

**DEVELOPMENT PERSPECTIVE
ON POLICY MANAGEMENT**

by

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Christo de Coning,

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SUMMARY

Momentous choices and opportunities have opened up in South Africa since a settlement was successfully negotiated and a new political and constitutional dispensation was created. Events such as the constitutional negotiations and the establishment of reconstruction and development initiatives have placed a renewed emphasis on development management, process facilitation and the development of policy. This study provides an overview of the broad field of policy studies and specifically focuses on policy process models. In particular, this study centres on the further development of the generic process model and provides an overview of the application thereof to the operational environment. From this, simulation exercises and case study material have been developed as policy learning methodologies. Institutional arrangements for policy processes and the institutionalisation of policy and related support capacities at intergovernmental and organisational level receive particular attention. The study demonstrates the application of the generic process model by applying the framework to a case study based on the provincial demarcation exercise. This study concludes that policy management, as a cross-cutting, lateral methodology, in conjunction with similar methodologies, such as strategic planning, research methodology and project management, should be regarded as a critical tool, by the academic community and development practitioners alike, for improving the decision-making capacity of government, the private sector and civil society.

KEY TERMS

Appraisal; case studies; constitutional negotiations; decision making; development; development management; evaluation; generic process model; information management; institutional capacity building; learning methodology; planning; process facilitation; project cycle; provincial demarcation; policy; policy management; policy processes; research methodology; simulation; strategic planning; support capacities.

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CHAPTER 1

INTRODUCTION

1.1 INTRODUCTION

1.1.1 GENERAL

Scientific study provides the scholar with a special opportunity to spend devoted time and effort, with provision of the necessary resources (financial, information, human and others), in gaining a theoretical and empirical understanding of our world. In focusing on specific issues, such efforts would hopefully improve his or her ability to intervene in, and to influence, the external environment. Such endeavours, especially in the social sciences, show that both specialist and generalist knowledge are important. The contextualisation of an issue is proving to be essential and confirms our understanding that everything in the universe is connected to everything else.

This study has a specifically South African focus. Following political transformation and massive constitutional change and consequent socioeconomic reconstruction and development efforts, and given the complex nature of South African decision-making processes, a back-to-basics approach has been advocated in South Africa regarding a range of important interventions, among others, establishing basic powers and functions for the different tiers of government, effecting large scale public sector transformation and formulating policy. This study focuses on the latter.

Paradigm shifts have occurred in terms of our understanding of issues such as democracy, participation and management and their effect on policy management as a specific field. A development management approach generally and a policy management approach specifically can be employed as a lateral, cross-cutting methodology in the social sciences. The study of policy processes and the management of these processes provide analytical tools through which societal processes can be approached, understood, and for which options can be generated to improve effective management. In this sense too, this study is an attempt to contribute to our basic understanding of policy processes and the management of these processes by identifying and exploring these relatively new areas of study and by proposing some

specific tools in the quest for improved instruments for policy appraisal, planning, implementation and evaluation. A study of policy management provides an insight into the rich, multidisciplinary nature of contemporary understanding of the social sciences.

But why the interest in the management of development? And why policy? Involvement in the development arena is in the first instance a reflection of an interest in, and commitment to, the wellbeing and nature of people. A focus on institutional development brings to the fore the fascinating ways in which people and society organise themselves and the ways in which resources are managed. This study is interested specifically in how people, in this process, make use of technical knowledge to improve decision-making processes. The apparent inability of governments to ensure sustainable development processes and to approach this issue in a rational way, had a significant influence on the thinking patterns of the author. The ability to manage change, to consider strategic options in the external environment and to make rational choices are critical for government processes at all levels of government, but also outside of it, such as amongst NGOs and in the private sector. The opportunities for applying policy management in practice are vast and the usefulness of policy management approaches ranges from being directly relevant to the policy think-tanks attached to President's Offices in countries all over the world to that of strategic and business planning on the home computer of a one-person enterprise.

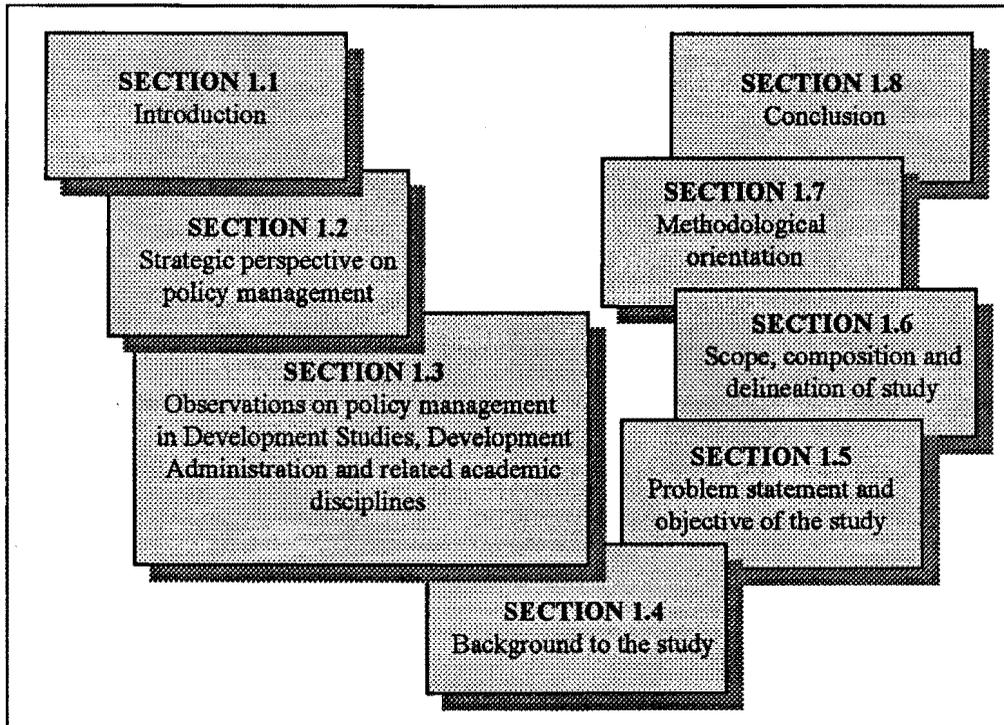
This study made it clear to the author that the value of simplicity in one's general approach towards a study field, such as policy management, may be a great benefit. Not only because of the abstract nature of the policy field, but also because of the complex terminology-use of policy analysts, it was found that a need existed to ensure a basic (sometimes common) understanding of concepts and assumptions. An attempt has been made, both with the general structuring of the thesis, as well as in defining basic concepts such as policy, policy management and institutional capacity building, to return to the basic understanding and definition of concepts in the field.

This "back-to-basics" approach also has a more serious message, which underpins the findings of this study. During the assessment of policy models it was found that preparation and planning activities in South African policy-making endeavours were

often, but not always, neglected. Policy management was often confined to a technocratic input, largely ignoring important process and management elements. For this reason, one of the specific contributions of this study is the proposal to introduce more specific initiation and design phases to the policy process and to the generic process model specifically. In this regard, it is of interest to note that social scientists have recently started to show an interest in children's stories for the purposes of analysing decision-making processes and the basic logic and rationale of human behaviour. Children's stories are also being revisited by *National Aeronautics and Space Administration (NASA)* researchers. Such studies focus on the basic rationale and reasons for taking and planning decisions, as is apparent from children's stories. The importance of simplicity in approach is for example well illustrated in *Alice in Wonderland* (by Lewis Carrol) when the King advises, "start at the beginning". In a different context *The sound of music* advises scholars to: "... start at the very beginning, (which is) a very good place to start". This is especially appropriate given the fact that the future is pretty vague, even if highly sophisticated strategic tools are available to plan and predict the future. Following a question from Piglet (from *Winnie the Pooh* by A A Milne) about where they are going, Pooh's reply ("nowhere") is in fact a fairly good reason why a study in policy management may be worthwhile pursuing, but also why one should in fact begin at the beginning in facilitating an improved understanding of where we are and where we are going.

1.1.2 LAYOUT OF THE TEXT

The introductory chapter provides the conceptual and methodological framework within which the study is approached. The introduction, of a somewhat philosophical nature, (section 1.1), is followed by the strategic perspective (section 1.2) where some strategic issues, pertinent to policy, are identified. These include the constitutional and political context, the strategic importance of the *Reconstruction and Development Programme (RDP)*, the role of forums and commissions as vehicles for policy change, institutional transformation as well as strategic considerations regarding the South African academic context.

FIGURE 1.1: COMPOSITION OF CHAPTER ONE: INTRODUCTION

Section 1.3 provides reflections on policy management in the context of Development Studies and Development Administration and related academic disciplines. This perspective is provided in this chapter as it is regarded as important academically to contextualise the field of study. This focus does not however form part of the primary focus of the study and as such these preliminary perspectives are not regarded as conclusive. This perspective, however, shows that policy management and particularly processes and management of policy will become a critical focus area in Development Studies and Development Administration during the 1990s.

The background to the study (section 1.4) provides a more detailed account of the historical context of this study and the context in which it originated. In section 1.5 (problem statement and objective), key questions to be addressed together with the particular aims of the study will receive attention. In this context, section 1.6 (scope, composition and delineation of studyfield) will, following the problem statement and objective, sketch the scope of the study and give particular attention to elements regarding delineation. This section also presents the composition of the study as a whole and aims to present to the reader the different components of the study, and how they relate, in a user-friendly manner. The design of the study, as is apparent

from its composition, addresses the problem statement and objectives of the study as discussed in section 1.5. This section is of special importance as the study is specifically focused towards certain areas of study within the broad field of policy. In section 1.7 (methodological orientation), the specific methodologies employed will be discussed. The method of research employed includes theoretical as well as empirical approaches and techniques. Attention will also be given to retroductive observations on programming and budgeting.

1.2 STRATEGIC PERSPECTIVE ON POLICY MANAGEMENT IN SOUTH AFRICA

1.2.1 GENERAL

Both policy as subject matter, and policy management as an analytical tool, are regarded as important strategic areas. In South Africa, especially since February 1990, when the initiative for the establishment of a democratic socioeconomic order was launched, policy issues pertaining to the envisaged new dispensation assumed a pivotal role. This did not only entail policy issues concerning constitutional reconstruction itself, but also the adoption of policies, over the full spectrum of governmental activity. By and large this meant redirecting the policy direction in all government departments and agencies to a developmental approach in line with the *Reconstruction and Development Programme (RDP)*. Moreover, care had to be taken that the nature of the policy processes involved would ensure legitimacy of the new order, continuously walking the tight rope of, on the one hand, substantial and available policy management capacities in existing Government institutions, and, on the other hand, the high degree of mass mobilisation around expectations of the new order, represented by a vast array of community-based organisations of civil society as well as political organisations, until recently restricted in terms of their activities, or banned as far back as the early 1960s. Against this background, the meaning of policy management changed fundamentally and the South African arena became a unique laboratory for research, providing valuable insights into the universal nature and meaning of policy management and its application in diverse settings. This is especially true of the process dimensions of policy management which, owing to the unique dynamics of the

current South African situation of rapid and multidimensional change, require significant policy orientated facilitation skills and insights.

1.2.2 CONSTITUTIONAL AND POLITICAL CHANGE

Massive constitutional, political and socioeconomic changes in South Africa have fundamentally influenced the future policy scene. These changes have, inter alia, necessitated the formulation and implementation of economic and social policies that will give effect to the principles embodied in the new *Interim Constitution* within society at large. In the aftermath of democratisation, the probability that spiraling aspirations inherent in liberation (and expectations fuelled largely by electioneering practices), may lead to a “demand input overload” threat to the system, is high (see Easton, 1965:58-59, 82-83, 119-123). Certain superficially attractive reactions thereto, with possibly dire consequences to continued stability and freedom, may emerge. The inevitable limitations of optimal system capacity, be they financial, institutional, technical, symbolic or otherwise, have to be continuously paired with spiralling demands for the hasty delivery of tangible policy outcomes in spheres such as housing, health care, job opportunities, social infrastructure and the like. This, perhaps more than any other factor, necessitates sound, dynamic, pre-emptive and innovative policy management and the establishment of effective delivery systems in government, the private sector, and civil society.

The processes underlying South Africa’s successful transition to a democratic political dispensation, commencing on 2 February 1990, and reflected in events such as the signing of the *National Peace Accord* (September 1991), the negotiations at *CODESA I and II* (December 1991–May 1992) and the *Multi-Party Negotiating Council (MPNC)*, leading to consensus on the *Interim Constitution* during 1993, did not only introduce a completely new approach to policy processes in this country but, moreover, provided a valuable basis for future policy management and facilitation (De Coning, 1994(a) and Friedman, 1994). This experience was likewise enhanced by the related, more technical deliberations and activities of technical committees involved with the constitutional negotiations¹ at the World Trade Centre. An overall new

¹ For an evaluation of the *Interim Constitution*, see De Villiers (1994).

culture of policy management, based on intended principles such as transparency, participation and accountability, was established. The newly created democratic context and participatory demands established a paradigm where the importance of development management, processes and institutional arrangements can hardly be overemphasised. Because of the continued dynamics of change, the need for policy management within the abovementioned policy framework has grown significantly. The drafting of a new constitution under the auspices of the *Constitutional Assembly*, as well as the need for socioeconomic transformation, in line with the requirements of the new order, and embodied largely in initiatives such as the *RDP*, will not only benefit from the experience of the immediate past, but it can be expected that further precious insights into the theoretical and practical nature of policy management will be gained.

1.2.3 *THE RECONSTRUCTION AND DEVELOPMENT PROGRAMME (RDP)*

It is clear from numerous Government statements since the inauguration of the *Government of National Unity (GNU)* on 10 May 1994² that policies aimed at fundamentally transforming the socioeconomic order in South Africa have become paramount in terms of governmental priorities, and are destined to occupy this position for the foreseeable future. Although detailed information on the actual policy processes by which the *RDP* was formulated is not yet readily available, some initial contributions³ have pinpointed important trends. Since the unbanning of the *African National Congress (ANC)* in 1990, the organisation decided to formalise, through a process of in-depth consultation within its own ranks, its Alliance partners and other organisations, the organisation's policy framework for reconstruction and development. Numerous consultative conferences took place and the *RDP* went through six drafts before the final document was published in early 1994⁴.

The *RDP* has since been accepted by the *GNU* and was thus transformed from a party

² See State of the Nation Address: President of South Africa, N R Mandela, Parliament, 24 May 1994; Opening Address by President Nelson Mandela: President's Budget Debate, Parliament, 18 August 1994; *RDP Challenges*, Information article issued by the Minister without Portfolio in the Office of the President, J Naidoo, 21 September 1994.

³ See Coetzee (1995); De Wet (1994); Friedman (1994); Kershoff (1994), as well as Swanepoel and De Beer (1994).

⁴ ANC (1994:i-ii).

political programme to official Government policy. The importance of the *RDP* was further underlined when *RDP*-related responsibilities were placed in the *Office of the President*⁵. A White Paper on the *RDP* was subsequently tabled in Parliament during September 1994 which, inter alia, according to its preface⁶:

... establishes a policy making methodology and outlines Government implementation strategies within the framework provided by the Base Document⁷. This allows for a coherent and considered process to unfold and – through the proposed reporting and monitoring system – provides for a meaningful evaluation of government performance, as well as of the performance of all those agencies and organisations from civil society involved in *RDP* activities.

It is, furthermore, of note that the *RDP* itself is viewed by the Government as a dynamic and continuous process of policy formulation and review in terms of ongoing experience gained, as implementation proceeds⁸. Initiatives up to the present stage, were, therefore, not a mere once-off process that can now be reflected on merely out of historical interest. Experiences gained in policy management during the next five years will be crucial for strengthening future capacities, ensuring effective implementation of the *RDP* and resulting in sustainable development outcomes.

Several issues are important. First, the process followed to establish such a policy is particularly significant. Secondly, the *RDP* provides an interesting survey of the field of appropriate policy frameworks in intra-governmental, intergovernmental, as well as non-governmental terms. The complexities of establishing macro socioeconomic, sectoral and functional policies at national level are daunting. Moreover, as practical implementation of the *RDP* will take place mainly at provincial and local government levels, clear policy guidelines need to be established, not only with regard to the particular functional responsibilities of the different tiers of government and their interrelationships, but also with regard to customising *RDP* activities for the unique

⁵ Of late (August 1995) a senior Cabinet Committee has been appointed to *inter alia* address strategic issues related to economic growth.

⁶ See section 0.6 of the White Paper (South African Government, 1994).

⁷ The Base Document is defined in section 0.4 as the original ANC policy document on the *RDP* (ANC, 1994).

⁸ See especially section 1.1.4 of the *RDP White Paper* as well as section 0.10 which envisages a second *RDP White Paper* in March 1995.

circumstances and requirements of every province and local situation⁹. The private sector has, furthermore, been encouraged to adapt its corporate social investment programmes as well as line function activities to becoming visibly *RDP*-friendly and supportive. Thirdly, it is important to continuously monitor the progress of the *RDP* and adjust strategies in line with international experience and practice. The new emphasis on economic growth by the *GNU* is found to exert a paramount effect on the application of the *RDP* (see Coetzee, 1995).

1.2.4 FORUMS AND COUNCILS AS VEHICLES FOR PARTICIPATION

In order to ensure legitimacy during the transitional process, avenues had to be found to involve structures that had up to 1990 opted not to participate in the then-existing order. These structures were sensitive not to be tainted, even through mere association, with what they regarded as discredited apartheid institutions, in the restructuring process. Moreover, the new emphasis placed on the importance of the role of civil society in the process of governance demanded structures and procedures whereby non-governmental and community based organisations used forums as platforms for negotiation regarding policy and decision making processes at all levels (Boraine, 1993:38–39). Forums became the most crucial instrument for achieving this goal. At the same time forum activity facilitated the introduction of a participatory approach to policy making after years of centralisation and exclusivity (Shubane and Shaw, 1993:12–13).

The new political environment stimulated forum activity in the two years preceding the election and represented a particularly interesting trend in transitional policy making, especially with regard to policy review, development and the management styles of forums. Numerous forums were established. On one account (Shubane and Shaw, 1993:1) eleven national, function specific (sectoral) forums, covering issues such as economic policy and development, housing, transport, tourism, drought relief, violence and peace, electricity, food and nutrition, health, education and training, youth

⁹ Section 2.6.1 of the *RDP White Paper*, for instance, encourages each province to: “... develop a strategy for implementing the *RDP* in the context of its particular circumstances”, whilst section 2.6.8 categorically states that: “... Provincial Governments can only receive responsibilities for *RDP*-related functions when the National Government is satisfied that adequate capacity exists to undertake those responsibilities” and a “checklist” to facilitate the devolution of *RDP* programmes to the provinces is envisaged.

development, water and sanitation, and local government were established. Apart from these national initiatives, forum activity flourished at regional and local level as well. At the regional level, development forums such as the *Regional Economic Development Forums (REDFs)* in the Northern and Eastern Transvaal were affiliated to so-called Political Discussion Forums. At the local level there were a plethora of forums of which metropolitan forums, such as the *Central Witwatersrand Metropolitan Chamber (CWMC)*, played an important role.

Development-oriented issues markedly received increasing attention in forum activity. In the aftermath of isolation and conflict between government and extra-parliamentary groupings, the changed political situation encouraged a lively debate, allowing creative ideas on development to surface. Especially sectoral, regional and local forums succeeded in, for the first time, bringing together key stakeholders such as government, organised business, labour, political parties, and an array of NGOs and CBOs to consider developmental priorities and strategies. In many instances a high level of consensus was reached, which contributed significantly towards the success of development efforts, even after the election.

A climate of give-and-take in which a wide spectrum of interests and goals had to be accommodated took shape and participants continuously found themselves in the position of having to fundamentally reconsider past stands and redefine their respective roles and responsibilities in the policy-making process (Shubane and Shaw, 1993:7-9). Moreover, these forums were in various cases awarded *de facto* decision-making powers (see the *CWMC*, or the Eastern Transvaal *REDF*), thereby, not only gaining the clout of embryonic representative regional and local government institutions, but also giving practical experience to members in policy- and decision-making processes. A notable exception to these developments was the almost non-existence of forum activity in most smaller towns and the rural areas. Although some constructive actions evolved from, for example, farmers' groups, hardline right-wing dominance in many of these towns was the major contributing factor. In the rural sector, forum activity was likewise inhibited by right-wing loyalties in commercial farming areas, whilst in the tribal areas of the then *Transkei*, *Bophuthatswana*, *Venda* and *Ciskei (TBVC)* and self-governing states, activity, mainly owing to the agenda of organisations such as the

Congress of Traditional Leaders of South Africa (CONTRALESA), focused almost exclusively on political matters¹⁰.

The induction of the first fully democratic Government on 8 May 1994 necessarily impacted on the place and role of forums, mainly because of political considerations, as instruments of civil society. Before that date, civil society was conceived of as those associations which participated in the “struggle” and had a right to be involved in transitional policy and decision-making processes. A majority Government was in power now and this raised serious questions with regard to the role of these civil organisations – would they now become part of the system or continue their role as a community watchdog and aggregator and articulator of grassroots interests? The need for redefining this relationship has already created tension, for instance between the *South African Civic Association (SANCO)* and the *ANC*, and it can be expected that such manoeuvring will capture the limelight for some time to come (Shubane and Shaw, 1993:21–24 and Badat, 1994:13).

