree or disagree with the operation.

According to Silva *et al.* (2015), when an organisation connects with other organisations, it strengthens its ties and leads this construction of relations guided by association, complementarity, sharing, and mutual help, taking place in the potential of collective strategies. Besides, it is emphasised that the structural arrangements that enhance the operations of organisations must be based on reciprocity

and trust, and this model is contrary to the paradigm based on hierarchy and control, with actions advocated only by a vertically centralised director.

Concerning the actions taken, most volunteers consider that the distribution of basic food, PPE, and the distribution of alcohol and gel took place through criteria defined with the participation of members and the community, while on average 5.85% disagree. When asked about the individual contribution to the Institute, 67.6% of the volunteers considered that they contributed significantly to the control of the pandemic, 23.5% did not agree or disagree. Together with the individual contribution, the majority (82.4%) considered that the volunteers' performance was continuous during the process with other social actors.

Finally, regarding the communication process, 82.4% consider that the communication between volunteers and other social actors was continuous, as well as 73.5% the communication between the volunteers of the Institute, as, the communication between the coordination and the volunteers was adequate in the confrontation of Covid-19. In this sense, Rocha and Luz (2020) mention that the clear and objective communication process is fundamental and has become vital for organisations, characterised as a strategic tool for the success of the organisation.

Table 1 presents the perception of the volunteers of the Lauduz Institute, indicated in percentage for each point of the proposed scale, regarding the

Table 1: Perception of Lauduz Institute volunteers, in percentage for the proposed scale, regarding organisation, coordination, actions undertaken and communication during the period in which they participated in the activities developed by the organisation

Block 1–On the organisation					
Question	**Percentages per scale**				
	1	**2**	**3**	**4**	**5**
The structure of the Lauduz Institute was adequate for the development of the activities?	0	2,9	2,9	29,4	64,7
The process of conducting the activities of the Lauduz Institute was adequate to achieve the objectives of the institution?	0	2,9	11,8	26,5	58.8
Was the mobilisation of resources (material, technological and human) to carry out the activities appropriate?	0	2,9	11,8	17,6	67,6
The establishment of public/private partnerships has contributed to the achievement of the objectives proposed by the institution?	0	0	5,9	17,6	76.5
There has been a conflict of interest between the institute and other entities providing health services?	30.3	18,2	15,2	15,2	21,6

Block 2–On coordination					
Question	**Stopover**				
	1	**2**	**3**	**4**	**5**
There was planning of the activities carried out by the Lauduz Institute?	2,9	5,9	17,6	20,6	52,9
The operation of the coordination of the Lauduz Institute was continuous and effective during the performance of the activities?	2,9	8,8	14,7	8,8	64,7
The actions were developed with the commitment to face the crisis of Covid-19?	0	0	2,9	20,6	76.5
Does the institute network with other entities?	2,9	5,9	17,6	17,6	55.9
Block 3–On actions undertaken					
Question	**Stopover**				
	1	**2**	**3**	**4**	**5**
The distribution of basic food baskets took place through criteria defined with the participation of members and the community?	2,9	2,9	26,5	20,6	47,1
The distribution of PPE took place using criteria defined with the participation of members and the community?	2,9	2,9	14,7	26,5	52,9
The distribution of alcohol and gel took place through criteria defined with the participation of members and the community?	0	5,9	14,7	23,5	55.9
Was your contribution to the Institute significant in controlling the pandemic?	0	8,8	23,5	23,5	44,1
Was the participation of the volunteers continuous during the process with other social actors?	0	5,9	11,8	26,5	55.9
Block 4–On communication					
Question	**Stopover**				
	1	**2**	**3**	**4**	**5**
The communication of the volunteers was continuous during the process with other social actors?	0	11,8	5,9	20,6	61,8
Was the communication between the volunteers of the Institute in the confrontation of Covid-19 adequate?	2,9	11,8	11,8	23,5	50
The communication between the coordination and the volunteers of the Institute was adequate?	8,8	5,9	11,8	20,6	52,9

Source: (Authors' own construction)

organisation, coordination, actions undertaken and communication during the period in which they participated in the activities developed by the organisation.

It should be noted that this study has a qualitative character, which is why the above data was not submitted to any statistical analysis process, having only the objective of bringing to the discussion the perception, as to the indicated aspects, of the group willing to contribute to the research conducted.

From the interview with the Secretary of Health of the municipality of Santa Maria/RS, it is evident that, in the view of the government, the structure of healthcare was not prepared for the large increase in demand caused by Covid-19 in the period when the pandemic was recognised by the WHO. However, the initiative of the Lauduz Institute contributed significantly to the access of the population to information on prevention and follow-up of cases in Covid-19 during 2020. Perception is emphasised in the following speech:

> *"The initiative of the Lauduz Institute was essential, at first, to ensure timely development of the emergency hospital structure, as well as the health department, develop flows and strategies to minimize contagion and ensure an adequate treatment in the Municipality of Santa Maria. Moreover, it was essential for the population to have doubts, to have access to qualified information. Nevertheless, the institute served to provide a diagnosis of which individuals could leave home or not for medical care in public and private health services in Santa Maria, reducing unnecessary circulation"* (Health Secretariat of Santa Maria/RS 2021).