President Mandela as well as prominent ministers, such as Naidoo, have stressed the importance of the continued involvement of civil society, especially in the implementation of the *RDP*¹¹. The *RDP* base document, as a matter of fact, stresses the importance of this issue throughout: “Development is not about the delivery of goods to a passive citizenry. It is about active involvement and growing empowerment” (ANC, 1994:5); and: “Democracy for ordinary citizens must not end with formal rights and periodic one-person, one-vote elections ... the democratic order we envisage must foster a wide range of institutions of participatory democracy in partnership with civil society on the basis of informed and empowered citizens” (ANC, 1994:120-121).

¹⁰ Issues with regard to the role of traditional leaders in the new dispensation as well as of rural local government became extremely sensitive ever since the constitutional negotiation process was launched and are expected to become even more controversial in the period leading up to the local government elections in November. These issues are, however, not further pursued here. For some insights see De Coning (1991) and McIntosh and Vaughan (1994).

¹¹ Although this discussion has placed an emphasis on forums and councils, participatory structures of the previous dispensation, prior to the elections, may be of value in terms of lessons of experience. Structures such as the *National Regional Development Advisory Council (NRDAC)* and related structures, as well as the *Council for Population Development* and the *Central Economic Advisory Service (CEAS)*, among others, should be researched in this context.

The clearest expression, so far, of the Government's serious intentions with regard to the continued involvement of civil society through forum activity in the policy-making process was the establishment of the *National Economic, Development and Labour Council (NEDLAC)* as provided for in the *RDP White Paper* (section 7.3) and which consists of four chambers dealing with monetary and fiscal policy, trade and industry, labour, and development. With regard to the Development Chamber, provision is specifically made for the inclusion of different levels of government, organisations of civil society, as well as organised labour and business. The *RDP White Paper* (section 7.4), moreover, encourages Government departments to: "... continue ongoing policy interaction with sectoral forums, which comprise key sectoral stakeholders and technical experts", whilst Provincial Governments (section 7.5 of the *RDP White Paper*) should: "... ensure broad consultation, coordination, engagement and negotiation" of all stakeholders through sub-regional and/or local forums. The formalisation of forums into commissions seems to be a tendency that can be expected to further develop in the near future. Apart from *NEDLAC*, the establishment of *Provincial Economic, Development and Labour Councils (PEDLACs)* or alternative structures (such as in the Eastern Cape) are also at an embryonic stage, whilst *Provincial RDP Commissions* are already operative in some cases. Sectoral commissions such as for health, education, etc. are also under consideration.

Whether forums and commissions will continue to play an influential policy role remains to be seen. Their future relationship with formal government structures is intricate and various scenarios are possible. Continued credibility, especially if converted to commissions, of these structures will largely depend on factors such as the nature and criteria of appointments, composition, scope of activities and independence granted to them, as well as visible and qualitative inputs by non-governmental players. Friedman and Reitzes (1995) have in a recent informative study warned that too close an association with the state could place civil society in the awkward position of being co-opted and used as mere: "... conveyer belts for the implementation of state policy". These authors then conclude: "The idea of organs of civil society being managed by the state, by definition negates the idea of civil society. Furthermore, such limited participation does not provide opportunities for capacity building and empowerment" (Friedman and Reitzes, 1995:15). Alternatively, placing

forums between society and government, could insulate government from the full range of community interests. They then rather suggest a strengthening of the representative capacities of formally elected representatives in order to ensure real grassroots needs being reflected in the authoritative policy- and decision- making processes (Friedman and Reitzes, 1995:10–11, 21–22).

In the light of the above discussion of *RDP* initiatives and forum activity, public sector transformation in the context of fundamental political change is regarded as another strategic area on the South African policy-making scene. The public sector, together with the presently changing family of development finance agencies, is primarily responsible for policy implementation and the realisation of the *RDP*.

1.2.5 MACRO-INSTITUTIONAL AND PUBLIC SECTOR CHANGE

Macro-institutional change in South Africa implies transformation which transcends organisational restructuring and requires a fundamental review of functions to be performed. If applied to the need to restructure policy, information and evaluation capacities, the conceptual understanding of a variety of manifestations of such services, including subfunctions, needs to be examined more closely. If a functional approach to the restructuring of these capacities is taken, a number of considerations arise. These include: priority functions should be identified and consolidated; the interrelatedness of those functions should be considered; and special care should be taken to enable key human resource capacities in these areas to perform such functions.

Multilevel policy making includes the role of government, which will have to develop provincial and local policies and ensure the necessary executive capacity for implementation. Several specific options exist for institutionalising the functions of policy information and evaluation. Policy and planning departments, close to the new provincial cabinets, could foster essential policy-analysis capacities. Future advisory bodies, perhaps an extension of existing forums, could ensure inputs from non-governmental organisations. Given limited skills and capacities at provincial and local level, it may even be necessary for mobile specialist teams to assist provincial institutions. However, it is preferable that small but competent capacities be established on provincial level.

Broad policy, information and evaluation support is needed at strategic, macro, sectoral and functional levels by the government and other key players. This requires a fully fledged multidisciplinary approach. Not only should it include macro socioeconomic management, but also multisectoral dimensions (e.g. tourism, industry, education, health, etc.). In addition, such an approach should be multifunctional, i.e. include vital areas such as institutional capacity building, financial management, planning and programming. As noted above in the discussion of the *RDP*, provincial policies also need to be developed. Here the requirements of regional and local development will bring different policy angles into play. As with public sector transformation generally, it is important to keep in mind the truism that form must follow function. With the management of change it is important that strategic priorities be established (such as the objectives of the *RDP*), and functional areas be confirmed or reviewed before embarking on the actual restructuring of organisations. In this process, specific attention to institutional development, including human resource development, is paramount. Such capacity clearly needs to be established in and outside of government such as in line departments, development agencies, and at universities and research organisations. A balance is vital to ensure that alternative options are considered and critical views expressed. The quality and relevance of research undertaken by the research community is therefore crucial.

In the area of policy, information and evaluation in a broader context, functions and subfunctions that are paramount include policy management, including the subfunctions of policy-process facilitation, policy analysis, policy design, policy formulation and dialogue, policy implementation and policy monitoring and evaluation. The function of information generation includes subfunctions such as development information, institutional information, government statistics, information coordination and management, information analysis and interpretation and information dissemination. Evaluation includes provision of evaluation information, the conceptual framework design for evaluation, implementation evaluation, policy evaluation and policy process evaluation. In addition, research supports the above and includes research, which comprises socioeconomic, sectoral and functional research areas. Although the need for balanced policy capacities inside and outside government has been stressed, it is also clear that a government needs committed capacities serving

particular line departments or other receiving elements in the governmental policy environment. Intergovernmental restructuring of policy capacities is very dependent on clarity regarding where and by whom powers and functions are to be performed.

1.2.6 IMPLICATIONS FOR THE ACADEMIC COMMUNITY

In academia, both internationally and locally, attention to policy management has of late significantly increased. Although a full historical exposition of policy management as an academic concentration is not warranted here, some perspectives are crucial for a fuller understanding of the central theme of this study.

Policy studies and policy sciences became of serious academic concern only with the development of sophisticated techniques for policy analysis in the post-World War II era. According to Heineman et al (1990:9) policy studies emerged at this juncture as an identifiable endeavour in order to give effect to the belief that rational and scientific methods could be applied to the improvement of social conditions. Schmandt and Katz (1986:40-42) contended that American society at the time had experienced a transition from an administrative welfare state to a scientific state, characterised by the need for national policy makers to cope with an agenda that became heavily loaded with complex scientifically oriented issues such as nuclear proliferation, environmental protection, automation, and the economy of energy resources (Schmandt and Katz, 1986:48). The War in itself stimulated the development of scientific techniques that impacted significantly on policy analysis. This inter alia included operations research within the broader analytical perspective of systems analysis, tending to be heavily quantitative of nature as well as narrowly and specifically focused (Heineman et al, 1990:16).

The 1960s were undoubtedly a crucial period in the development of the policy sciences. Significantly, in the United States, President Kennedy's decision to appoint Robert McNamara, then Chief Executive of *General Motors*, as Secretary of Defence, was a calculated effort to address the increasingly bleak war situation in Southeast Asia by way of hard-core, businesslike, analytical techniques of policy management and decision making. McNamara's so-called "whiz kids" (Heineman et al, 1990:17) introduced to the military establishment a wide range of policy management-related

issues, up till then exclusively employed in the private sector, such as cost-benefit analysis, operations and systems research, linear programming and planning, programming and budgeting systems (PPBS). This proved clearly that a body of knowledge constituting policy sciences existed, and provided this field with official recognition. Operations research became even more powerful as computer technology advanced and with the development of additional tools such as linear programming (Heineman et al, 1990:17).

In this context Hogwood and Gunn (1984:32) note that during this period Americans increasingly came to realise that there were few simple or “common-sense” answers to the complex problems of modern society. Policy makers had to operate in conditions of rapid and accelerating change caused, at least in part, by new technology and other circumstances largely beyond the control of policy makers. There was, furthermore, a growing dissatisfaction¹² with the inability of social scientists to produce policy options timeously, and research was often perceived as being “over-academic, inward-looking, and concerned with methodology rather than with substance” (Hogwood and Gunn, 1984:34).

These trends had a significant impact on social science disciplines. In Sociology, for example, an applied orientation was implemented by scholars such as Lazarsfeld (Lazarsfeld, Reitz and Pasanella, 1975) who demonstrated that analytical techniques such as survey research had application possibilities in private industry as well as public policy. In Political Science attention was increasingly focused on the application of quantitative techniques to empirical political data, and scholars embarked on a “tug of relevance” (Heineman et al, 1990:17). In his 1969 presidential address to the American Political Science Association (APSA), Easton (1969:1051–1061) spoke of a “new revolution” that was taking place in Political Science, the battle cries of which were relevance and action. Easton thus advocated a post-behavioural approach that inter alia superseded traditional disciplinary boundaries and demanded a concern with the pressing social issues in society at large¹³. The discipline of Economics, however, soon outdistanced other social science disciplines as the major source of ideas and

¹² For a detailed account of dissatisfaction with particular disciplines such as political science, public administration, economics and management studies, see Hogwood and Gunn (1984:34-36).

¹³ For an analysis of the impact of post-behaviouralism on development theory, see Fick (1979:180-183).

methodologies for theorising in the field of public policy (Heineman et al, 1990:17). Distinguished scholars such as Rondinelli (1983(a)) and Paul (1990) increasingly integrated planning and policy dimensions in their work and effectively demonstrated the advantages of including strategic considerations in project management.

Although fewer major contributions to the field were made during the 1970s a revival of the above tendencies is apparent in the literature of the late 1980s and the 1990s (for example Anderson (1994), Bobrow and Dryzek (1987), Cloete (1993), De Coning (1994(b)), Dror (1986 and 1991), Dunn (1981 and 1994), Hanekom (1987) and Patton and Sawicki (1986)). Of particular importance is the growing emphasis of policy making in process terms (Anderson (1979), Cloete (1993), De Coning and Fick (1995), Dunn (1994) Dror (1990(c)), Hanekom (1987), Hogwood and Gunn (1984) and Wissink (1991))¹⁴. Within the framework of this process orientation, prominence is awarded to specific phases and elements of policy management such as evaluation¹⁵. Likewise increasing attention is given to management, see for example, Dror (1989, 1990(d), Mutahaba and Balogun (1992) and Mutahaba, Baguma and Halfani (1993).

In South Africa certain aspects of policy (especially at the executive and administrative levels) historically figured prominently in course materials and research in public administration. To a lesser extent, typical policy analysis elements were also prevalent in some other social science disciplines, notably Sociology and Economics¹⁶. Notwithstanding the obvious importance of policy management in developmental settings, this field was conspicuously absent in curricula in Development Studies and Development Administration since this subject was introduced at South African universities only during the early 1970s. Following international (mostly American) trends in Development Studies and Development Administration, substantial attention was given to particular policies and their alternatives such as health, education, administration, shelter, and of late, aspects of capacity building, community participation, self-reliance and the more. The dynamics of policy processes as a vital

¹⁴ This point is further illustrated by some specific focus areas within policy process management, e.g. in the case of its iterative nature (Quade, 1982:53) as well as Brewer and De Leon (1983:17–21).

¹⁵ See *DBSA* (1992(a) and (b)), Hanekom (1987), Patton and Sawicki (1986), Paul (1990) and World Bank (1993) and policy techniques (see Anderson (1994) and Hoppe, Van de Graaf and Van Dijk (1987).

¹⁶ It was particularly of concern in Development Economics (interview, Stef Coetzee, 8 November 1995).

instrument in affecting developmental outcomes within the realm of all the constraints and opportunities of developing societies, however, hardly received any serious scholarly attention. A recent scan of present *curricula* in Development Studies and Development Administration at South African universities indicated that the situation remains substantially unchanged.

Three recent South African trends are, however, noteworthy in this context. The first entails the introduction of academic courses in public and development management at some South African universities since the 1980s, and in which comprehensive attention is given to the study of policy processes (McLennan and Fitzgerald, 1991:75–77). The second development was the launching of the *New Public Administration Initiative (NPAI)* on 26 November 1991, and which has since its inception in theory awarded a high priority to policy processes (McLennan and Fitzgerald, 1991). The third development was a significant market demand for such approaches¹⁷. Although policy management in process context is, therefore, vigorously studied and researched within the framework of the above mentioned initiatives, hard-core social developmentalists have yet to make their contribution in this field. This would not only enhance the relevance of Development Studies and Development Administration, especially against the background of present South African realities and needs, but could also substantially enrich the scope and focus of policy studies with the unique insights of the existing vast developmental experience.

1.2.7 STRATEGIC CONCLUSIONS

In conclusion, it is clear from this study that policy-making exercises of the mid-1990s require participation and public choice in which direct representation, but also sustained institutional capacity, empowerment and active decision making is required. If development is in need of enhancing the capacity to make rational choices, the participatory nature of policy processes is clearly of primary importance, as such opportunities to exercise choices and explore rational options should be accommodated by policy making processes. One can indeed state that in the South African context, and following negotiations, elections and the setting up of a new

¹⁷ Interview, Jan Koster on 3 August 1995. Note that with all interviews referred to, further information regarding positions and organisations of individuals is given in Appendix G.

government (De Coning, 1994(b)) a culture has been established that demands participation. For this reason, policy management has become an important tool for ensuring participation in process and management context. Policy management allows for participation in all phases of the policy process.

“Policy analysis”, like research methodology, has been a terrain that has almost exclusively been studied by professionals and academics. Policy-making initiatives of the mid-1990s require facilitation of an enabling nature. The period since the elections has been characterised by an increased interest in the institutionalisation of policy capacity in organisational settings and in the nature of likely policy processes it may follow. In the context of development management, and in addition to other sectoral and disciplinary cross-cutting lateral methodologies, policy-process facilitation and management have become critical foci in the present development debate. In addition to the justified emphasis on analysis and research in specific disciplines and socioeconomic sectors, policy processes with the necessary professional and technical input as well as participatory and institutional arrangements are vital in order to ensure sound macro, sectoral and functional policies and strategies.

1.3 OBSERVATIONS ON POLICY MANAGEMENT IN DEVELOPMENT STUDIES, DEVELOPMENT ADMINISTRATION AND RELATED ACADEMIC DISCIPLINES

1.3.1 GENERAL

Against the background of the strategic perspective, it is necessary to introduce policy management in the discipline of Development Studies and Development Administration and related academic disciplines. The discussion which follows is important not only because it is necessary to place the subject matter in academic context, but also because it is important to highlight the general development orientation of this study.

The discussion which follows, focuses on the relationship between policy management and the emergence of Development Studies and Development Administration as an academic discipline, reflects on the South African context, and lastly, provides a

perspective on contemporary trends of policy management in Development Studies and Development Administration and related disciplines such as Public and Development Management. Because of the multidimensionality of development, both policy management and development features prominently in a variety of the social and management sciences, such as Sociology, Economics (particularly Development Economics) and Political Science. This discussion is limited to the literature and research which, both in content and approach, broadly subscribes to the theoretical constructs of this particular discipline as it emerged in curricula and academic associations, both abroad and in South Africa. It is accepted that, because of the interdisciplinary nature of many studies and research, a clear-cut disciplinary categorisation is not always possible. An examination of the development-oriented attributes and characteristics in all the social sciences would, however, outbalance the relevance of examining this subject within the broader context of this study.

1.3.2 SYNOPSIS OF THE HISTORICAL EMERGENCE OF DEVELOPMENT STUDIES AND DEVELOPMENT ADMINISTRATION

The academic discipline of Development Administration emerged in the United States in about 1960 as part of the older discipline of Public Administration. It was originally related to the field of Comparative Administration which, in turn, was a undeveloped segment of Comparative Politics in American Political Science (Braibanti, 1961:139–142; Siffin, 1974; Weidner, 1970:vi–vii). The specific impetus for the academic structural differentiation of Development Administration took place in the *American Society for Public Administration* (ASPA) within which the *Comparative Administration Group* (CAG) was formed in 1960 under the chairmanship of Fred Riggs and funded by the Ford Foundation. While a part of ASPA, the CAG's interests and perspectives soon transcended the essentially American local and national government interests of that society, its primary focus became the trans-national inducement of administrative reform in the newly emerging non-Western nations, particularly in Asia and Africa. The CAG, furthermore, benefited from an informal liaison with the *Development Administration Seminar* of the *Southeast Asia Development Advisory Group* (SEADAG), financed by the *United States Agency for International Development* (USAID). SEADAG existed from 1965 to 1976, and the

first two chairpersons of its *Development Administration Seminar*, John Montgomery and Ralph Braibanti, were also active members of the CAG, therefore, ensuring continued cross-fertilisation. The work of the CAG took the form of a series of workshops held from 1962 to 1972. Some 110 of the papers presented at these workshops were published in a series of seven volumes¹⁸. These constitute the principal corpus of literature on the subject. In addition, the CAG initiated publication of a quarterly, *The Journal of Comparative Administration*, in 1969. Its name was changed in 1974 to *Administration and Society*.

The work of the CAG was greatly curtailed upon expiration of its Ford Foundation grant in 1972. It, however, continued to function in a very limited fashion as the section on *Comparative and International Administration (SICA)* of ASPA (Braibanti, 1982:1–3; Esman, 1972:41–71; Fick, 1979: 176–177; Fick, 1983:20–21 and Weidner, 1970:vi–viii). The endeavours of the CAG were in many ways complemented by that of the *Committee on Comparative Politics of the Social Sciences Research Council (SSRC)*, which published seven volumes between 1963 and 1971¹⁹. Two later volumes (Tilley, 1975 and Grew, 1978) switched from the Third World orientation of the earlier studies to testing the crises and sequences hypothesis of the SSRC against the historical experience of most of the countries of Europe as well as of the United States. CAG participants, however, generally felt that the Comparative Politics group placed excessive emphasis on the input functions of the political system, i.e. structures of participation, and too little on the output functions, i.e. management and administration (Fick, 1979:176–177 and Pines, 1985:28).

As a consequence of these activities, Development Administration was established as a significant subdiscipline of Political Science or Public Administration in the United States. Justification for this separate disciplinary identity is worth noting as they, in many ways, also related to the South African situation. Traditional Public Administration is embedded epistemologically in the classic dichotomy of policy made by the legislature and administered neutrally by a bureaucracy. While this is not

¹⁸ These volumes are: Heaphy (1971); Waldo (1970); Riggs (1972); Kornberg, and Musolf (1970); Weidner (1970); Braibanti (1969); and Thurber and Graham (1972).

¹⁹ These volumes are: Pye (1963); La Palombara (1963); Ward and Rustow (1964); Coleman (1965); Pye and Verba (1965); La Palombara and Weiner (1966); Binder et al (1971).

necessarily an accurate reflection of reality, it has conditioned Public Administration to be concerned more with process than with the formulation and initiation of action programmes.

New nations, on the other hand, emerged with ineffective legislatures, and were in reality administrative states (Gant, 1979:3–6; Pye, 1966:31–40 and Riggs, 1964:7–8). The major responsibility for initiating policy rested with the administrative system. As remarked by Weidner (1970:3) “So little of the lore of administration from one country seemed applicable to another. So little of public administration seemed relevant to development”. Traditional Public Administration has been ethnocentric, showing only minimum concern for other cultures and other disciplines (Riggs, 1970). Development Administration, therefore, inevitably required a primary orientation towards indigenous cultures and behaviour²⁰. Traditional Public Administration was in many instances, perceived to be deeply imbedded in the law and order disposition of colonial or paternalistic regimes. Development Administration aimed at a posture based on parity of esteem, mutual respect, and sympathetic appreciation of needs, aspirations and conditions of the masses in constructive relationship with an empathetic regime (Braibanti, 1976(a):171; Fick, 1979:185–187; Gant, 1979:18–24 and Goulet, 1971:331–334); Development Administration out of necessity had to be interdisciplinary and eclectic since it concerned itself with transformation of the whole social order with its intricate unbroken web of Economics, Politics, Anthropology, Geography, and most of the other social sciences. Traditional Public Administration with its narrowly defined mono-disciplinary approach could not satisfy this eclecticism (Pines, 1985:27; Riggs, 1964:52–95). Whereas Public Administration traditionally focused on maximising internal efficiency in the context of well-established governmental structure and accepted role and function ascription’s, operating in policies whose major concern rather was the limitation of government and an extension of the private domain, reality in developing countries necessitated a different perspective. The latter trend is aptly described by Huntington (1971:5) when

²⁰ In this context it was concerned essentially with the diffusion of administrative technologies from developed to developing systems and with the adaptation of these technologies to the needs and requirements of the recipient society (Braibanti, 1976(a):165–168; Braibanti, 1976(b):66–68; Heaphy, 1971:9–14; Kothari, 1974:49; Mazrui, 1972:1–84, 277–294).

addressing the dire need for order in changing societies:

The rates of social mobilisation and the expansion of political participation are high; the rates of political organisation and institutionalisation are low. The result is political instability and disorder. The primary problem of politics is the lag in the development of political institutions behind social and economic change.

The total transformation of these societies in the context of weak managerial and administrative capacities and the absence of an established civic culture (but with needs and aspirations continually causing a demand input overload on the system) was at stake. Development Administration endeavoured to address these unique circumstances, and the demands flowing from them, while also accepting the rapid and comprehensive nature of change (Fainsod, 1966:2–5; Pines, 1985:28–29; Weidner, 1970:3–10).

The period 1962–1972 was characterised by an intense academic interest in Development Administration in the United States and was described by Almond (1987:437), as a vibrant “growth industry” at the time. It also coincided with the period in which American foreign aid placed an emphasis on improving the administrative capacity of developing countries. This was indicative of an important intellectual movement in development thinking towards a people and grassroots posture, and which characterised new movement in both Development Studies and Development Administration (Braibanti, 1969:4–21; Braibanti, 1976(b):74–76; Weidner, 1970:3).

Almond’s notion of “taking the historical cure” (Almond, Flanagan and Mundt, 1973:2) was a move away from behaviouristic structural functionalism when he stated (Almond, Flanagan and Mundt, 1973:24) that:

We shall consider our purposes well served if our (present) work puts to rest efforts at monocausal explanation, remedies the neglect of the crucial role of international events in the shaping of politics, and redresses the deterministic imbalance in our developmental explanations.

Braibanti (1976(b):165-166) criticises the idiosyncratic use of Western ideas, norms and technologies in earlier development theory and describes development in circular

and non-linear terms consisting of a continuous reformulation and reconstruction of the past in terms of new perceptions of the present and the future suggesting (Braibanti, 1976(b):182) that:

... we must think not in terms of the new and the old, or of the modern and the outdated. We must think in terms of perennial reconstruction of elemental truths slightly changed by new applications. Such a non-linear view requires us to regard knowledge as being diffused and effervescent in given places and at given times in history. Developing states can then reassess themselves and the nations of which they are part, not as recipients of a superior technology, but as equal participants in an endless circular process of global sharing of ideas.

Fick (1979:172-192) analysed the shift in development theory in the light of changed departure points in the social sciences at large. In his view, post-behaviourism, with as its main tenet of relevance, involvement and action, as postulated by Easton (1969:1051-1061), had a profound effect on theorising in the 1970s. Development theory was consequently sensitised for aspects such as unique and culturally sensitive values and existence rationalities. This implied that ethnocentric and prescriptive development approaches and plans, based on the Western experience, were not necessarily applicable in Third World situations²¹.

The early 1970s, therefore, saw a significant shift in development thinking and practice. This was so mainly for two reasons. First, foreign aid became increasingly unpopular, both in donor and recipient nations. There was an increasing disillusionment, especially in the United States which was by far the biggest player on this terrain, with development outcomes. It has become clear that the Marshall Plan successes were not being repeated in the Third World (Honadle, 1979:4). Furthermore, economic decline and changed perspectives on international relations in the United States in the aftermath of the Vietnam experience resulted in a phase of isolationism. As funds dried up, research on the scale of that of the 1960s was no longer feasible (Braibanti, 1976(b) and (c)). Similarly, Third World leaders and scholars became increasingly sceptical about the motives of donor nations, both with regard to the ethnocentric Western approaches and a perceived neo-colonial

²¹ Also see Huntington (1976), Migdal (1982:13,16) and Pacey (1983:10).

exploitation in North-South relations (Fick, 1979:186–187; Hines, 1977:224–226 and Pines, 1985:29–31). Secondly, the modernisation paradigm, with its exorbitant taste for grand theory and systems analysis, began to unravel when no intellectual consensus on the nature of such theory emerged and sound analysis and predictions of development outcomes remained illusive. The rise of neo-Marxist analyses such as the dependency theory, which originated in Latin America²² and impacted substantially, mainly in European development theorising, also threatened the hegemony of the modernisation paradigm (Hines, 1977:225, 227).

Esman (1988:129) regarded it as remarkable that the intellectual interest in development survived these powerful trends at all. But, a small group of scholars continued to find research opportunities, to teach and to maintain contacts in new nations. According to Esman (1988:129), modest opportunities for research continued to be generated outside the United States, particularly in the United Kingdom, Germany and Holland. Although consensus thinking did not emerge during the period leading up to the 1980s either, certain perspectives developed by individual scholars did gain prominence.

Honadle (1982:174–175) points to the significant shifts in perspective that Development Administration underwent between 1960 and 1985. This author notes that by 1980 Development Administration, was “...the study and practice of induced socioeconomic change in the low income countries of the world. The image is transformational, directive, and cross-cultural ...”. Themes identified by him (Honadle, 1982:175–176) have become important during the 1980s and even the 1990s. These include paying increasing attention to the project level, community-orientated or small-scale development, local knowledge, participation, the role of equity in the implementation of development, and empowerment. In this context, authors such as Dwivedi and Nef (1982: 74) also stress that on the whole, development in the 1980s was characterised by goals such as self-reliance, basic needs, social justice and the eradication of poverty and that it was expected of Development Administration to promote them. According to Luke (1986:74) there is no paradigmatic consensus in

²² A vast corpus of literature on dependency theory exists. The origin of this paradigm is, however, generally ascribed to Latin American theorists such as Cardoso and Faletto (1979); Frank (1969); Furtado (1976) and Sunkel (1973).

Development Administration. He also notes that such a consensus need not be desired or expected²³.

In particular, the move away from the historical paradigm in Development Administration during the middle 1980s, was spearheaded by Rondinelli (1985(b):196–199), who distinguished four stages in the development of this school of thought²⁴. These include the shift to political modernisation and administrative reform, institution building, project planning and management, the equal distribution of the benefits of development and the involvement of people who are affected by development. Since then²⁵, this school of thought has been taken further by scholars such as Luke (1986), Esman (1988) and Dwivedi and Nef (1982). Notes on the focus of Development Studies and Development Administration that were sent out to students (by the *Department of Development Administration, UNISA*) provides a fascinating perspective on present understanding of the topic²⁶. It describes the central thrust of Development Administration as action that facilitates development. According to this definition, actors in the bureaucracy are still included. But also included in this is a far wider range of actors including the public, as manifested in numerous organisations and movements in the public and private sectors. The forms of action have also broadened, and where some thirty years ago the accent was probably more on directive, paternalistic state action, the discipline today engages approaches that define development action as extending to spontaneous action of the public. In addition to including this variety of development practices, the current discipline has produced more critical approaches to the study of these practices. Development Administration tries to conceptualise the development problematic of the Third World, the process of development, and the context within which development occurs. A grasp of these is necessary to explain, understand and evaluate development-related interaction.

Fifteen years after Development Administration experienced an existence crisis, the subject had developed to such a degree that it was described by Luke (1986:73) in the

²³ The author (Luke, 1986: 75) does identify common concerns as building effective administrative capacity that is responsive, accountable and equitable.

²⁴ See Rondinelli, 1985(a) and (b).

²⁵ It is interesting to note that the *Department of Development Administration at UNISA* has effectively contextualised these needs in their syllabis. See *UNISA Study Guide OAD100-R* of 1989.

²⁶ Interview with Dirk Kotze on 12 May 1995.

mid-1980s as being a recognised and established independent “enterprise of academic study and practice”. This author, when referring to the rapid increase in literature on the subject and a large number of specialist journals in the field, notes that a

... development administration community with entrenched interests in fostering exclusivity of expertise in the interpretation of the management and administration of development and in the mediation of the relationship between the subject and related branches of the social and environmental sciences

had already come into being through the appointment of Development Administration specialists at universities, research and training organisations and development agencies²⁷ (Luke 1986: 73-74).

1.3.3 POLICY MANAGEMENT IN THE CONTEXT OF DEVELOPMENT STUDIES AND DEVELOPMENT ADMINISTRATION

The Development Administration literature of the 1960s, 1970s and even the 1980s make practically no reference to policy studies, policy analysis, policy processes or policy management²⁸. In assessing the extent to which policy management appears in the historical development of Development Studies and Development Administration, a clear distinction should be made between, on the one hand, policy being treated instrumentally as a mere parameter of development, and the nature of appropriate forms of macro and sectoral policy, or on the other hand, an approach in which the design, facilitation, management and evaluation of the most appropriate and effective policy processes within the realm of all the constraints and opportunities of developing societies is being scientifically addressed. The lastmentioned category is crucial to this discussion. Some observations are important. Braibanti’s (1979:455–461) very useful synoptic chart, summarising the theoretical constructs on development of thirty of the most prominent scholars in this field during the period 1958–1973, indicates only two

²⁷ See by way of example the book by Smith (1992) entitled *Progress in Development Administration: selected papers from Public Administration and Development, 1981–1991*, for comparative perspectives on this issue.

²⁸ It is acknowledged that scholars of the 1960s and 1970s were fully aware of the policy level (although not explicitly articulated or formulated as such) and that they attempted to influence this sphere through interventions at the political and administrative levels. Policy, as understood in present-day terms (see Chapter 3), actually received prominent attention in indirect terms, but was never called so explicitly. Such manifestations do not warrant a special discussion in this study.

explicit references to policy aspects in terms of the requirements set out above. Lasswell (1965:286–310) published an article in 1965 titled; “The policy sciences of development”, but on closer examination of the content it is clear that he merely lists and analyses policy positions, such as self-sustaining power accumulation, power sharing, national independence, and the more, which he regards as vital in achieving national development. He does not focus on policy processes. Albinski (1971:v–vi) identifies “political development of public policy” as one of five requirements of development.

A similar picture emerges when the classic series on development of both the *Comparative Administration Group of ASPA*²⁹ and the Committee on *Comparative Politics of the SSRC*³⁰, discussed above, are analysed. Themes such as elite and leadership roles, participation and democracy, bureaucracy and capacity building, and development assistance are recurrent, but the mechanics of policy making and management are conspicuously absent. The pattern is not significantly different when the development theory of the 1980s is examined. Although Almond (1987:474) identifies “comparative public policy studies” as one of eight fields of study within the discipline wherein solid accomplishments have been achieved towards the end of the 1980s, all the examples of distinguished scholarly work that he mentions focus on Europe and North America and don’t address the particular conditions prevalent in developing societies.

In the context of this study, it can be said that Development Studies and Development Administration neglected the field of policy management³¹ during the last 20-odd years. The focus that this studyfield developed on subject-matter-specific analysis (for example education, agriculture, development planning and others), the development focus and a participatory approach, provides the ideal context in which a greater

²⁹ Heaphy (1971); Waldo (1970); Riggs (1972); Kornberg, and Musolf (1970), Weidner (1970), Braibanti (1969); Thurber and Graham (1972).

³⁰ Pye (1963); La Palombara (1963); Ward and Rustow (1964); Coleman (1965); Pye and Verba (1965), La Palombara and Weiner (1966); Binder et al (1971).

³¹ Specifically the areas of policy process management and institutional arrangements. Departments of Development Studies and Development Administration did devote their attention to policy analysis in various specific fields. It should be noted that the *Department of Development Administration* at UNISA instituted a policy and strategy dimension to their syllabus (Course III, Paper I) during 1995 (UNISA Calender, 1995:245). Interview with Dirk Kotze on 21 June 1995. Also see the discussion, later in this section, on policy management.

emphasis could be placed on process dynamics, policy management and policy studies³².

1.3.4 DEVELOPMENT STUDIES AND DEVELOPMENT ADMINISTRATION IN SOUTH AFRICA

Although in a totally different political context, the interest in and growth of Development Administration in South Africa to a large extent paralleled early trends in Development Administration in the United States³³. In South Africa the *Rand Afrikaans University* became the first academic institution to institute a *Department of Development Administration* in 1970. By 1975, the *Universities of South Africa, Stellenbosch, Fort Hare, the University of the North and Potchefstroom* had followed suit. Typical Development Studies and Development Administration topics had, however, for some time been included in comparative government courses in Political Science and in the course material of *Departments of Comparative African Government* and so-called “*Native Administration*” which then existed at some universities (Fick, 1983:20–21). At present, Development Studies and Development Administration is also being taught at the universities of *Fort Hare, Venda and Northwest*. The *University of the Witwatersrand* offers Development Studies at a post-graduate level, whilst the *Universities of the Western Cape and Port Elizabeth* both have Research Institutes of Development Studies (Fick, 1983:21; Cloete, 1992:76). A discussion of all such departments is not warranted here (see section 1.3.5 as well as Appendix A).

³² It is apparent from interviews with Hennie Swanepoel and Dirk Kotze (*Department of Development Administration, UNISA*) as well as with Julius Jeppe (*Faculty of Management, University of Stellenbosch*) that these and other similar departments at South African Universities did neglect these fields. Reasons given for this tendency include the fact that this discipline was relatively new and that certain basic areas of focus had first to be consolidated (such as community development, the meaning of development, urbanisation, education, health and others), the political context and, the fact that the international experience in development too, neglected this field.

³³ The American developments in this field, as discussed above, had a major impact on the local situation. Apart from the American intellectual dominance in this field, South African scholars with an American academic background such as W B Vosloo and D Worrall (both who graduated from Cornell University) and J C Fick (who graduated from Duke University), as well as local practitioners such as D J Kriek and J J Olivier, had a profound impact on this orientation. Development Studies and Development Administration in South Africa was by and large modelled on the North American experience (Fick, 1983: 21–22). For a discussion of various themes that have developed independently, but that were closely intertwined with the then American Comparative Politics and Administration, see Kotze (1977: 238).

Of particular importance in the South African situation was the vehement, and sometimes even acrimonious, debate that developed between traditional Public Administration specialists and developmentalists. The debate took place roughly within the same parameters as the United States debate already discussed. Turf battles on disciplinary boundaries have been especially damaging to the fields of Public Administration and Development Administration historically, and to some extent still continues³⁴. In coherence with international developments in the discipline, as well as the reality of the South African situation it was, furthermore, realised over time that a rigorous concentration on the administration of development constituted an approach that was too narrow and insufficient to address the complexities of development theory and action (Fick, 1983:30). By way of example, the *Rand Afrikaans University (RAU)* changed the name of its department to Development Studies in 1982 and this, according to Cloete (1992:75) indicated:

... a change in character; it shifted its focus from the administration of development to a much wider target. Today, Development Studies is conceived at *RAU* as an applied, comprehensive and multidisciplinary field of study, aimed at identifying the diverse problems of developing societies. In addition, solutions for more appropriate development objectives, policies and strategies are devised in order to accelerate the process of sustainable development. Such a process is aimed at improving the quality of life of all the members of those societies.

Some other South African universities have since also instituted similar name changes, and, according to Cloete (1992:72), others still maintain the name Development Administration “purely because of interdepartmental ‘turf battles’” although the content of their curricula corresponds closely to course material typical of Development Studies. The observations of Cross, et al (1990:50) provide an

³⁴ This issue is not dealt with in detail. However such confinement of policy as subject to specific disciplines has implications for the functioning of the institutional system as a whole. See the recommendations of this section and institutional arrangements, Chapter 5. The evolvement of Development Studies and Development Administration and its relation with Public Administration historically, was discussed with Hennie Swanepoel and Dirk Kotze of UNISA (interview on 12 May 1995 and on 21 June 1995), and with Julius Jeppe of the University of Stellenbosch (interview on 13 December 1995). For a discussion of the historical development of the disciplines of Development Studies and Development Administration in South African context, see the discussion by Dirk Kotze as contained in the *UNISA Study Guide OAD100-R* of 1989. Also see his earlier work entitled *The rise and decline of native Administration* (Kotze, 1977). This publication also sheds light on the then arguments for and against Development Administration as a separate discipline to Public Administration.

interesting perspective in this regard:

... the established disciplinary boundaries are holding South Africa universities back from playing the role they desperately need to play in the rebirth of a country undergoing fundamental changes. University departments working in the development arena need to be able to follow the process wherever it leads, without being told that they are theoretically directionless and have to stick within accepted academic boundaries. The integration of fields of study at traditional universities is not easy. The tendency in South Africa seems to be towards discouraging enterprises of a multidisciplinary nature other than perhaps in institutes. At present, 'development studies' is permitted to exist as a separate teaching department and a full undergraduate major at only one or two 'white' universities. Consequently, the study of development is not freely available in this country at university level.

Although Development Studies, Development Administration and Public and Development Management scholars in South Africa continued to bring specific development issues to the fore, it is important to note that development as a theme mushroomed, especially during the 1980s and 1990s in the context of the reconstruction and development theme. Consequently, a variety of academic disciplines focused on development. This trend should be welcomed by development theorists and practitioners and actually implies that early scholars were successful in making it possible for development to become a central theme during the 1990s. The nature of the development debate during the 1980s and 1990s has been multidimensional and a comprehensive overview of such trends in development theory is not warranted in this discussion³⁵. Trends in development theory during the 1980s and 1990s do however indicate that the evolution of a number of strategic areas emphasise the importance of policy management. By way of example, the focus on human-scale development³⁶ as a reaction to macroeconomic approaches, and the emphasis on participation and development management as well as issues such as globalisation, emphasises the importance of a multidisciplinary approach and the value of cross-cutting

³⁵ Although not discussed in the text above, the reader may wish to consult Cornia et al (1990), Gran (1983), Ingham (1993), Munslow and Fitzgerald (1994), Rondinelli (1985(a) and (b)), Onimode (1990), UNDP (1990), and World Bank, (1990(b)).

³⁶ Notably, South African scholars in Development Economics, such as Stef Coetzee, Johan van Zyl, and Elwil Beukes, also affiliated to the *Society for International Development (SID)*, played an important role in introducing human scale development dimensions to local development theorists and practitioners (also consult Max-Neef (1982 and 1989)).

methodologies.

1.3.5 PUBLIC AND DEVELOPMENT MANAGEMENT

The prominence of policy management at South African Universities shows that especially the Public and Development Management disciplines have devoted significant attention to the subject. It is of interest to note that the field of Public Administration has given detailed attention to policy elements (Chapters Three, Four and Five as well as Hanekom (1987), Anderson (1979), and Cloete (1993)), although largely with regard to the executive and administrative dimensions. The conceptual change from Public Administration to Public Management at South African Universities took place during the mid-1980s, with the *University of Stellenbosch* being the first to introduce a *School of Public Management*³⁷. The *University of the Witwatersrand*³⁸ (*Graduate School of Public and Development Management*) followed, together with the *University of the Western Cape* (*School of Public Policy and Public Management*) and the *University of Durban-Westville* (also a *School of Public Policy and Public Management*). By way of example, the *School of Public Management* at Stellenbosch focuses on three key areas, namely management, development and policy studies³⁹. Policy Studies is taught to first, second, honours and masters students and inter alia includes an interesting cross-section of literature on the subject⁴⁰. The *Graduate School of Public and Development Management at the Witwatersrand University* has, especially since 1994, given prominent attention to policy management and is in all probability the South African leader of the new public administration paradigm⁴¹. Other than the disciplines of Development Studies, Development Administration and Public and Development Management as discussed above, other departments and institutes for example, the *Centre for Policy Studies*

³⁷ Interview with Fanie Cloete on 13 December 1994 and 24 February 1995.

³⁸ Interview with Mark Swilling on 29 June 1995 and 27 July 1995.

³⁹ Respectively presented by Erwin Schwella, Julius Jeppe (interview on 13 December 1994) and Fanie Cloete (assisted by Ivan Meyer).

⁴⁰ Such as Anderson (1979), Bayat and Meyer (1994), Dunn (1994), Hanekom (1987), Hogwood and Gunn (1984), Meyer et al (1995) and Wissink (1990). These sources are dealt with in detail, see Chapters Two, Three and Four. Courses also include qualitative and quantitative techniques, risk analysis, the Delfi technique, forecasting, brainstorming techniques and option analysis.

⁴¹ Specifically note the specialised courses on policy management where specific attention is given to policy process facilitation. These concepts are brainstormed and applied practically e.g. through case studies of actual South African policy experiences.

(CPS) under the leadership of Steven Friedman, exist who have also been focusing on policy or related fields at South African research organisations and universities⁴². One such example is the *Centre for Interdisciplinary Studies* (also at the *University of Stellenbosch*) which addresses three key areas, namely research methodology, policy on science and technology and interdisciplinary approaches, especially between the natural and social sciences. Of particular note is the second key area, which includes a recent exercise consisting of a survey of all research done within the public sector as well as at South African universities⁴³. It is of interest to note that some of the technikons have also adapted their courses. For instance, the *Technikon, Mongosuthu's School of Public Administration*, envisages the introduction of a National Higher Diploma in Public Management and Administration. The *Peninsula Technikon* (Martin van Zyl) has introduced courses for members of civic organisations.