In addition, it should be noted that there was an interlocution between the coordinators of the activities of the Lauduz Institute and the local government, providing the collective construction of actions to meet the demands of the population during the fight against the pandemic in 2020, evidenced in the following speech:

> *"[...] the dialogue between the municipality and the Lauduz Institute provided a tool to generate tranquility and security for the population and avoid overloading services until the proper structuring of beds, tests, flows and processes for cases COVID and not COVID [...]"* (Secretary of Health of Santa Maria/RS 2021).

Regarding some kind of assistance provided by the Health Department of the municipality to the Lauduz Institute, the interviewee reported that, via city hall, mobile phones were made available to contribute to the actions developed by the Institute, as well as information materials. However, he pointed out that there was no direct transfer of financial resources.

Finally, concerning the evaluation of the importance of the Institute for the provision of public services and rapprochement with public authorities, civil society entities, and citizens in general, the Secretary emphasises that "[...] was a very important service at a strategic moment until the public and private health networks organized at the beginning of the pandemic, which helped the municipality to provide an efficient response to combat the pandemic".

In this way, it proves the importance of co-production actions allied to the management process, as well as the co-production of public service as a possibility to respond to the impacts imposed by unexpected situations. Thus, the consolidation of actions developed in times of crisis contributes to social development, converting coproduction into a powerful tool for the democratisation of goods and services of collective interest.

CONCLUSION

Confronting the crisis caused by the Covid-19 pandemic exposed the fragility of the Brazilian public power, in all spheres, in practising actions to respond to the demands of society when it is subjected to unexpected adverse events. For the ability of governments to solve problems to have a qualitative leap, it is necessary to learn from the crisis now experienced.

It is paramount that there is an investment in planning and responsiveness to minimise the negative impacts of future crises. In addition, closer relations with civil society are necessary to carry out actions of co-production of public services in scenarios where the governmental arm does not reach, either by its bureaucratic aspects, financial, or any other reason preventing a certain portion of the population from accessing factors related to full citizenship.

In the same vein, Monn (2020) points out that the current situation shows that successful responses include effective measures implemented by governments, in addition to voluntary cooperation by citizens. In this context, the Lauduz Institute, through the action of several volunteers, played an important role during 2020, in Santa Maria/RS, fundamentally in the period when the local government began to organise to face the pandemic of Covid-19 and did not have full capacity to provide medical consultations in the volume demanded.

The importance given to the Lauduz Institute by the local public authorities, through the recognition of the organisation's public utility and the availability of equipment for carrying out the reported actions, reflects the government's perception. Such perception shows that the actions undertaken contributed to the greater number of people being attended to and, at the same time, they received guidance on how to proceed during the initial phase of the pandemic while information was still not circulating massively as it is today.

Regarding organisational aspects on the coordination, communication and fulfillment of the objectives of the Lauduz Institute, the results concerning the perception of the volunteers indicate, in a relevant way, a positive evaluation, demonstrating that the activities carried out were in line with the assumptions of a co-production of public services. Therefore, it is evidence of the importance of community initiatives, independent of the construction by citizens or institutions of various natures, to solve gaps where the performance of public governance is *not* forthcoming, overcoming the barriers of localised action and with limited time of action.

Finally, it is emphasised that the consolidation of actions developed in times of crisis can and should occur, contributing to the social development of communities, transforming co-production into a powerful tool for the democratisation of goods and services of collective interest, especially for less favoured people. It is in this context that the Lauduz Institute is expected to consolidate its work, thus fulfilling the statutory objectives set by the organisation.

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  - ▪ **Article:** Auriacombe, C.J. 2007. Deconstructing the public interest for application in South Africa. *Administratio Publica.* November 2007. 15(1):28–52.
  - ▪ **Official publication:** Public Service Commission. 2008c. Report on the Audit of Reporting Requirements and Departmental Monitoring and Evaluation Systems within National and Provincial Government. Public Service Commission. Pretoria: Government Printers.
  - ▪ **Internet reference:** Patton, M.Q. 1999. Utilization-Focused Evaluation in Africa, training lectures presented at the African Evaluation Association, 13–17 Sept. 1999. Nairobi. Kenya. Available at: <u>www.afrea.org/documents/document.cfm?docID=64</u> (Accessed on 25 March 2009).
  - ▪ ***Title of acts in italics*** e.g. *Public Service Act, 1994* (Act 103 of 1994) or Public Service Act 103 of 1994. Be consistent with the referencing.
  - ▪ **Full reference:** South Africa (Republic). 2000. *Local Government: Municipal Systems Act,* 2000 (Act 32 of 2000). Pretoria: Government Printers.
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