1.3.6 STRATEGIC INITIATIVES

A number of strategic initiatives took place which symbolises the coming of a new approach to the above fields. Of particular significance has been the workshop on "*The way forward for South African Public Administration*", held at *Mount Grace* from the 24th to the 26th of November 1991. This initiative, which involved all key players within the system as well as those previously acting outside the system, developed into the now well-known *New Public Administration Initiative (NPAI)*⁴⁴. The *Mount Grace* meeting adopted a number of resolutions. These included the following: the current theory and practice of public administration in South Africa is in crisis in that it is too descriptive, lacking sufficient analytical, explanatory and predictive techniques; and that it is reductionistic, and therefore restricts Public Administration to one view of the administrative process only. Public Administrative approaches also ignored other dimensions of and approaches to government; and these approaches had been too fragmentary, causing artificial boundaries to develop within Public Administration and between Public Administration and Development Administration. Public

⁴² An assessment of such other departments who may also be involved in policy studies have not been made. Research organisations such as the *Human Sciences Research Council*, the *Centre for Policy Studies (CPS)*, the *DBSA*, the then *Urban Foundation* and others are dealt with in the subsequent Chapters and are not discussed here.

⁴³ Interview with Johan Mouton on 13 December 1994.

⁴⁴ Interview with Jan Koster on 15 January 1992.

Administration suffered from racial and gender imbalances historically associated with apartheid, and it was therefore outdated in a rapidly transforming society, such as South Africa.

The *Mount Grace meeting* decided that new approaches to the study, teaching and practice of Public Administration were necessary. This entailed the promotion of a more democratic, inclusive and participatory government and public service; a just, equitable and non-racial society with equal access for all people to societal resources; the provision of better public services to enable people to improve their quality of life and become more self-reliant; maintaining sustainable economic, social and political growth and development; and the promotion of values such as efficiency, effectiveness, productivity, accountability, responsibility and responsiveness. It was also noted that more rigorous scientific analysis, explanation and prediction of governmental and administrative phenomena was necessary to supplement mere description. The meeting furthermore decided that it was therefore necessary to encourage an open and critical debate on explanatory models, and that an explicit developmental focus must be established in the place of the existing control- and regulation-orientated one. This should include rationalisation between Public Administration and Development Administration and the development of pro-active and useful international networks (McLennan and Fitzgerald, 1991)⁴⁵. At present new academic centres of excellence – such as the *Fort Hare Institute of Government*, which was launched on Friday, 2 June 1995 – are being established in the public management field. This *Institute*, headed by Derrick Schwartz as Director, is seen by key players as pivotal in developing local capacities for public service orientation and training. The Institute is also expected to play a role in the provincial context. The links that the *Institute* has with international centres of excellence, such as the *Civil Service College* near *Sunningdale* in the United Kingdom are important. Of late (July 1995) the *Consortium Project*⁴⁶ has been of particular significance and is likely to foster coordination amongst the major public

⁴⁵ Interview with Jan Koster on 15 January 1992. Interested readers should consult the original Mount Grace papers, see the publication entitled: *The Mount Grace Papers: The New Public Administration Initiative and the Mount Grace Consultation* (McLennan and Fitzgerald, 1991).

⁴⁶ Also known as the *University based Management Development Programme (UMDP)* which is jointly managed by a steering committee consisting of Eric Molobi (Chairperson), the *University of Pretoria*, *University of the Western Cape*, *University of Durban-Westville*, *University of Fort Hare*, *University of Stellenbosch*, and the *University of the Witwatersrand* (interview with Mark Swilling on 29 June 1995).

management schools and may lead to effective university support for the training of civil servants⁴⁷.

Fundamental constitutional and political change (section 1.2), and a range of developments such as the above have changed the public administration strategic context significantly⁴⁸. The *Interim Constitution* gives prominent attention to the management of the public sector by inter alia providing for a *Public Service Commission*, which is placed in a totally different political and constitutional paradigm than the previous *Commission for Administration*, (De Coning, 1994 (a)). A *Department of Administration* presently under the leadership of Minister Zola Skweyiya was established. This encourages the belief that Government initiatives will provide a strong impetus for a reviewed approach toward public management. The much debated *Draft White Paper on the Transformation of the Public Service* was released for comment during May 1995. This policy initiative will, no doubt, contribute much towards the above debate and an ongoing revision (and therefore analytical work) of policy principles and strategies are expected.

1.3.7 CONCLUSION

It can be expected that policy management within the development context will receive increasing attention from academia. The institutionalisation of policy capacities, in and outside government will also become essential. In the academic context, strategic indicators show that international and local trends and tendencies earmark a renewed interest in policy studies and policy management as a cross-cutting methodology. Likewise, some specific implications exist for the development and academic community, also at university level.

The discussion on the theory of policy management (Chapter 3) shows that a rich source of literature exists in policy studies, including policy analysis but also, more recently, on policy process management and institutional arrangements. In essence, it

⁴⁷ Estimated to train 18 000 civil servants per annum (interview, Mark Swilling on 29 June and 27 July 1995).

⁴⁸ It is apparent from an interview with Dirk Kotze (21 June 1995) that several Departments of Public Administration at South African Universities would have to make a serious attempt to introduce significant shifts in thinking regarding the context and content of the discipline. A development orientation, such as is to be found in the disciplines of Development Studies and Development Administration as well as Programme and Development Management is imperative.

is concluded that both these dimensions bring to the development practitioner and theorist valuable techniques, models and considerations whereby improved policy processes can be facilitated. Important work still needs to be done to practically apply and further develop international and local material. In this context, and with regard to the academic community, it is clear that the potential exists for, especially certain disciplines, such as public and development management, as well as Development Studies and Development Administration, to make a valuable contribution in marrying strategic considerations with conceptual contributions. It is also important that centres of excellence, such as institutes or centres devoted to policy development and policy learning, be established and developed. Present capacities, in and outside Government, may form the nucleus of such a future system. Much will however depend on the eminent restructuring by the South African Government, of for example, existing policy capacities⁴⁹.

Moreover, there are several opportunities for South African universities to explore their potential and respective roles and responsibilities in the policy field. Existing research and analysis capacities in the majority of disciplines at South African universities represent an important professional capacity. Much could be done to ensure that research priorities are aligned to reconstruction and development objectives and that a programme of research, which contains symbiotic and mutually inclusive elements, be actively managed and coordinated. Given the above, the South African family of universities should also ensure that intellectual focal points regarding policy analysis, policy management and related disciplines are adequately institutionalised in existing departments to ensure that university contributions support essential policy processes. In this regard, several specific considerations are important. Potential networking with international (including African) universities, local centres of excellence and key public sector units will ensure direct operational involvement. Cross-cutting, lateral methodologies, such as policy management, are by definition interdisciplinary and multidisciplinary and may link the services of various departments or even market present research. The important and already existing policy analysis emphasis in Development Studies and related academic disciplines should not obscure

⁴⁹ Such as the *Human Sciences Research Council (HSRC)*, the *Central Economic Advisory Service (CEAS)* and the *Centre for Policy and Information, DBSA*. This issue will be dealt with in Chapter 5.

the importance of process facilitation, policy processes and policy management. These aspects may allow policy facilitation to play a catalyst role in unlocking valuable analysis capacities at South African universities.

As will be discussed in Chapter 5, international experience suggests that a total package of non-governmental and governmental support should be considered for policy processes. In the South African context this not only suggests rethinking public sector policy, information, evaluation and planning capacities at the intergovernmental and organisational level, but also making some innovative adjustments to allow coordination and engagement with extra-governmental capacities. These include institutes, centres and other concentrations of specialist knowledge, such as at universities. Innovative policy courses for senior politicians and civil servants, middle management training and operational exposure are areas which hold much potential for future cooperation between universities, independent research centres, and government. In this sense too, it is important that various capacities coordinate their various contributions, so that optimal support can be rendered. The *University-based Management Development Programme (UMDP)* already referred to, is an exciting example of this kind of initiative. It is foreseen that such initiatives could provide specific policy training for senior civil servants, and that the content of courses will be thoroughly considered and introduced as part of a well-managed capacity-building initiative.

1.4 BACKGROUND TO THE STUDY

The author's interest in the policy management and development fields evolved over the last six years (March 1989 to June 1995), from inter alia direct involvement in the facilitation of policy processes in the operational and policy complexes of the *Development Bank of Southern Africa (DBSA)*. In particular, exposure to the *Programme Management Group (PMG)* as well as to the *Centre for Policy and Information (CPI)* contributed to a growing interest in this field. Prior to this period, experience in research methodology and actual field research at the *Department of Development Studies* at the *Rand Afrikaans University* (July 1985 to February 1989) strengthened the interest in methodological issues of development.

The author embarked on a literature search and completed a subsequent preliminary analysis and assessment of the material for the purposes of the research proposal of this study between 1989 and 1992. Following an in-depth discussion with Hennie Swanepoel on 5 February 1992, a research proposal was subsequently prepared and discussed with an internal and external panel at the *Department of Development Administration, UNISA* on 13 August 1992. The author subsequently registered for formal *D LITT ET PHIL* studies at the above Department in 1993⁵⁰. During the same year, the author conducted three months of fieldwork for the empirical purposes of the study (May to August 1993) and recorded and published these findings in the latter part of the year (discussion of the *CDDR* case study below). The following year, 1994, provided the opportunity to complete the analysis part on specialised literature (especially policy processes and their institutional arrangements). During July of the same year a research visit was undertaken to the United Kingdom and the United States of America which enabled the acquisition of contemporary material and the opportunity to interview experts and lecture on the topic. Following discussions with the promoter, during which a comprehensive view was taken on available study material during 1994, the actual development of draft and final chapters of the thesis, took place from October 1994 to September of 1995.

Prior to formal registration for study, some specific experiences have been of particular significance, having often provided valuable lessons of experience in later years. During the late 1980s and early 1990s, several experiences at the *Development Bank of Southern Africa (DBSA)* showed that a very close link existed between project experience and policy processes. Particular initiatives which will be referred to⁵¹ during the course of the study, include the role of *DBSA* in the review of the 1986 *White Paper on Urbanisation*, the drafting of the *MTC*⁵² *Policy Framework on Urbanisation* under the leadership of Stef Coetzee, the theoretical work underlying *Urban Development Plans (UDP's)*, and support work for the facilitation of *Regional*

⁵⁰ An exposition of the study period, inclusive of planning, programming, budgeting and methodologies used, is given in section 1.7.

⁵¹ Details regarding operational initiatives are not provided here. Such references will be given in the various chapters in an applied context.

⁵² *Multi-Lateral Technical Committee of the Secretariat for the Economic Community of South Africa (SECOSAF)*.

*Economic Development Forums*⁵³ (REDF's). The above initiatives raised very basic questions as to the subject matter: What is the actual generic process being followed in attempts to redraft policy? What factors are influencing the policy formulating process and which of those have a dominant effect? How can policy analysis be improved? What frameworks are available to improve policy making endeavours? How can we apply these models to evaluate and plan policy? What are the key principles and considerations regarding the management (institutional arrangements) of policy processes?

Following a literature analysis of the local and international experience⁵⁴ and finding significant frameworks for practical application, it was decided to initiate a formal study in the field. Theoretical underpinnings of the studyfield proved to be directly relevant to several technical assistance projects of a policy nature.⁵⁵ Models for policy making processes (Chapter 3) proved especially valuable and two particular models showed potential for further development (Chapter 4). The *Dikhololo Workshop* in early 1994 provided the opportunity to clear several theoretical issues with scholars of the *John F Kennedy School of Government* (Harvard), and culminated in the publication of a review entitled *Review on policy skills* (De Coning, 1994 (b)). The theoretical components described above lead to the further development of two dimensions; the broadening of our understanding on institutional arrangements and the further development of the generic process model (also see De Coning, 1994(a)).

During 1993 a unique opportunity to conduct research for the empirical purposes of this study arose when the author was asked to participate as a technical expert on the *Technical Support Team (TST)* of the *Commission for Demarcation and Delimitation of Regions (CDDR)*, appointed by the *Multi-Party Negotiating Forum (MPNF)* during the political negotiation process at the World Trade Centre. After discussions with the

⁵³ Towards the end of 1993, a framework for an institutional audit for the Eastern Transvaal was prepared by DBSA on request of the *Eastern Transvaal REDF*. This framework originated from earlier work done for the *Transitional Executive Council (TEC)*.

⁵⁴ Apart from a literature analysis on international material through local scanning and gathering, the author has been fortunate in obtaining such material on a research visit, specifically for this purpose, to the *World Bank*, the *Kennedy School of Government (Harvard University)* and the *Civil Service College at Sunningdale in the United Kingdom*.

⁵⁵ Applied during the facilitation of three workshops, respectively at *Graduate School of Public and Development Management (P & DM) Witwatersrand University* (twice) and at *Potchefstroom University*. Workshops typically consisted of a theoretical module, a case study exercise and a *RDP* simulation exercise.

promoters of this study, it was decided to monitor, record and analyse the exact policy process that was followed by the *CDDR*. Involvement in this process provided the opportunity to be directly involved in the actual policy making exercise and provided the opportunity to pro-actively plan the research component of this study and thereby record the exercise for analytical purposes. The case study proved valuable in identifying actual steps followed and generic options with regard to improving considerations for the application of the generic process model.

A pilot study⁵⁶ was performed and for the purposes of this study, a document entitled *Recordings of the CDDR exercise* was compiled. These findings were subsequently reviewed and published under the title: *The territorial imperative: towards an evaluation of the provincial demarcation process* (De Coning, 1994(c)). Preliminary retroductive analyses (De Coning 1994(b) and Khosa and Muthien, 1994) showed that, by using this case study and the theoretical frameworks discussed above, problem-solving processes followed in similar applications, could be much improved. This study accordingly endeavours to develop a particular process framework for the purposes of both evaluating present and past policy making processes as well as to suggest a generic framework for the future planning of such processes.

During the final two years of formal study (1994 and 1995), several opportunities arose that provided the opportunity to apply the theoretical frameworks developed in this study in empirical settings (De Coning, 1994 (b) and (c)). In particular, the practical application of the generic process model (Chapter 4) and the institutional framework for policy management (Chapter 5) proved to be of direct relevance to actual policy formulation exercises. These proved to be of value in its actual application and showed that an array of other potential support actions are possible. These initiatives furthermore sharpened the analytical tools employed in the empirical case study (Chapter 6). For the purposes of furthering discussion and debate on the topic, a publication, entitled *A development perspective on policy management: from analysis to process facilitation*, was completed on the above themes on request of Africanus, the *UNISA Department of Development Administration* periodical (De

⁵⁶ According to Mouton and Marais (1985:43) the advantage of a pilot study is that new insights are gained and more structured studies are undertaken. The authors also point out that pilot studies have the advantage of allowing the researcher to prioritise and to develop new hypotheses.

Coning and Fick, 1995) and was presented to groups such as the *Fisheries Policy Development Committee (FPDC)*, during June 1995. This publication was also subsequently used in course material, facilitated by the author on 31 July and 7 August 1995 at the *Graduate School of Public and Development Management (University of the Witwatersrand)* and subsequently at *DBSA* as part of an *Executive Management Course*.

Practical exercises which also proved to be particularly helpful were firstly, a policy course developed for this purpose during 1994, a simulation exercise of a *RDP* meeting and a case study exercise on the actual *CDDR* process for public sector officials of the *Gauteng Province* (on request of Mark Swilling, at the *Graduate School of Public and Development Management of the Witwatersrand University*). Subsequently, this exercise was repeated for a group of *Eastern Transvaal Provincial officials* as well. During 1994 a policy course was designed for a group of Masters of Economics students at the *Potchefstroom University for CHE* (on request of Hentie Boshoff). Another actual exercise in which the application of the generic process model in this study was applied with relative success, was the workshop which the author facilitated on request of the *Fisheries Policy Development Committee (FPDC)* in Durban on 10 June 1995. The *FPDC*, a representative body, appointed by Minister Dawie de Villiers to recommend policies on marine resources and the fisheries sector, made direct use of the institutional framework and generic process model as developed in this study.

During the final two years of formal study (1994 and 1995), the author also became increasingly involved through his work at *DBSA* in actual analytical work on the institutionalisation of policy capacities in government and the transformation of *DBSA* itself. Being involved in several policy programmes⁵⁷ which conducted analysis for the transformation, these experiences provided the opportunity to apply the material in this study. In particular such analysis was done for the *Transformation Team* under the chairmanship of Wiseman Nkuhlu which made recommendations to Government⁵⁸ and

⁵⁷ Specifically the *DBSA* policy programmes on constitutional transformation, macro-institutional arrangements and the policy on policy theme. Consult Appendix One for a full exposition of the *DBSA* policy programmes.

⁵⁸ Recommendations of the Nkuhlu Team were presented to Deputy Minister Alec Irwin during May 1995 for subsequent discussion by Parliament during August 1995.

analytical work for the Minister Jay Naidoo investigation in the transformation investigation of several professional support organisations⁵⁹. During 1994, technical assistance was also rendered to the *RDP Office* on its strategic functions and related policy capacities, and to Minister Tito Mboweni on the institutionalisation of policy, information and evaluation capacities in the *Department of Manpower and Labour*. Although only in an observing (advising) capacity, involvement in the actual formulation of the 1994 *Reconstruction and Development Programme (RDP) White Paper*, which was at the time being developed at *DBSA* under the coordination of Andre Roux, proved to be an interesting comparative experience in policy formulation.

At provincial level, the author was also involved in providing assistance to the *North West Province* (Job Mokgoro), the *Eastern Transvaal Provincial Government* (Matthews Phosa and Pieter Roodtman) as well as the *Eastern Cape Provincial Government* (Thozamile Botha and Clive Menzel) on considerations for a provincial strategic unit with special emphasis on policy and related analytical capacities. A related *DBSA* assignment of note was the focus on provincial policy and information capacities, such as in the Eastern Transvaal and Eastern Cape.

Opportunities to apply the theoretical frameworks of policy management in non-governmental and private sector settings were also made use of. In several instances, technical support was provided in collaboration with private sector facilitating capacities (e.g. the *Consultative Business Movement (CBM)* on regionalism and fiscal systems), or on behalf of forums in which the private sector precipitated (e.g. *Regional Development Forums* and the *Fisheries Development Committee*). Such applications were possible during the course of facilitating workshops for the purposes of strategic planning, inter alia for the national directors of *Ernest and Young*, The *Executive Committee* of the *Transvaal Provincial Administration*, the *Afrikaanse Handels Instituut (AHI)*, the *KwaNdebele Rural Job Development Association (RJDA)* and in providing more informal strategic advice to smaller companies, such as consultancies (*Impetus Developments Pty. Ltd.*), textile companies (e.g. *J G Train and Company*),

⁵⁹ The Naidoo process started in December 1994 and continued until June 1995. This process involved a participatory investigation into options for the restructuring of the *CPI*, the *Central Economic Advisory Service (CEAS)*, the *National Productivity Institute (NPI)*, the *Central Statistical Service (CSS)* in functional terms (Heymans, 1995).

and gardening services (e.g. *Half-a-Bee cc.*) as well as strategic and business planning for *Surrender Hill Mountain Lodge*. This affirmed the universal application possibilities of policy management.

At the constitutional level, the author also participated in the initiatives of the *Commission for Provincial Government (CPG)*⁶⁰, especially through facilitating sessions of the intergovernmental workshops where policy, together with information and evaluation capacities, were discussed. In this context, it must be observed that the constitutional negotiations, which took place during the study period, provided the ideal context and specific experiences (such as the demarcation exercise) to further the study. The value of this transcends the case study only and, over and above major issues such as the new democratic political context, had a direct impact on institutional transformation, a study area which is of direct relevance to policy management. In this regard, the author published Chapter Two, entitled *Development perspective on constitutional arrangements*, of the *DBSA* publication: *South Africa's nine provinces: a human development profile* (De Coning 1994(a)).

With regard to *DBSA* at the organisational level, a series of in-house activities have been of direct relevance to the study. In general terms the operational exposure as policy analyst, project leader and institutional specialist provided a valuable practical setting for the study. In later years, as divisional manager, the author was fortunate to gain management experience in the *Centre for Policy and Information (CPI)* where strategic and operational management of various policy and information programmes entailed the full spectrum of policy management. At an analytical level, policy assignments, policy cooperation grants and workshops focused on several themes that are of strategic importance to the study. These include, a study on the institutionalisation of policy, information and evaluation capacities, profiles on international centres of excellence, policy capacities at the provincial level and base work on specific models for policy making and techniques for issue filtration. In particular, the *CPI Policy Programme* dealing with the policy on policy theme is of

⁶⁰ Chaired by Thozamile Botha and Tjol Lategan. The technical support was provided by Douglas Irvine and Jimmy Vermaak. The author managed a *DBSA* Policy Cooperation Grant project and participated in the rendering of technical assistance to the *CPG* in facilitating a range of workshops to elicit input for the *Constitutional Assembly* and *Theme Committees*.

significance. Over and above analysis and research, the programme hosts, on an annual basis, interns from Harvard University on the public policy theme. These intern programmes have proved to be of great value in making contemporary international material available for local use. It should also be noted that the literature of and exposure to South African specialists on policy proved to be of great value to the study (particularly Fanie Cloete, Henry Wissink, Lawrence Schlemmer, Steven Friedman and Mark Swilling).

This study has been far more than a mere academic exercise. It confirmed to the author the importance of a scientific base and academic discipline in approach, the value of theoretical bases, and empirical and comparative experiences. Following the completion of a part-time Masters degree in Development Studies during 1987, the author gained practical experience as project leader and policy programme manager for some five years before attempting this study. The study provided the opportunity to explore policy processes and the management thereof and has created the opportunity to experience a rich source of academic literature which would not otherwise have been available. Exposure to actual policy making processes and being able to draw directly from global experiences, and also from specific centres of excellence, has been a rewarding experience.

In the context of the introductory remarks (also dealing with the contents of this Chapter) and the background to the study (above), the next section provides a strategic perspective on policy management. The methodology, scope and other elements of the study will subsequently be discussed.

1.5 PROBLEM STATEMENT AND OBJECTIVE OF THE STUDY

Given the broad scope of policy studies and policy management against the background of the strategic perspective (section 1.2) and reflections on policy management in Development Studies, Development Administration and related disciplines (section 1.3), it is imperative that clear problem statements be formulated and pursued in the study. The discussion below provides a summary of the key problem areas pursued in this study. Subsequently, the objectives of the study, in addressing these problem areas, will be presented. The following section (1.6)

provides a perspective on the scope, composition and delineation of the study.

CORE PROBLEM STATEMENT:

The core problem statement of this study throughout, centres around the real need for support, assistance and facilitation, given rapid policy developments in the strategic environment⁶¹, in the area of policy management. This demand manifests itself inter alia as an expressed need for an improved conceptual understanding of policy generally, but also specifically for practical, analytical frameworks for the purposes of facilitating policy processes⁶² and accompanying institutional arrangements. Such frameworks are needed for the purposes of planning, appraising and evaluating policy exercises. The challenge is also to develop generic frameworks which apply to various levels of policy making in a systems context, including for example macro socioeconomic policy, sectoral and functional policy at all three levels of government, as well as outside of it, in the non-governmental and private sector and with regard to civil society generally. The management arrangements for such endeavours encompasses the macro system, intergovernmental relations as well as the organisational and individual levels.

In order to give further substance to the above core problem statement, the following six key problem areas are identified.

KEY PROBLEM AREA ONE: STRATEGIC PERSPECTIVES

A study of this nature inevitably finds itself in the midst of the present constitutional, political and development debate in South Africa. As such, the first key problem area is the necessity to develop a strategic perspective which places the policy field in strategic context. For the purposes of the study, such a perspective should ensure that the objectives of the study are meaningfully aligned to key issues in the external environment. In particular, it is regarded as essential to develop a strategic perspective on policy management in the South African context to bring under the attention of

⁶¹ See both sections 1.2 and 1.3.

⁶² It is important to note that this study focuses on the process dimension of policy. In terms of the delineation of this study, frameworks for policy analysis on policy content are not pursued in any detail although basic approaches, models, techniques of policy analysis are dealt with.

development practitioners and policy makers the potential contribution of policy management to development. Such a perspective (section 1.2) shows that constitutional and political change in South Africa has had a radical impact on the policy community which has allowed a redefinition of public participation in public policy making. Policies have become one of the key instruments to effect socioeconomic reconstruction and development. Several key issues arise that demand further attention. An understanding needs to be developed of the *RDP* as the single most important policy initiative in South Africa. The transformation of forum functions, inter alia into government and new development commissions as instruments for policy change, represent an important strategic trend which warrants further attention as ongoing and meaningful participation by civil society and the private sector in public policy making is of the essence. The management of change, especially in and by the public sector, has become pivotal. Research needs to be conducted on the development of policy analysis and support capacities at the intergovernmental and organisational levels in order to ensure the effective facilitation of policy.

KEY PROBLEM AREA TWO: IMPLICATIONS FOR THE ACADEMIC COMMUNITY

The above problem statement has direct implications for the academic community. The second key problem area involves the need to reflect on past and present initiatives in the academic world in order to show that the potential exists for, especially certain disciplines, to make a valuable contribution in marrying strategic considerations with academic contributions (section 1.3). The level to which policy management featured in Development Studies, Development Administration and especially the Schools of Public and Development Management locally and abroad is important. A perspective needs to be developed on the necessity to place an increasing emphasis on process dynamics, policy management and policy studies.

KEY PROBLEM AREA THREE: SELECTED PERSPECTIVES IN THE SOUTH AFRICAN EXPERIENCE

Before attempting to address specific theoretical issues regarding policy management (the objectives of the study) it is essential that the third key problem area be addressed

namely that a perspective on selected policy initiatives in South Africa be provided in order to serve as a point of reference for theoretical discussions. Although the temptation exists to address numerous topical issues, such as the various policy developments at the sectoral (health, population development, housing, electricity and others) level, these fall outside the scope of the study. However, it is regarded as important that key initiatives be addressed which are of direct relevance to the study. For this purpose and in order to specifically address policy processes and their institutional arrangements in this study, some observations regarding the *RDP*, public sector transformation, forum activity and organisational change need to be made.

KEY PROBLEM AREA FOUR: THEORETICAL APPROACHES TO POLICY MANAGEMENT

As discussed in the core problem statement (above) the fourth problem area concerns the need for a general understanding of theoretical approaches to policy management. Given the plethora of concepts used in the field, conceptual clarification of policy terminology (such as policy design, analysis, evaluation, processes and others) as well as its relationship with related methodologies – such as strategic planning and research methodology – need to be clarified. In addition to this focus a need also exists for an improved understanding generally of theories of policy making, participation and public choice and models for policy management. In terms of models the distinction between descriptive and prescriptive models is of special importance as various models for policy processes exist which require further attention.

KEY PROBLEM AREA FIVE: PERSPECTIVES ON POLICY PROCESSES

The fifth key problem area involves the need for a thorough understanding of policy processes specifically, and as discussed in the core problem statement, the need for a generic process model which can be generally applied. The practical requirements of actual policy making exercises in the South African environment often involves clarity on the meaning of policy cycles and the typical key areas regarding the phases followed. In particular, attention needs to be given to important principles and base considerations for policy initiation, policy design, policy analysis, policy formulation, decision making, policy dialogue, implementation as well as monitoring and evaluation.

KEY PROBLEM AREA SIX: INSTITUTIONAL ARRANGEMENTS FOR POLICY MANAGEMENT

Given these process requirements, a sixth key problem area is that of the institutional arrangements necessary to manage such policy processes. This involves institutional capacity broadly speaking but also specifically institutional arrangements at the intergovernmental and organisational levels. In particular, an operational need exists in the South African policy environment for practical analytical frameworks which could be applied in improving the planning, appraisal and evaluation of the management of policy processes.

HYPOTHESIS:

Based on the assumption that a generic process for policy making can be determined and that essential phases of such a process or processes exist of which each contain key considerations, the following hypothesis⁶³ can be postulated:

Improved facilitation of the generic phases in the policy process

will lead to

more effective and efficient policy making.

Based on the assumption that the above process is facilitated by a range of management arrangements in a total institutional system, an improvement of the capacity to manage policy processes will improve the effectiveness and efficiency of policy-making exercises:

Institutional capacity building of the management arrangements for the facilitation of policy processes

will lead to

more effective and efficient policy making.

⁶³ Also consult Coogan and Woshinsky (1982) for a perspective on how to formulate a hypothesis. Bailey (1982:53–60) discusses the classical approach and grounded theory as alternate strategies for hypothesis formulation and verification.

Against the background of this summarised problem statement (see also the strategic perspective) and the hypothesis, it is clear that some specific issues warrant attention. As such, the primary and secondary objectives of the study are set out below.

PRIMARY OBJECTIVES:

1. To develop a strategic perspective which identifies priority areas for policy management in the South African context and illustrates the importance of policy management generally.
2. To make observations on policy management in the context of Development Studies, Development Administration and related academic disciplines.
3. To identify selected critical elements relevant to policy management in the South African contemporary experience.
4. To develop a perspective on theoretical frameworks for policy management. Key areas include conceptual classification, theories of policy making, participation and public choice as well as models for policy management.
5. To assess the available theoretical material on policy processes and to distill a generic process model for multiple application. In this context it is the objective of the study to develop such a generic process model for the purposes of planning, appraising, implementing and evaluating policy processes.
6. To establish the major institutional dimensions and elements that determine the capacity to manage policy processes. It is the specific objective of this area of the study to establish a user friendly institutional framework for the purposes of planning, appraising, implementing and evaluating the management arrangements of policy processes and to specifically focus on the intergovernmental and organisational levels.
7. To illustrate the application of these frameworks by means of an empirical case study.

The secondary objectives of the study include: to make recommendations on future

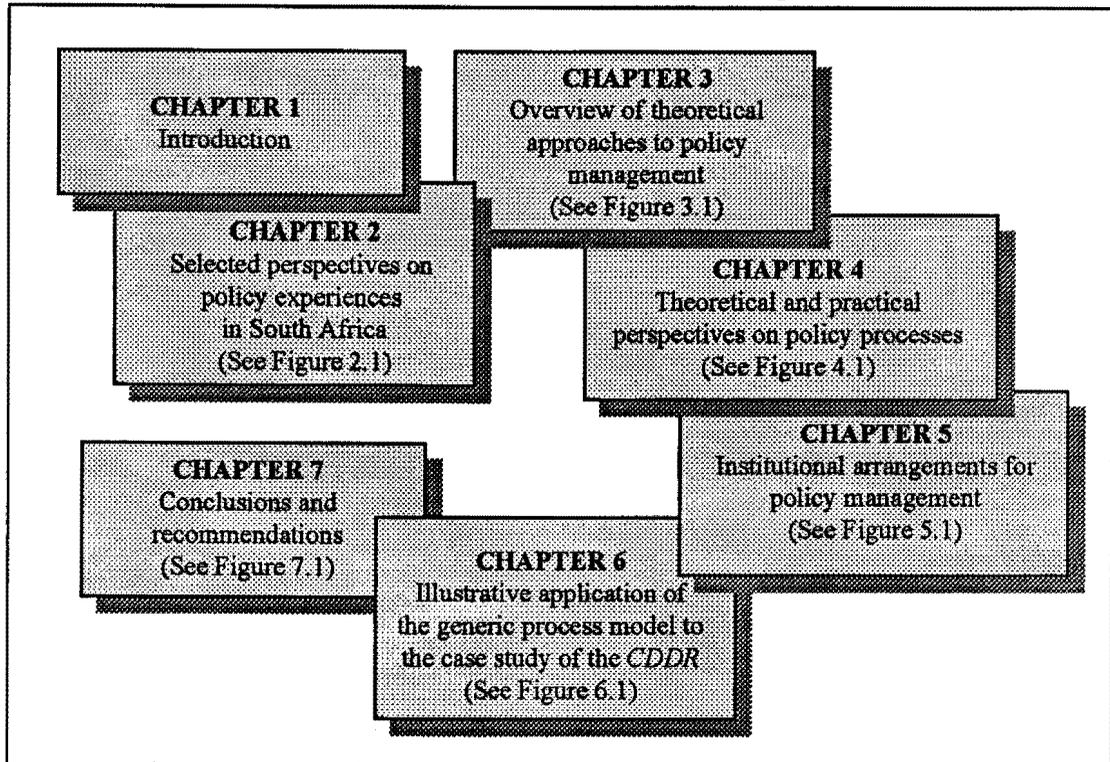
priority areas for research and analysis; to generate a comprehensive list of the available literature, including authoritative works on the classical dimensions of the subject; to make available primary research material on the provincial demarcation exercise obtained during the course of the study; and to provide the reader with user friendly frameworks for practical application in operational situations of a policy process nature (following primary objectives 5 and 6 above).

Given the above summarised problem statement and primary and secondary objectives of the study, the following section consequently addresses the scope, composition and considerations for delineation of the study in order to meet the above objectives.

1.6 SCOPE, COMPOSITION AND DELINEATION OF THE STUDY

From the strategic perspective it is clear that the scope for research in the field of policy studies is daunting, to say the least. It is furthermore apparent from the discussion on reflections on policy management in the academic fields of Development Studies, Development Administration and Public and Development Management that although the importance of the field is understood, it is not a well-known theme, even amongst theorists and practitioners in the above fields. The scope of this study is relatively broad and provides an introduction to policy generally (primary objectives 1 to 4), but also proceeds to two focal areas, namely policy processes and their management (primary objectives 5 and 6). The delineation of the field and areas of focus and non-focus are crucial. For this reason the following discussion of the scope of the study pays further attention to delineation and also addresses important considerations taken into account with the delineation of the study as well as to provide the reader with a synopsis of the composition of the study.

In a nutshell (Figure 1.2 and detailed discussion below), the study consists of an introduction (Chapter 1) and selected perspectives on South African policy initiatives (Chapter 2). An overview is provided of theoretical frameworks for policy management (Chapter 3), processes (Chapter 4) and institutional arrangements for policy management (Chapter 5). As an application of the above, a case study exercise is presented in Chapter 6. Lastly, conclusions and recommendations are made.

FIGURE 1.2: SUMMARISED COMPOSITION OF STUDY

Chapter 1 provides introductory perspectives on the study as a whole and addresses the basic methodological issues. It includes the Introduction (section 1.1, also see Figure 1.1 which provides a diagrammatic presentation of the chapter). Section 1.2 provides a strategic perspective on policy management and identifies various areas of critical importance. As an extension of this discussion, reflections on policy management in Development Studies, Development Administration and related disciplines are discussed. This section seeks to place the study in academic context, and, as explained in the text (section 1.3), recognises the multidimensionality of development and policy management as subject-matter-specific areas of study. This discussion is however limited to the literature and research, both in content and approach, broadly subscribing to the theoretical constructs of Development Studies, Development Administration and related academic disciplines, as well as Public and Development Management⁶⁴. The background to the study (section 1.4) focuses on the context from which the study originated and provides a synopsis of the study period

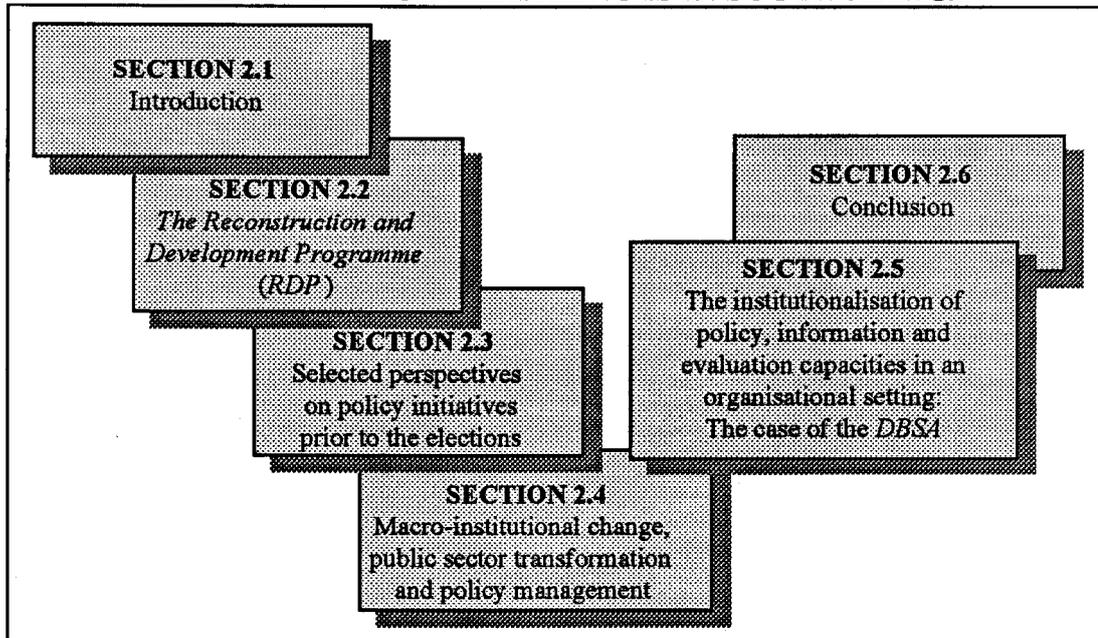
⁶⁴ See further notes on delineation, section 1.3 regarding this particular section. It should be noted that these observations, in terms of considerations for delineation, broadly speaking excludes trends and tendencies in development theory. It also falls outside the scope of the study to place policy management in the context of economic paradigms.

and also refers to various operational initiatives and publications which appeared during the course of the study. Sections 1.5, 1.6 and 1.7 provide the reader with the methodological approaches followed in the study and focuses on the problem statement and objectives, scope, composition and delineation of study as well as methodological considerations.

Chapter 2 (also see Figure 1.3) presents selected perspectives on policy initiatives in South Africa. Selected perspectives on policy initiatives are presented to provide the reader with a practical context within which the theoretical material following it can be viewed. Delineation of this chapter has been important and although the temptation exists to indulge in the rich source of especially contemporary policy experiences in South Africa, the chapter pertinently focuses on the *Reconstruction and Development Programme (RDP)* (section 2.2) which does provide the reader with a general overview of contemporary policy initiatives, selected perspectives on policy initiatives prior to the elections – notably forum activity (section 2.3) – and public sector transformation and policy management (section 2.4).

Lastly, this Chapter focuses on the institutionalisation of policy, information and evaluation capacities in an organisational setting (the case of the *DBSA* (section 2.5)). It is imperative to note, in terms of delineation of study considerations, that the last two sections provide a perspective on policy management arrangements at the intergovernmental level and at the organisational level, respectively. This is important as Chapter 5 also employs this distinction and assesses the theoretical material at these levels. Both issues of public sector transformation (at the macro level) as well as organisational transformation of various capacities are regarded as having a strategic impact on policy management.

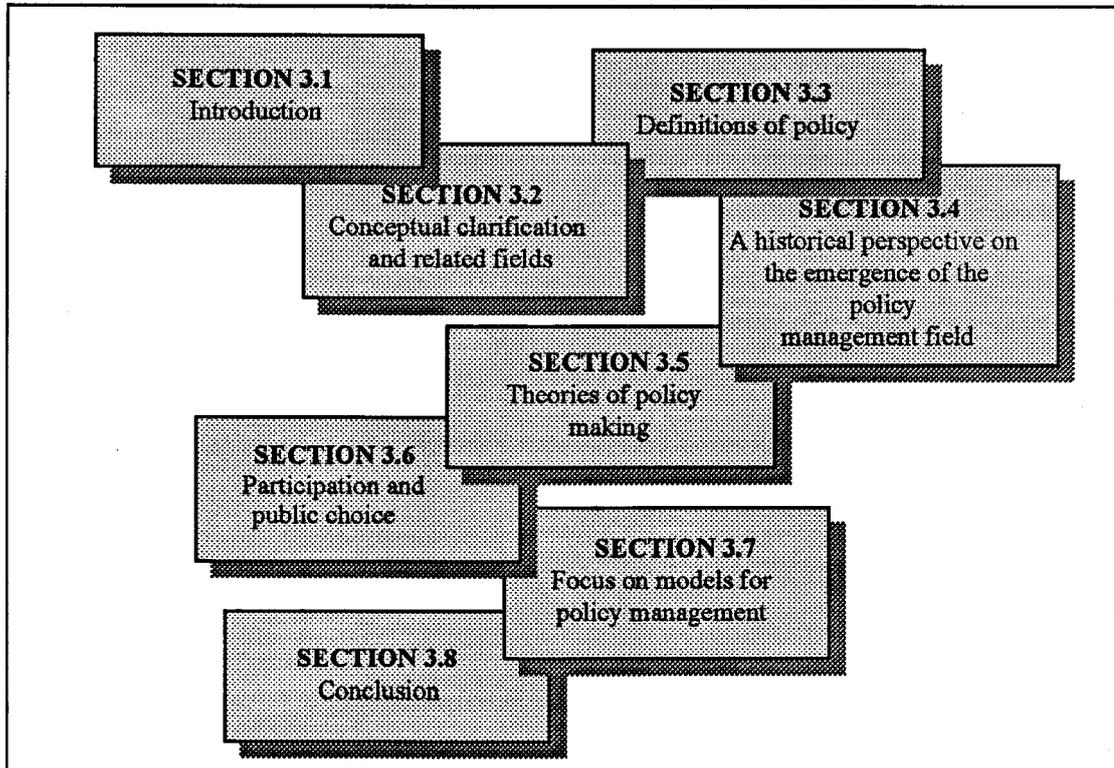
FIGURE 1.3: COMPOSITION OF CHAPTER TWO: SELECTED PERSPECTIVES ON POLICY EXPERIENCES IN SOUTH AFRICA



Chapter 3 (also see Figure 1.4) provides an overview of theoretical approaches to policy management and provides an overview of theoretical material on the subject generally. Specific attention has been given to conceptual clarification (section 3.2) and definitions of policy (section 3.3) as a number of concepts are employed in the field.

It is therefore important to clarify such concepts, especially those used frequently in the study (policy management, policy studies, policy processes and policy analysis). In this context a historical perspective is also given on the emergence of the policy management field (section 3.4). Thereafter an overview is provided on theories of policy making (section 3.5). It should be noted that this area of study is vast and the discussion provides only a broad overview. The chapter then deals with essential elements of theory on the subject, namely participation and public choice (section 3.6), and focuses on models for policy management (section 3.7). In this regard, an essential observation regarding the delineation of the study should be made. Because of the focus on policy processes, models for analysing policy content (prescriptive models, section 3.7.3) are not dealt with in detail.

FIGURE 1.4: COMPOSITION OF CHAPTER THREE: OVERVIEW OF THEORETICAL APPROACHES TO POLICY MANAGEMENT



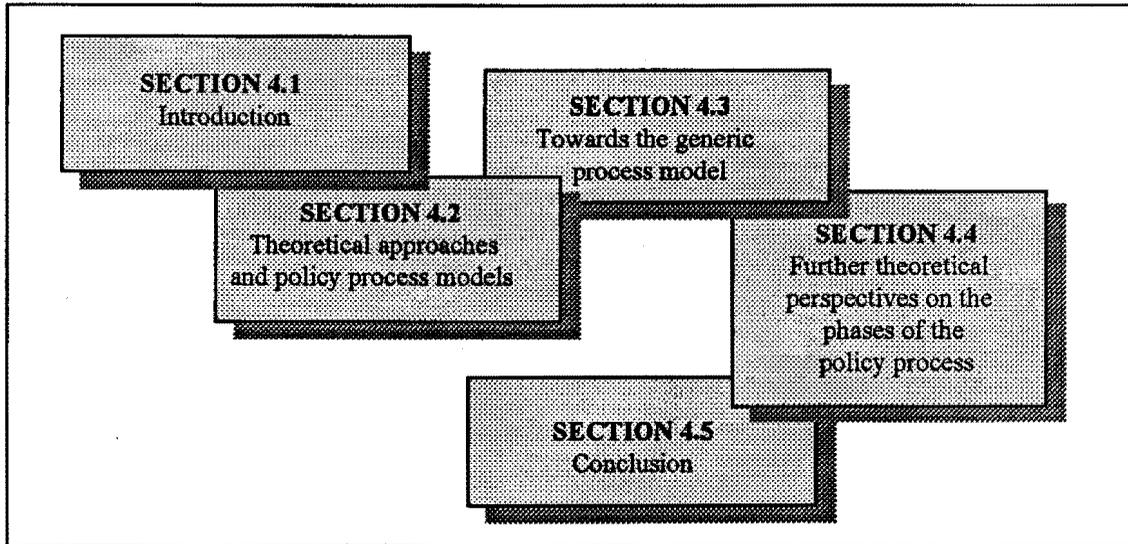
Models for policy making (descriptive models, section 3.7.4) are dealt with in more detail. The chapter comes to the conclusion that given the importance of process models, specific attention needs to be given to these in the face of the problem statement and objectives of the study.

Chapter 4 (also see Figure 1.5) addresses the first of two core theoretical issues of the study, namely theoretical perspectives on policy processes⁶⁵. As such the chapter assesses the available literature on theoretical perspectives on policy processes and cycles and identifies certain common phases in the policy process (sections 4.2 and 4.3).

This discussion specifically seeks to identify key considerations and principles applicable to the various phases, *inter alia*, policy initiation, policy design, policy analysis, policy formulation, political decision making, policy advocacy, implementation and monitoring and evaluation.

⁶⁵ The other core issue discussed is institutional arrangements, Chapter 5.

FIGURE 1.5: COMPOSITION OF CHAPTER FOUR: THEORETICAL AND PRACTICAL PERSPECTIVES ON POLICY PROCESSES

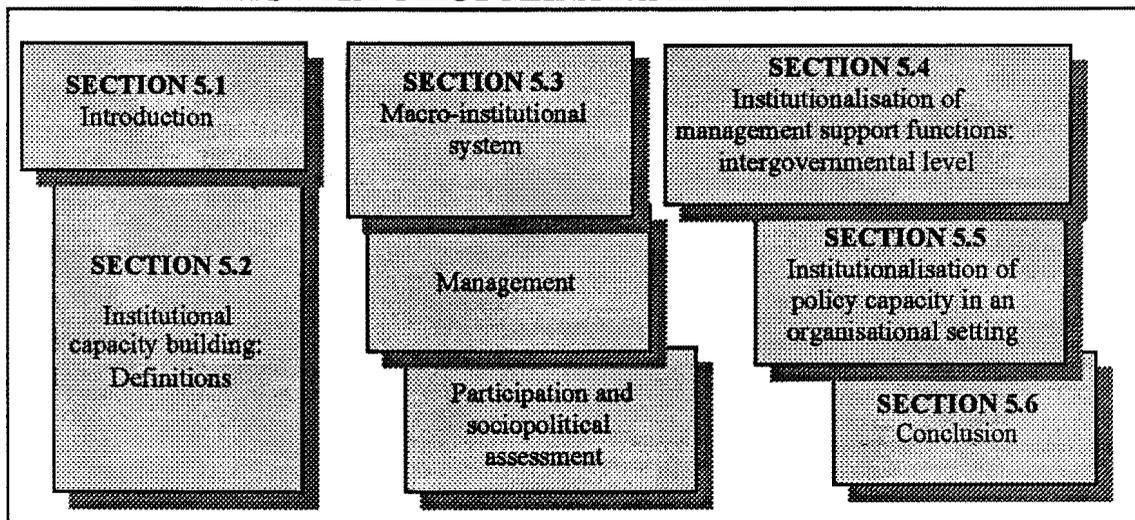


In terms of considerations for the delineation of the study, it is important to acknowledge the applicability of various process models. However, the generic process model, as discussed in section 4.3, allows the opportunity to place the various phases and considerations in a particular context, thereby developing a particular framework for the evaluation, appraisal and planning of policy processes.

Chapter 5 (see diagrammatic presentation of the composition of the chapter, Figure 1.6) addresses institutional arrangements for policy management and introduces the subject by discussing definitions of institutional capacity building (section 5.2). This is a daunting field and for the purposes of the study three main dimensions were identified, namely the macro-institutional system (section 5.3.2), management (section 5.3.3) and participation and sociopolitical assessment (section 5.3.4).

Although numerous issues are relevant, some key themes for policy management are identified and a generic framework established. Regarding considerations for delineation of the study, it is essential to observe that this framework should be viewed in a non-linear manner and approached in a flexible and innovative way to allow the consideration of various institutional arrangements as may be relevant to particular circumstances (section 5.3.5).

FIGURE 1.6: COMPOSITION OF CHAPTER FIVE: INSTITUTIONAL ARRANGEMENTS FOR POLICY MANAGEMENT



Following the broad framework discussed above, two key institutional issues receive pertinent attention, namely the institutionalisation of management support functions on an intergovernmental level (section 5.4) and the institutionalisation of policy capacity in an organisational setting. Clearly, sections 2.4 and 2.5 discussed earlier in the context of the South African experience, are relevant. The above discussion provides a framework for the planning, appraisal and evaluation of policy processes (conclusion section 5.6).

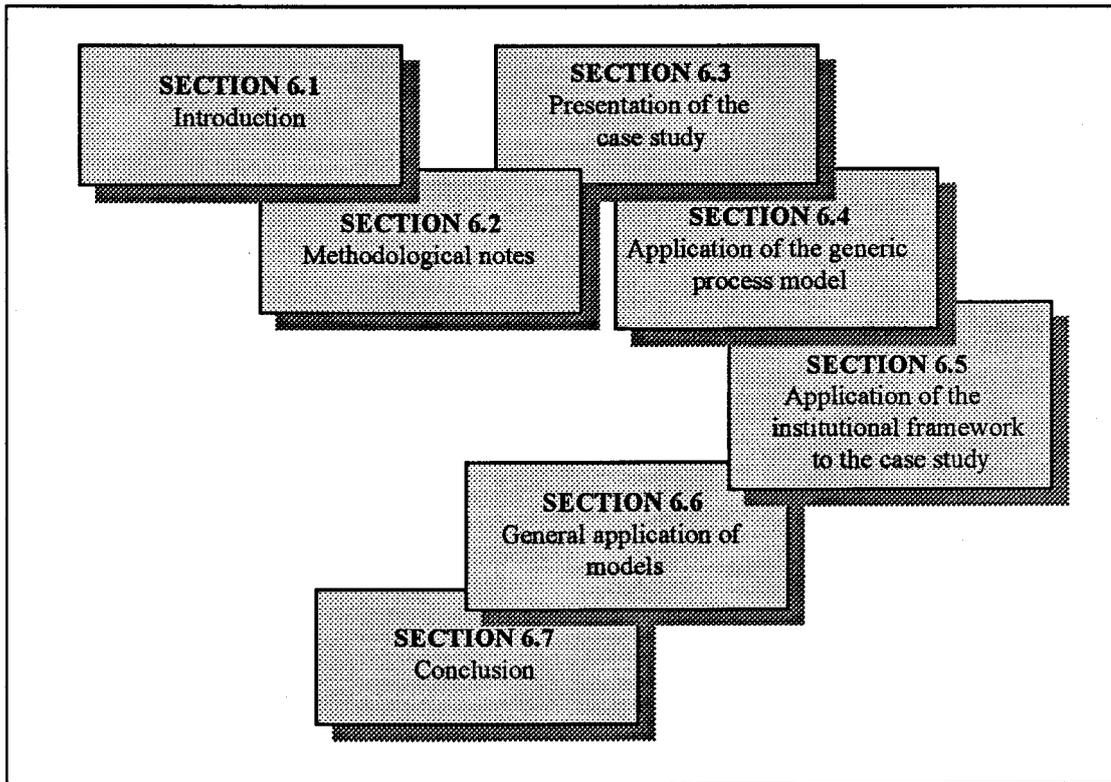
Chapter 6 (Figure 1.7) presents an application exercise of the frameworks developed in Chapters 4 and 5 respectively. In this regard, and with reference to considerations, it is essential to note that the provincial demarcation exercise is used as a case study to illustrate the application of the generic process model and the institutional framework.

This chapter does not seek to establish the best possible frameworks to evaluate the *CDDR* exercise⁶⁶. There will be no reference to the evaluation of borders as the focus is solely on the process followed. Perspectives which emerged from this application show that the actual process followed by the *CDDR*, could have been improved if refined policy process models had been available at the time. Chapter 6 consequently discusses methodological issues related to the *CDDR* case study (section 6.2), and provides a background to the demarcation exercise (section 6.3). This section focuses

⁶⁶ This distinction is important. As discussed with Cloete and Swanepoel, different frameworks (such as those available in the evaluation field) could be employed if the *CDDR* exercise was to be evaluated.

on the *CDDR* working period, terms of reference, and work programme. Thereafter, the application of the generic process model (section 6.4), and the institutional framework (section 6.5) are discussed.

FIGURE 1.7: COMPOSITION OF CHAPTER SIX: ILLUSTRATIVE APPLICATION OF THE GENERIC PROCESS MODEL TO THE CASE STUDY OF THE *CDDR*



Notes on the application (section 6.6) of other policy process models may be of special value to the reader who seeks to further apply the suggested models. The conclusions are presented in section 6.7.

Chapter 7 provides a conclusion on the study as a whole and some pertinent recommendations are made for future study and research. In particular, this Chapter focuses on a summary of the key findings and conclusions (section 7.2), conclusionary observations (section 7.3), priority issues for future research (section 7.4) and the final conclusion (section 7.5).

1.7 METHODOLOGICAL ORIENTATION

This section deals with the research methodology employed in this study in order to meet the objectives discussed in the previous section. As such, this discussion provides the reader with an insight into the planning of the study and specifically deals with the proposal, the literature assessment and analysis phase, empirical study, the writing of the thesis and related publications, general research notes as well as the programming and budgeting of the study.

The methodology employed includes theoretical analysis and assessment as well as empirical study. The empirical component contains observation (a case study), experimentation⁶⁷ (operational policy projects discussed), and simulation⁶⁸. The methodology followed in this study is based on the basic method of and approaches to social research available to students in the field. The authoritative approaches and techniques of Bailey (1982), Casley and Lury (1982), Coogan and Woshinsky (1982), De Vaus (1986), Doby et al (1954), Hughes (1983) as well as Mouton and Marais (1985) were generally used. The basic steps of research in this study comprised the definition of the problem, including objective setting, the delineation of the studyfield, theoretical research, empirical research as well as synthesis and conclusion. A research proposal containing this methodology (these activities were programmed during the planning and proposal stage of the study as illustrated in Figure 1.8), was prepared and discussed, reviewed and confirmed with the *Department of Development Administration at Unisa*. The author registered for formal studies at the Department for the academic years 1993, 1994, and 1995. Some retrospective observations are important.

The author completed a preliminary literature search and assessment for the purposes of the research proposal⁶⁹ of this study from 1989 to 1992. Following an approved research proposal by the *Department of Development Administration, UNISA* on 13

⁶⁷ For perspective on the advantages and disadvantages of experimentation, see Bailey (1982:223–228). According to the author it is necessary to select subjects, select experimental environment, pretest, administer experimental stimulus (test factor) and post-test (Bailey, 1982:229).

⁶⁸ According to Bailey (1982:331) the advantages of simulation are economy, visibility, safety and control. Disadvantages include artificiality, cost, training of participants and quantitative problems.

⁶⁹ The research proposal was prepared according to the guidelines provided by Mouton and Marais (1985:179–200).

August 1992, the author subsequently registered for formal *D LITT ET PHIL* studies at the above Department in 1993. The *CDDR* case study was recorded and published in the latter part of the year. The actual development of draft and final chapters of the thesis, took place from October 1994 to September of 1995.

The study benefited from conducting a fairly thorough literature study on the subject matter before the research proposal was prepared and the study registered. This enabled more specialised reading, follow-up and monitoring⁷⁰ of new research material during the final two years of study. Although, in the author's opinion, it may be dangerous to publish while undertaking a study of this nature, there are several advantages. By publishing the research findings as the study proceeded, ongoing comment, debate and criticism by a wider audience enriched the study. Other advantages of such an approach are that it disciplines the scholar to receive ongoing critique on the context and content of his work, and forces him to formulate clear objectives. Such an approach has obvious capacity implications and a series of publications should be well programmed with the theoretical and empirical work programme of the study. If synchronisation can be achieved between these components, then this relationship can be very symbiotic. For example, by allowing authoritative comment on theoretical and empirical material, the ensuing debate enables the scholar to adjust in certain areas and expand on the information base of the study. Disadvantages are that it may lure the scholar away from the actual work programme of the study as scientific publication requires significant capacity, especially if such publications are linked to actual operational initiatives.

The literature search, selection, analysis and assessment as well as recording components of the literature study have been programmed as presented in Figure 1.8. This involved the larger part of three years' reading, selection and general literature study prior to the research proposal being prepared. The perusal of specialist sources was undertaken mainly during 1994 and some follow-up work was done while the thesis was being written. A specific component of the literature study that must be mentioned includes the studying of original documentation (*CDDR*, (1993), De

⁷⁰ A fair number of reprints and reviewed publications on important sources occurred, especially during the last year of study (for example the reprint of Dunn (1981) and Dunn (1994).

Coning, 1993(b), De Coning, 1994(c) and Khosa and Muthien (1994) on the *CDDR* exercise. Material was gathered in various ways. The *UNISA* and *DBSA* library facilities made a variety of search methods available to the author. These facilities provided access to most overseas sources. A special effort was made to obtain specific material through literature searches on cross references. Specific systems include the *UNISA* library search facility, *South African Bibliographical Information Network (SABINET)*, the *DBSA* library, inter alia through the Small Library Systems Plus facility (*SLSPPlus*) and the *Erudite Catalogues*. In addition, use was made of the *DBSA* internal search facility (*INFOSELECT*). Use was also made of the *INTERNET* system. Important sources on subject-matter-specific areas, especially on the themes of policy processes and institutional arrangements, were first selected through a range of interviews with local and international experts, and later monitored through a network of local and international contacts.

Two particular trends are important.

- A significant percentage of all literature in the policy field focuses on policy analysis issues per se. Relatively few sources are available on policy processes specifically. This trend has been confirmed with international and local experts such as Peter Zimmerman (*Harvard University*) and Mark Swilling.
- In the policy process field, literature focuses largely around the classical models and relatively little attention is given to generic phases, cycles and management arrangements. However, with regard to the last-mentioned, a vast volume of literature, especially from the management sciences, has become available in the field.

This included the assessment of lecturing material on the above themes at the *Kennedy School of Government at Harvard University*, the courses of the *Graduate School of Public and Development Management at the University of the Witwatersrand* and the *Faculty of Management at Stellenbosch University*. An overseas visit during July 1994 confirmed that the study was making use of the most authoritative and contemporary sources available. This overseas research visit also enabled the author to have a range of interviews with international experts, which served to confirm basic

assumptions in the study and to probe specific issues with authors of prominent sources as to the general and South African application (amongst others, the research visit included the *Civil Service College at Sunningdale* in the United Kingdom, the *Kennedy School of Government at Harvard University*, and the *World Bank*.

FIGURE 1.8: PROGRAMMING OF MAJOR ACTIVITIES OF THE STUDY

	1989	1990	1991	1992	1993	1994	1995	
1. Literature assessment and analysis		Literature search, selection, analysis and assessment. Research proposal and registration					Specialised literature Overseas visit July 1994.	Monitoring new material and follow-up
2. Empirical exercises: CDDR case study				Preparation	Observation and recording of the CDDR exercise (28 May to 4 August, 1993)	Interpretation Recording	Publication of pilot study and debate	Case study analysis for study purposes
3. Writing of the thesis and publications				Research proposal		Writing of the thesis		
4. Operational projects and comparative experiences (experimentation) as well as case studies and simulation exercises	1 2 3	2 3	4	4	5 10 10 10 11 11	6 7 8 11 11	9 10 9 11 11	

1	Review of the 1986 <i>White Paper on Urbanisation</i>
2	Drafting of the <i>MTC Policy framework on Urbanisation</i>
3	Urban Development Plans (UDPs)
4	Process support for REDFs
5	Workshop on policy skills (De Coning, 1994(b)).
6	See <i>Recordings of the CDDR exercise</i> (De Coning, 1993(b)).
7	See <i>Regional demarcation: a South African perspective</i> (De Coning, 1993(a)).
8	See <i>The territorial imperative: towards an evaluation of the provincial demarcation process</i> (De Coning, 1994(c)).
9	Publication of <i>A human development profile</i> (De Coning, 1994(a)).
10	Publication of <i>A development perspective on policy management: from analysis to process facilitation</i> (De Coning and Fick, 1995).
11	Presentation of policy courses, simulation exercises and CDDR case study to P & DM, Witswatersrand and Potchefstroom Universities
11	Operational comparative exercises: DBSA transformation, Department of Manpower, RDP White Paper and Fisheries Policy.

Following the planning and programming of the study as discussed above, some observations on budgeting and costs are worth noting. Costs are depicted in Figure 1.9. In practical terms, the major cost items, often not covered by a studyscheme, are those of the simulation exercises, editing and administrative costs. These are direct costs and largely exclude costs to the employer (*DBSA*)⁷¹. Over and above the monetary value of a studyscheme, such agreements are beneficial because they reveal the numerous benefits of the study to the employer.

FIGURE 1.9: SUMMARISED DIRECT COSTS

Literature ¹	R 4 071,00
Photostatting	R 200,00
Registration ²	R 4 560,00
Simulation exercises ³	R 5 400,00
Technical : Word processing ⁴	R 2 000,00
Printing and binding	R 700,00
Linguistic and editing	R 3 800,00
Other administrative (telephone and mail)	R 65,00
University fee for examination	R 60,00
Other ⁵ transport	<u>R 700,00</u>
	R21 556,00

1. Annual recovery of cost by the *DBSA* study scheme. R1500,00 for two years and R1 071 for the third was made use of. Also purchased additional material to the value of R2 000,00.
2. Covered by *DBSA* Study Scheme. Three annual registration cost items of respectively R1 260 (1993), R1 590,00 (1994) and R1 710,00 (1995).
3. Calculated at R1 800,00 per workshop (three).
4. Word processing performed by researcher not calculated. Private secretary: two payments of R1 000 each.
5. Excludes fieldwork.

The empirical component of this study encompasses two main dimensions. The first dimension, which forms the major empirical component of the study, is the application of the generic process model to the *CDDR* exercise as a case study. Of secondary

⁷¹ The author made use of the *DBSA Study Scheme*. For the benefit of accurate methodological notes, and future policy reviews on study schemes, the following information may be of benefit. Kindly note that exact records have been kept of all costs and working hours and are available on request. In general terms roughly 900 working hours were spent on the literature analysis and assessment stage of which roughly 20% were done in office hours (all reading material related to the workprogramme as well). About 500 working hours were spent on specialist reading through a 2 year period and 3 months (80% of capacity) were spent on the actual case study. A total of 220 working hours were spent on further analysis and subsequent publication of the case study exercise. The thesis was written over a one year period (October 1994 to September 1995) and a total amount of 1400 working hours were spent on this, these working hours include further analysis on the case study. As a note to future students who attempt post-graduate studies, it was found to be of great benefit to, on an ongoing basis, devote roughly 4 hours per day to the study so that continuity was ensured and was found most practical to devote a set period per day to studies (for example 4h00 to 8h00 daily). *DBSA* granted a total number of 25 days study leave. The overseas visit, for example, represented significant indirect cost, which was budgeted for in the region of R40 000.

importance is the general experimentation which was undertaken through a variety of operational projects (Figure 1.8 and section 1.4, background to the study, also see Chapters 4 and 5 for actual comparative observations) as well as simulation exercises and case study material. It should be noted that the second main dimension discussed above does not form the primary focal area of the empirical study and as such only comparative observations are made. A descriptive analysis of these projects or simulation exercises falls outside the scope of this study.

As discussed in the background to the study (section 1.4), the opportunity to develop a case study of the *CDDR* initiative arose when the author was asked to participate in the provincial demarcation exercise. After discussions with the promoters it was decided to monitor, record and analyse the exact policy process that was followed by the *CDDR*⁷². The preliminary findings were reviewed and published under the title: *The territorial imperative: towards an evaluation of the provincial demarcation process* (De Coning, 1994(c)). Preliminary retroductive analyses (De Coning 1994(b) and Khosa and Muthien, 1994) showed that, by using this case study and the theoretical frameworks discussed above, problem-solving processes followed in similar applications, could be much improved. The case study exercise in this study consists of an application of the generic process model to the *CDDR* process as depicted in Chapter 6 (this analysis was performed during 1994 and 1995). Some cautionary notes are necessary. Although Bailey (1982:249) points out that: "Observation is decidedly superior to survey research, experimentation or document study for collecting data ...", the disadvantage may also be that the researcher becomes subjectively involved⁷³ (Bailey, 1982:249-261). Several opportunities were also made use of to apply the generic process model in actual facilitating and learning exercises by employing simulation exercises and case-study exercises on the demarcation exercise. This study accordingly endeavours to develop a particular process framework for the purposes of both evaluating present and past policy-making processes as well as to suggest a generic framework for the future planning of such processes.

At this juncture it is necessary to add to the discussion in section 6.2 of Chapter 6, on

⁷² This process is not discussed in this section as the subject matter of the case study concerns the *CDDR* exercise and is dealt with in detail in Chapter 6.

⁷³ Also consult Mouton and Marais (1985:83) for methodological perspectives on researcher-subject distance.

the methodology of the case study exercise. The case study presented an excellent opportunity to record an important strategic event for follow-up analysis. This involved studying a policy process over a fixed period of time⁷⁴, and direct involvement, which enabled the author to interview key players as the exercise was proceeding. Relationships fostered during this period also allowed the author to directly test and probe process considerations with the major players involved in the policy process (especially the two Chairpersons, Bax Nomvete, Flip Smit and the Executive Officer of the *Technical Support Team*, Renosi Mokate). Follow-up comment on the subsequent *CDDR* case study and the findings of the research contained in this study was obtained from Mokate and another key player in the design of the process, Bertus de Villiers⁷⁵. Both publications (De Coning, 1993(b) and 1994(c)) were discussed with them, and their comments incorporated, prior to this study. Apart from the actual case study period which involved three months of full time participation, the six months following the exercise were used for recording the exercise accurately and publishing the preliminary findings. Detailed analysis, for the purposes of this study, was subsequently pursued during 1994 and 1995.

Lastly, some very useful material, including research notes and unpublished material, were obtained during operational initiatives and projects of a policy nature. Analytical debates in project team context, also on the design of policy processes, helped in selecting literature pertinent to the study. It is important to note that international centres of excellence in the policy field have access to a significant range of case study exercises⁷⁶, whilst local practitioners have not even built up an ongoing record of South African policy management experiences⁷⁷.

⁷⁴ Regarding the delineation of the study, it should be noted that the case study exercise strictly focuses on the period 28 May 1993 to 4 August 1993. Although a Task Force was appointed to develop technical options around the boundaries recommended, the case study does not include this period although a perspective on this period is provided (note that the Task Force did not have the mandate to make recommendations on alternative boundaries).

⁷⁵ Head of the *Centre for Constitutional Analysis*, Human Sciences Research Council (HSRC).

⁷⁶ See for example *Harvard University* (1994(b)).

⁷⁷ Individuals such as Swilling, already referred to, is an exception in this regard. Numerous simulation exercises and other applications have been developed.

1.8 CONCLUSION

Account has been given of the methodological orientation of the study in this chapter. Given the core problem statement, identified problem areas and two hypotheses that postulate the central focus of the study, specific primary objectives of the study were formulated. The scope of this study, composition of the chapters and issues for consideration regarding delineation have been discussed.

In introducing the study, an emphasis was placed on the integrative nature of the field. The strategic perspective showed that policy management has become a critical tool in reaching national and other policy objectives. Particular challenges have been put to the academic community. As discussed, the following substantive chapters will address the primary objectives of the study. As such, the study will have to address the challenge put by Kerlinger (Mouton and Marais, 1985:136) to any researcher who formulates a hypothesis: "You are wrong, there is no relation; disprove me if you can."

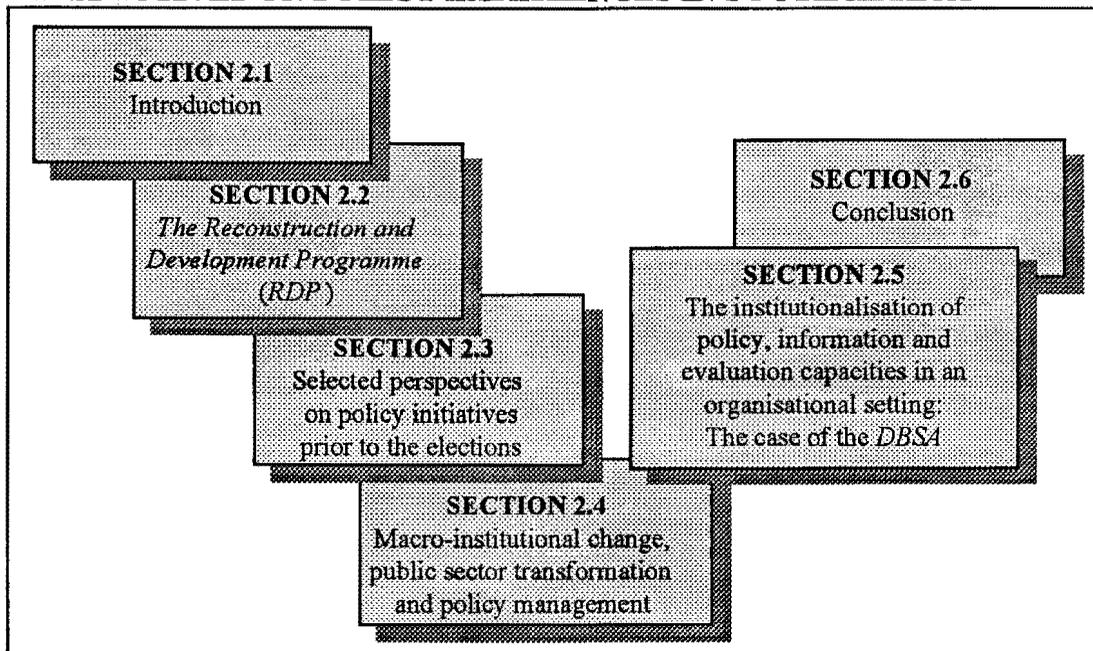
CHAPTER 2

SELECTED PERSPECTIVES ON POLICY EXPERIENCES IN SOUTH AFRICA

2.1 INTRODUCTION

In the context of the objectives of the study – as outlined in the composition of the study (section 1.6), the strategic perspective (section 1.2) and the methodological discussion (section 1.7) – this chapter seeks to explore the historical and contemporary context within which this study on policy management is undertaken in order to lay the basis for comparison and to provide practical examples which will be referred to in the theoretical chapters that follow.

FIGURE 2.1: COMPOSITION OF CHAPTER TWO: SELECTED PERSPECTIVES ON POLICY EXPERIENCES IN SOUTH AFRICA



In particular, selected policy experiences in South Africa – such as the *Reconstruction and Development Programme (RDP)* (section 2.2), policy initiatives prior to the elections of April 1994 (section 2.3) as well as macro-institutional change, public sector transformation and policy management (section 2.4) – are explored. A focus is being placed on the institutionalisation of policy, information and evaluation capacities in an organisational setting with particular reference to the *Development Bank of*

Southern Africa (DBSA) as a case study (section 2.5). Contemporary⁷⁸ perspectives in South Africa, especially those that emerged during 1994, show that following the negotiated settlement⁷⁹, election and establishment of the *Government of National Unity (GNU)*, the *Reconstruction and Development Programme (RDP)* will undoubtedly be the major policy thrust⁸⁰ of the 1990s. In addition to trends and tendencies emerging in the policy-making process of the *RDP*, the following section will briefly reflect on policy initiatives (including forum activity) that existed prior to the election. The discussion will centre on the transitional context and factors such as public sector transformation, the institutionalisation of policy; and the information and evaluation capacities of organisations, with specific reference to the *DBSA*. Contemporary and international perspectives show that exciting opportunities exist in the field of policy management and these are discussed in the following chapters.

2.2 THE RECONSTRUCTION AND DEVELOPMENT PROGRAMME (RDP)

As has been stated, the *RDP* policy initiative is clearly regarded as the major policy framework for the mid-1990s. This discussion does not endeavour to make a detailed analysis and assessment of the actual policy-making process followed during the establishment of the *RDP*, but provides a perspective on some major trends and tendencies of the *RDP* process in order to establish the context in which a number of issues in this study are addressed⁸¹. Although literature on *RDP* policy making in South Africa is scarce, some contributions⁸² have pinpointed important trends. Most notably, open debates on the issue and involvement in processes have been of value.

⁷⁸ A summarised perspective is provided on the time period 1986 to 1994. Although a focus is being placed on events especially since the beginning of 1994, important trends and tendencies have characterised the pre-election era.

⁷⁹ For an exposition of transitional constitutional arrangements leading up to a negotiated settlement, see De Coning (1994(a):3–16) and De Villiers (1994).

⁸⁰ Special attention will be given to the nature of *RDP* initiatives during the first year (April 1993–April 1994).

⁸¹ During 1994 the author facilitated a series of *RDP* simulation exercises (with Gauteng government officials, 11 June 1994; with the then Eastern Transvaal government officials on 5 March 1994; and with Masters of Economics students, Potchefstroom, 26 and 27 August 1994), and by using the generic process model format, (as discussed in Chapter 4) participants could freely apply phases and steps of the policy process to their actual experience. The combination of simulation exercises as a teaching method and *RDP* application as actual case study proved to be very worthwhile and of process and content value.

⁸² Compare for example the article by Steven Friedman: *Every navigator needs a map: the case for independent policy research in South Africa* presented to the Government Policy Workshop, Gallagher Estate, Midrand, 24–25 October 1994. Also see De Wet (1994), Kershoff (1994) and Swanepoel and De Beer (1994).

The *African National Congress (ANC)*, as a political party, put forward the *RDP*, after numerous consultative conferences. It was subsequently debated in Parliament and agreed upon by the *Government of National Unity (GNU)* in mid-1994. A White Paper on the *RDP* (government policy) was then drafted and accepted by the *Cabinet*. Several issues are important. First, for the purposes of this study, the process followed to establish such a policy is of particular significance. Secondly, the *RDP* provides an interesting insight into the field of policy frameworks in intragovernmental, intergovernmental and non-governmental terms. In this respect, the complexities of establishing macro socioeconomic, sectoral and functional policies at the national level are daunting. Policy frameworks also need to be established at the provincial and local levels, where the *RDP* has to be implemented. Furthermore, in the context of transition and drastic societal change, the reformulation of policy and adjustments in the strategies of the private sector⁸³ (to the *RDP*) and civil society, particularly civics, has been significant.

During 1994 the *RDP* debate has largely been focused on central government initiatives, especially those of the *RDP Office*, sectoral policies such as housing, health and education and budgetary issues. The importance of the *RDP* is also illustrated by the fact that pivotal responsibility rests with the *Minister without Portfolio in the President's Office*. At the national level, the South African Government has in its first nine months focused its *RDP* initiatives mainly on the development of a *RDP White Paper*, budgetary issues, *RDP* sectoral policy development (specific issues such as housing, education and job creation) and transformation issues. The establishment of a *RDP Office*⁸⁴ has been paramount and the actions of this Office has been concentrated on the above initiatives. In addition, emphasis has been placed on the coordination of information initiatives that are *RDP* related⁸⁵. The *RDP Office* has been established to

⁸³ The private sector response to the *RDP* and subsequent strategic alignment as well as participation in *RDP* policy processes are not dealt with here, see for example the Executive Research Associates cc publication entitled: *Corporate Intelligency Review*, November 1994.

⁸⁴ The role and responsibility of the *RDP Office* and a subsequent evaluation of its performance and future role are not discussed here. See base document I and II of *DBSA* inputs to the *RDP Office* entitled: *Key considerations in the strategic management of the RDP* (June 1994).

⁸⁵ Several information related-initiatives have emanated from the *RDP Office* during 1994. These are not dealt with here. However, compare the *National Information Management Project* summary of the *International Development Research Centre (IDRC)* and *RDP Office* (May 1994). Also consult the *IDRC* report entitled: *Science and technology institutional initiatives in South Africa: overview and proposals* (November, 1994). Interviews Devon Naidoo, (23 November 1994) and Benny Mokaba, (10 January 1995).

facilitate and support alignment of all key stakeholders behind a development and reconstruction vision in South Africa. In this regard, the challenge is to plan and articulate a clear strategy which includes key functions that need to be programmed and institutionalised. The initiation of such a process entails, from the side of the *RDP Office*, strategic leadership, policy design, strategic decision making, programming and delivery, as well as monitoring and evaluation. The *RDP Office* is also expected to play an important role in mobilising and allocating financial resources and coordinating international aid. From the above it is clear that the *RDP Office* has a vital role to play in these pivotal policy-making processes. Issues such as analysis of policy and developing sufficient professional capacities for policy and information analysis, planning and programming will become of the essence.

The *RDP White Paper* processes have been much debated. On the one hand the *RDP White Paper* is the result of Government's plans and strategy to implement the *ANC* party political *RDP* (also referred to as the "base document"); and this has not only been a crucial stage but has also been done under severe time constraints. On the other hand, many feel that not enough time has been allocated for thorough policy analysis and debate; and that the *RDP* has not been formulated to a sufficiently detailed level. These views emphasise that it is important to observe that the *RDP* is a process in which bottom-up and top-down activities are to take place. This discussion does not endeavour to analyse *RDP* content⁸⁶ but some elements of the process need to be noted.

The *RDP White Paper* is a further articulation of how Government wants to realise the *RDP*. In this regard, the fact that the *RDP* has originally been formulated through in-depth consultative processes⁸⁷ with community-based organisations is significant⁸⁸. The challenge will be to sustain such a relationship with civil society. Institutional arrangements to ensure ongoing participation in the policy-making process are of the essence. A framework for the *RDP White Paper* was originally drafted by a group of

⁸⁶ Compare for example Swanepoel and De Beer (1994) as well as De Wet (1994) and Kershoff (1994).

⁸⁷ Some scholars trace the "base document" (*ANC RDP*) as far back as the *Freedom Charter*.

⁸⁸ Important preparation work was also done by organisations and forums. See *CBM* 1993(a) and (b), the *DBSA* preparation work on a Human Development Approach and for example the *Macro Economic Research Group (MERG)* initiatives. Interview Mark Swilling, on 26 March 1994. Also confirmed by interviews with Chris Landsberg, on 14 January 1994 and Andrew Feinstein on 21 February 1994.

professionals (including external consultants) at the *DBSA*⁸⁹ and it was shown that there are advantages in developing a technical draft for perusal by politicians. However, such a document is a matter for ongoing amendment and changes were again introduced before its presentation to the *Cabinet* during March 1995. Strategies for implementation have also been embarked upon since the latter part of 1994, for example, task teams have been established for human resources development, rural development and urban development.

On a sectoral level, policy development should be viewed against the background of election forum activity and much groundwork has been done prior to the publication of the *RDP White Paper*. The further development of the *RDP White Paper* on a sectoral basis is a crucial stage and the development of policy in areas such as education, health and housing has been prominent. The policy implications of implementing *RDP* sectoral initiatives at the provincial and local levels are daunting and much still needs to be done to reconcile and coordinate provincial-national policies whilst acknowledging provincial-specific policy needs. Sectoral initiatives have also been earmarked for important preparation initiatives, both within the *ANC* as a political party and at a forum level. In this regard, the *National Economic Forum (NEF)* played an important role in the establishment of the *Commission for Economic Development, Reconstruction and Labour (NEDLAC)*. Likewise, the preparation of policy guidelines by, for example, the *National Electricity Forum (NELF)* in preparation for such a policy has been important. Education, health and housing, political party and forum policy preparation initiatives have also been prominent⁹⁰.

The debate on the *RDP* at provincial level has also become increasingly important. These initiatives have been earmarked by an emphasis on policy content rather than process. As a matter of fact, there has been a tendency to neglect the purposeful management of policy processes. At the provincial level, and in the context of, at times

⁸⁹ The technical formulation stage of the *RDP White Paper* was coordinated by André Roux (numerous interviews, e.g. 16 November 1994, 24 November 1994, 1 December 1994) and included policy analysts from *DBSA* and other individuals on a consultancy basis. This (original) input was then amended several times during political processes. This input should not be confused with the *DBSA* comment on the *White Paper* (public statement).

⁹⁰ Extensive literature exists but is not discussed here. See for example the *ANC* Education policy; Agricultural policy; Health policy and Housing policy all published during 1994.

chaotic, institutional transformation, the development of provincial *RDPs* has been haphazard. Regional structures have duplicated central structures in the sense that there are provincial *RDP Offices* (mainly in the Office of the Premier) with roles and responsibilities roughly comparable to those of the national office. Much can be said about provincial-national-federal type relations (or the lack thereof) as the *RDP* at provincial level is also in an unfolding stage. In this regard the provinces expect some support on policy guidelines, minimum norms and standards as well as financial equity grant transfers from the national level. The emphasis at provincial level has been on basics such as the establishment of the Premiers' Office⁹¹, preparing budgets for 1994/95, getting the provincial legislatures up and running and considering projects for both the *Presidential Projects* (at national level) and for provincial implementation. In this process the provincial experience, as can be expected, has been different and where the *North West Province* focused on pensions and (public sector) wage disputes, the *Eastern Transvaal RDP Office* initiated a range of *RDP* community-based workshops. Over and above sectoral initiatives, *RDP* initiatives at the provincial level were gearing up to realise common actions at national level (such as the *Project Preparation Facility (PPF)*) as well as initiating own projects. It is clear that at the provincial level, too, detailed strategies (which will be different from each other) such as Provincial *RDPs*, will have to be developed. This will also require policy capacity at the provincial level and the further facilitation of participatory policy-making processes.

Experiences at local level differ. Whilst metropolitan bodies have been active in taking the *RDP* further, other local government bodies, such as traditional authorities, have shown little progress. One cannot help but observe that political development (with elections following during October 1995) at local level has been much slower than at the national and provincial levels. However, much debate on the *RDP* is taking place at local level, especially through *RDP*-created structures.

In conclusion, it is clear that the *RDP*, following the election, is the major policy thrust of the *South African Government* in the 1990s⁹². This initiative follows many years of

⁹¹ For a detailed exposition of considerations regarding the structuring of the Premiers' office, see Koster (1994). Note specific recommendations regarding the establishment of a professional policy and information capacity, Annexure IV of this document.

⁹² The performance of the *RDP* as the major policy thrust has been much debated. This issue is not debated here, however, consult Coetzee (1995).

policy stagnation in the *apartheid* context and the later *total onslaught* policy thrusts of P.W. Botha. A renewed emphasis on both policy analysis and policy-making processes is expected in years to come.

2.3 SELECTED PERSPECTIVES ON POLICY INITIATIVES PRIOR TO THE ELECTIONS

Whilst policy management, particularly policy analysis and formulation, received very prominent attention during the course of 1994, the years preceding the election were characterised by policy management being in a state of limbo. This trend is well illustrated by numerous policy initiatives that lacked legitimacy and participation. Two particular lessons are noteworthy. On the one hand, policy initiatives prior to the elections gave some, albeit limited, experience of the management of policy processes, even if only in terms of what not to do. Policy issues affecting urban development have been particularly prominent and attention will be given to this topic in the section below. On the other hand, the very nature of policy processes prior to the election led to large-scale forum activity, and lessons of experience on this issue are significant⁹³ and will be reflected upon below.

Experiences from the recent past, especially the two years preceding the election, show that the nature of policy-making activity had a distinct emphasis on analysis and debate rather than formulation because the political mandate for such actions was unacceptable⁹⁴. Forum activity, however, introduced a participatory approach to policy making after years of centralised and exclusive policy making but resulted in inertia. Conferences⁹⁵ and workshops have increasingly focused on this issue and give a good indication of trends in this regard. Almost no literature is available on policy-making processes at the political level. Important trends in the contemporary debate emerged during these workshops and some of these issues are well worth reflecting

⁹³ In interviews with several international and local scholars (Zimmerman, 17 July 1994, Robert Behrens, 25 July 1994, Chris Heymans, 24 October 1994 and 20 June 1994, Khehla Shubane, 15 November 1994, Mark Swilling, 26 May 1994 and Jabu Sindane, 4 November 1994) forum activity in South Africa has been described as representing significant policy-making (preparation) initiatives. Bridging the gap of representativeness and legitimacy, these forums explored common options in policy and strategy generation in both socioeconomic and political fields.

⁹⁴ Illustrated by the revision of the 1986 *White Paper*, which is discussed further in this section.

⁹⁵ See for example De Coning 1994(b) on the government policy workshop, 24–25 October 1994, Gallagher Estate, Midrand.

upon⁹⁶.

In the two years preceding elections, forum activity mushroomed and represented a particularly interesting trend in transitional policy making. The South African experience included the establishment of political and economic forums at national, provincial and local levels. By way of example, the *Multi-Party Negotiating Forum (MPNF)* was a national level forum of a political nature (represented by political parties or movements), which negotiated the *Interim Constitution*. Numerous national economic forums existed. In addition to the *National Economic Forum (NEF)* numerous sectoral policy forums in the areas of health, civil service, education, water, electricity, etc., existed (also see the discussion of sectoral policy development of the *RDP*, section 2.2). Over and above socioeconomic and political forums at the national level, similar forums existed on regional and local levels. At the regional level, economic forums such as the *Regional Economic Development Forums (REDF's)* in the Northern and Eastern Transvaal were affiliated to so-called Political Discussion Forums. At the local level, a plethora of forums existed of which metropolitan forums, such as the *Central Witwatersrand Metropolitan Chamber (CWMC)* played an important role. It is worthwhile to note that forum activity was low-key, if not non-existent in some small towns and rural areas. The area of rural local government was particularly neglected as forums in this area (such as *CONTROLESA*⁹⁷) focused almost exclusively on political matters⁹⁸.

Against a background of historical isolation and conflict between government and extraparliamentary groupings, political changes have opened up a development debate, allowing creative ideas on development issues to emerge through forum activity. Sectoral, regional and local forums especially have succeeded in bringing together,

⁹⁶ An example in this regard is the workshop on policy skills which was hosted by the *Urban Foundation*, the *Kagiso Trust* and the *Kennedy School of Government (Harvard University)* at Dikhololo, Brits, 19 – 23 January 1994. The attention was mainly on the development of policy skills, policy analysis and techniques, and also on the content of future South African policies. The workshop drew together representatives of government, development organisations and non-government organisations (NGOs) of developmental and civic backgrounds. Cas Coovadia (*Civic Association of Johannesburg*), Lerato Phalatse (*Women's Development Banking*) and Jeff Baqwa (*Alexandra Clinic*) reflected on South African policy experiences (De Coning (1994(b))).

⁹⁷ *Congress of Traditional Leaders of South Africa*.

⁹⁸ The debate around rural local government is highly relevant but not explored in this context, see De Coning (1991) and McIntosh and Vaughan (1994).

perhaps for the first time in our history, key role players such as government, organised business, labour, political parties and civil society to explore negotiated economic and development strategies and development priorities. Consensus on development issues and priorities markedly improved development efforts in the transitional period (after elections). More important though, these forums were seen as embryonic initiatives that were to lead to future representative regional institutions. This aim was realised to some extent when both projects were taken over⁹⁹ and staff of the Regional Economic Forums were placed in key positions in the new provincial governments¹⁰⁰.

At the time, especially during 1993, there was a need for building up the capacity of some South African development organisations to allow them to participate effectively in the policy debate. This was especially true of NGOs and civics. In the preelection phase the policy debate took place in the context of complex negotiations in which civics and political parties, for example, had different roles to play. South Africans, as observed by De Coning (1994(b)), did not reflect enough on what they could learn from their own experiences about policy analysis and implementation during forum activity. This was true of the multi-party negotiations at the *World Trade Centre*, Kempton Park, in 1993, and particularly of the *Consultative Business Movement (CBM)* regional exercise (February 1993), the *CBM* fiscal exercise (September 1993) and the *Commission for Demarcation and Delimitation of Regions, Multi-Party Negotiating Council* initiative (May to August 1993)¹⁰¹.

Although the important role played by forums in policy and strategy formulation during the pre-election period is generally accepted, a lively debate has been initiated on the future of forums. Some players feel that forums were quite functional at the time but that their usefulness has now been depleted; whilst other players feel that forums have much to offer to *RDP* policy-making processes in a reviewed format as

⁹⁹ A particularly good example is that of the *Institutional Audit (IA)* of the public sector in the Eastern Transvaal. The project, managed by the REDF prior to the election, handed the preparation work over to the new Provincial Government after elections. Interviews with Dave Arkwright, 25 November 1994 and Pieter Rootman, 30 March 1994.

¹⁰⁰ Numerous examples exist. In the case of the Eastern Transvaal, Pieter Rootman, Director of the REDF, was appointed a Director in the office of the Premier (interview with Matthew Posa on 30 March 1994.). Other examples include Andrew Feinstein in the case of Gauteng (interview 28 April 1994), Paul Daphne in the case of the *North-West Province* (interview 28 November 1994) and Howard Gabriels (*RDP Office*), interview 21 December 1994.

¹⁰¹ This initiative will be discussed in detail in Chapter 6.

the private sector and civil society need to ensure their input into policy-making processes on a continued basis¹⁰². This dilemma is classically argued by Heymans (1994(a)) in an article titled, “*Forums as statutory bodies?*”, in which the dilemma of forums and their options is spelt out. On the one hand, forums, as statutory bodies, would qualify for funding by government, but would be prescribed to as to the nature of their membership. On the other hand, forums, as non-statutory bodies, have the disadvantage of not being funded, but have the advantage of voluntary membership.

It is important to note that *the Institute for a Democratic Alternative in South Africa (IDASA)* and the *Consultative Business Movement (CBM)* played an important role in facilitating forum establishment and management¹⁰³. However, these capacities have largely been diminished as *CBM* closed down their regional offices when the *National Business Initiative (NBI)* was established. The loss of such facilitating capacities may impact negatively on forum activity in future.

Even though policy development became truly dynamic only during the two years prior to elections, (during the forum phase, discussed above) and in the period after elections, (see the discussion on the *RDP*) there are some useful lessons on the management of policy-making endeavours prior to this. Players active in the formulation of the *RDP* were often involved in policy exercises of the previous political dispensation and learnt important lessons, even if it was how not to do policy formulation and analysis. Although there are numerous examples, especially on the sectoral level, some experiences in the urban research field should be noted. During the 1980s several individuals and organisations focused on this area¹⁰⁴.

The 1986 *White Paper on Urbanisation* and its subsequent revision was of particular importance. Important policy work on the shift of thinking towards “positive urbanisation” characterised this period which led to a rediscovery of the urban field.

¹⁰² Also compare Swilling (1990(a) and (b)) on the importance of the role of civil society in policy-making processes. Also see Shubane and Shaw (1993).

¹⁰³ Numerous examples exist. Ivor Jenkins from *IDASA* originally facilitated both the Northern and Eastern Transvaal Negotiating Forums whilst Andrew Feinstein (*CBM*) chaired the *PWV Forum*. (Interviews on respectively 18 November 1994 and 15 April 1994).

¹⁰⁴ This area is not discussed in any detail, see Bekker (1988), Bernstein (1989), Coetzee (1988, 1989(a), 1989(b), 1990(a), 1990(b)), De Beer (1986), Dewar, Todes and Watson (1985(a) and (b)), Mabin (1989 and 1990), Olivier, De Coning and Coetzee (1989) and the Urban Foundation Series (1990(a-d)).

The *DBSA* base work on urban development has been ongoing since the early 1980s and culminated in the Urban Programmes supported by an *Urban Development Planning (UDP)* approach¹⁰⁵.

At the time, important conceptual frameworks were also introduced, such as the *Integrated Approach to Urban Development* by Stef Coetzee (1988). The *DBSA* team, under the leadership of Coetzee (August 1989) also formulated the *MTC Urbanisation Framework*. At an earlier stage (May 1989) this framework was also presented within the Namibian context (Olivier, De Coning and Coetzee, 1989). These experiences showed that it was important to use professional policy analysts and that it was important to work with (internationally) accepted conceptual frameworks in multidisciplinary fashion. These initiatives also showed how difficult it was to formulate meaningful policy at the national level despite containing sufficient specifics to be realisable at the provincial and local levels. In subsequent initiatives to review the 1986 *White Paper on Urbanisation* by the President's Council, the *DBSA* stance at the time was that it was willing to provide the Council with a *DBSA* submission but not to act as a "Council Secretariat". This illustrated the *DBSA*'s reluctance to assume the role of government in formulating White Papers, especially given the legitimacy crisis.

The above perspective shows that all policy endeavours during policy initiatives prior to the elections had, serious legitimacy problems. This situation was also reflected in the nature of research undertaken at South African universities and research institutions, which were very polarised at the time. However, base work done during this period¹⁰⁶, also with regards to areas such as regional industrial development and decentralisation, laid an important foundation for policy analysis and research, even if it only showed what to avoid. Some of these exercises may be worth revisiting in years to come in order to improve our own understanding of the nature of policy-making exercises under such conditions¹⁰⁷.

¹⁰⁵ The *Urban Development Planning (UDP)* approach is not discussed here. It provides for a planning approach which involves active participation by all players and views areas in regional economic context in a comprehensive matter, including socioeconomic, institutional and financial issues.

¹⁰⁶ For a discussion of pre-February 1990 attempts at restructuring and macroeconomic policy adjustments, consult Jahed (1995:186–204).

¹⁰⁷ For a perspective on trends and tendencies in the urban field during the 1980s and 1990s, inclusive of policy trends, see Coetzee and De Coning (1994).

2.4 MACRO-INSTITUTIONAL CHANGE, PUBLIC SECTOR TRANSFORMATION AND POLICY MANAGEMENT

Public sector transformation in the context of fundamental political change is a strategic area on the South African policy-making scene¹⁰⁸. The public sector, together with the family of development agencies, is primarily responsible for policy implementation and the realisation of the *RDP*¹⁰⁹. Moreover, the management of change by both politicians and public sector officials is vital in ensuring South Africa's policy-making capacity¹¹⁰. In the section which follows, attention is given to macro-institutional change and public sector transformation, whilst particular attention is given to the restructuring of policy, research and information capacities. This section, in line with the content of the rest of this chapter, aims to provide a perspective on contemporary and historical trends (in South Africa) and does not endeavour to explore the theoretical underpinnings or the international experience in this field. The theoretical discussion of these aspects will be dealt with in Chapter 5.

Macro-institutional change implies transformation which transcends organisational restructuring (see Chapter 5) and implies a fundamental review of functions to be performed¹¹¹. If applied to the need to restructure policy, information and evaluation capacities, the conceptual understanding of a variety of manifestations of such services, including subfunctions, needs to be examined more closely. If a functional approach to the restructuring of these capacities is taken, it is clear that a number of considerations arise. These include that priority functions should be identified and consolidated, that the interrelatedness of those functions should be considered and that special care should be taken to enable key human resource capacities in these areas to perform such

¹⁰⁸ Compare Koster (1993). During a workshop with key players in South Africa, policy and planning were identified as key components of a strategic agenda for public sector transformation.

¹⁰⁹ With development agencies is meant, the *Development Bank of Southern Africa (DBSA)*, *Kagiso Trust*, *Mvula Trust* and the *Independent Development Trust (IDT)*.

¹¹⁰ For a perspective on the management of change in this context, see De Coning (1994(a)). Also compare Benington and Hartley (1993) for an international perspective on the strategic management of change in the public sector.

¹¹¹ A functional approach to public restructuring is important. Koster, in an interview on 30 January 1995, speaks of the three dimensions of transformation, namely, normative (legitimacy, professionalism, transparency, etc), secondly, structural (rationalisation of, for example, intergovernmental relations) and lastly, functional (new functions, service delivery, etc.). During a public sector (provincial) workshop facilitated by the author (April, 1994) it became clear that the delineation of powers and functions between tiers of government is an important first step before institutional and organisational (inclusive of human resources, budgeting) restructuring can take place (De Coning (1994(d))).

functions.

In the area of policy, information and evaluation in a broader context, functions and subfunctions that are paramount include policy management, including the subfunctions of policy process facilitation, policy analysis, policy design, policy formulation and dialogue, policy implementation and policy monitoring and evaluation. The function of information generation includes subfunctions such as development information, institutional information, government statistics, information coordination and management, information analysis and interpretation and information dissemination. Evaluation includes provision of evaluation information, the conceptual framework design for evaluation, implementation evaluation, policy evaluation and policy process evaluation. In addition, the broad area of research is supportive to the above and includes development research inclusive of macro socioeconomic, sectoral and functional research areas. In addition, technological, social science and natural sciences research are important.

This section makes use of the concept of macro-institutional development, as development management is a shared responsibility between all three categories of players namely, government, the non-governmental players and civil society. Regarding policy, the establishment of the various roles and responsibilities of these players has been exploratory during both the forum phase and the transitional period. The continued existence of forums, albeit in whatever form, has generated a heated debate¹¹² and finding vehicles through which the private sector and civil society can make policy inputs into the governmental policy processes has become a priority.

Public sector transformation will impact on all levels of government. The present debate on the future roles and responsibilities of the three levels of government is important in this regard since the public sector here embraces government departments and administrations, statutory boards and councils as well as public corporations. Priority areas for public sector transformation include issues such as leadership, human resources management, functional and organisational restructuring, policy and planning capacities, the management of financial resources, training and intergovernmental

¹¹² As discussed in section 2.3, see Heymans (1994(a)) where the various options for forums as statutory or non-statutory bodies are being debated.

relations¹¹³ (De Coning, 1994(a):13–16).

Multilevel policy making includes the role of governments in developing regional policy and providing the necessary executive capacity for implementing these. Several specific options exist for institutionalising these functions. Policy and planning departments close to the new provincial cabinets could foster essential policy-analysis capacities. Future advisory bodies, perhaps an extension of existing forums, could ensure inputs from non-governmental organisations. Given limited skills and capacities at the provincial level, it may even be necessary for mobile specialist teams to assist the provincial bodies¹¹⁴.

Within the public sector, selective organisational capacity building¹¹⁵ in respect of key economic functions, financial management functions, as well as human resource management, is an absolute pre-condition for the successful execution of economic, social and financial management policies during the transitional period. It is important that selective strengthening efforts be carried out in order to ensure that public resources are utilised in a manner that is as cost effective and efficient as possible in the current constitutional and administrative dispensation¹¹⁶. The discussion which follows therefore places a special emphasis on policy capacities. In terms of restructuring policy capacities, mainly two dimensions are involved, namely the institutionalisation of

¹¹³ These are not discussed in detail, see De Coning (1993(a)), De Coning (1994(a)), De Coning (1994(d)), Koster (1993) and Koster (1994).

¹¹⁴ Given limited capacities, the concept of mobile support teams as suggested by De Waal (1993:32 and 1992) is of special significance. The lack of such support has been visibly absent during the latter part of 1994 from both the (national) *RDP Office* and key intergovernmental organisations, such as the *Commission for Provincial Government (CPG)*. In a workshop of the *Commission for Provincial Government* (28 November 1994) these perspectives were conveyed. This issue again featured at a *HSRC* conference at the St George's Hotel with constitutional experts on 19 and 20 January 1995. In a presentation by the author particular emphasis was placed on the coordination of policy capacities in government and the need to foster policy, information and evaluation capacities, also at the provincial level.

¹¹⁵ For a specific discussion of policy capacities in the *Premiers Office* (North-West Province) compare Koster (1994). Especially Annexure IV is of note. This document consists of advice to the *North West Province* which has since been approved as a point of departure by the *North West Cabinet* (October 1994). Considerations spelt out include that such policy capacity should not substitute any normal function performed by the sectoral provincial departments, that it should focus on strategic issues and that advisory panels could be appointed for consultation. Also interviews with Job Mokgoro on 16 November 1994, 28, 29 and 30 November 1994.

¹¹⁶ It is foreseen that a policy regarding optimal public sector size in relation to functions and needs will have to be put into effect. Such a policy will include the formulation of a sub-policy of retrenchment and redeployment occurring as a result of either administrative rationalisation or the implementation of a new constitutional and administrative dispensation. It is also imperative that norms and standards be established to inform this management process (Koster, 1993).

policy, information, research, science and technology capacities amongst a range of organisations at a macro-institutional level (interorganisational), and secondly, the institutionalisation of policy capacities in an organisational setting (intra-organisational, see section 5.5), as well as within government.

With regard to the first, i.e. the institutionalisation of policy and information capacities, research (social and scientific) and technological capacities in and outside government for the country as a whole, preparation work for restructuring is taking place at present¹¹⁷. Given the restructuring of central and provincial government departments, support services, as discussed above, have come under scrutiny. The expected restructuring of development agencies is quite a logical step if it is accepted that such a network of policy, information and evaluation support should be superimposed, should 'fit' and indeed support a socioeconomic management system (governmental, but also macro) for a South Africa that is fundamentally restructured. Several base principles and considerations exist¹¹⁸. There is a fair degree of consensus that successful implementation of the *RDP* depends on sound policies, backed up by reliable information and management, monitoring and evaluation. This has institutional implications because these processes require that government, civil society and the private sector to have access to policy and information capacities. Key considerations for institutionalising policy, information and evaluation capacities in interorganisational context, at the macro level in the present South African debate, include the following¹¹⁹:

¹¹⁷ During the latter part of 1994, the *RDP Office* convened a meeting with the *DBSA*, the *Central Economic Advisory Services (CEAS)*, the *National Productivity Institute (NPI)* and *Central Statistical Service (CSS)* to embark on a participatory process to develop options in this regard. It is worth noting that organisations such as the *Human Sciences Research Council (HSRC)* and *Council for Scientific and Industrial Research (CSIR)* were not included in this revision at this stage (by January 1995). It should be noted that the nature of the research and scientific community at large is also under investigation. John Mouton (interview 14 December 1994) from the *Centre for Interdisciplinary Studies* (Stellenbosch) and the *HSRC* is completing such a study at present.

¹¹⁸ An international perspective on principles and base considerations for restructuring interorganisational policy, information and evaluation capacities are not given here. However, see the African Capacity Building Foundation (1992), Dror (1983(b), 1987(a) and (b), 1989, and 1990(a) and (b)), Grindle and Thomas (1991:121–151), Kardam (1993), Lamb and Weaving (1994), Porter (1980), Roberts (1990), and the World Bank (1991(b)).

¹¹⁹ Derived from material obtained during working sessions with the *RDP Office* and *DBSA* preparation initiatives. See the report entitled: *Institutionalising policy, information and evaluation capacity in support of the RDP* (Heymans, 1994(b)).

- Broad policy, information and evaluation support is needed at macro¹²⁰, sectoral and functional levels (of the *RDP*), by the Government and other key players. This requires a fully fledged multidisciplinary approach. Not only should it include macro socioeconomic management, but also multisectoral dimensions (e.g. tourism, industry, education, health, etc.). In addition, such an approach should be multifunctional, i.e. include vital areas such as institutional capacity building, financial management, planning and programming. As noted under the discussion of the *RDP*, provincial policies (on the above) also need to be developed with regional development bringing quite a different policy angle to the fore.
- As with public sector transformation, it is important that such efforts be approached from the point of view that form follows function. With the management of change it is important that strategic priorities be established (such as the objectives of the *RDP*), and functional areas be confirmed or reviewed before embarking on the actual restructuring of organisations. In this process, concurrent attention to institutional development, including human resource development, is paramount¹²¹.
- Such capacity clearly needs to be established inside and outside government both in line departments, development agencies, and at universities and research organisations. Such a balance is vital to ensure that alternative options are considered and critical views given. The standard of research amongst the research community is therefore important.
- An integrated relationship exists between the policy, information and evaluation functions and institutional capacity building in support of policy execution. To facilitate policy development, the ability to conduct policy-relevant research and analysis as well as to formulate and evaluate policy is a core function, as is

¹²⁰ Governments also normally give special attention to strategic advice and a range of options exist in this regard (Hughes, 1994:168).

¹²¹ In a discussion with Koster on 11 January 1995 a special emphasis was placed on institutional capacity building efforts in this context. Koster is of the opinion that any restructuring efforts should be accompanied by institutional development support and that such capacities should be especially provided for, also financially, in this process.

the ability to set strategic goals. Furthermore, reliable information forms the backbone of such research and analysis. Finally, evaluation and monitoring is directly related to the above to assess policies, indicators and to review policies and implementation procedure. This interrelatedness should be considered during restructuring efforts.

- Although the balanced nature of policy capacities in and outside government has been stressed, it is also clear that government should have committed capacities¹²² serving particular line departments or other receiving elements in the governmental policy environment. Intergovernmental restructuring of policy capacities is very dependent on clarity regarding where and by whom powers and functions are to be performed¹²³.
- Furthermore, with regard to the intergovernmental restructuring of policy capacities, the availability of skills is a consideration and various options exist for centralising or decentralising. By way of example, whilst the *Department of Manpower and Labour* may require specialists on labour issues, skills required at a macro level may be more lateral, multisectoral and development orientated¹²⁴. Furthermore, the placement of such capacities, directly in government or development agencies (with perhaps more perceived neutrality), may impact on the integrity of policy, information and especially evaluation.
- The degree of independence that the government wishes to accord the

¹²² The international experience of such capacities is not discussed here. Important lessons of experience may include government think-tanks such as in the USA, UK, East Asia and Botswana examples, non-government think tanks (USA, UK) and quasi-independent policy centres (Korea). See section 5.4 and Heymans (1995).

¹²³ During a meeting between the author and Minister Tito Mboweni (Minister of Labour) on 2 September 1994 during which technical advice was given on this topic, the delineation of subfunctions and the consideration of exclusive capacities for the Department vis-à-vis shared capacities elsewhere in government were discussed. Departments such as these require information not generally collated in, for example, the specific format required. Clearly, the *Department of Labour* needs direct access to specialist information such as income, unemployment, nature of the labour force, labour-relations statistics, etc.

¹²⁴ Such macro policy capacities at the national level in South Africa especially concerns the *RDP Office* and the *Departments of Finance and Economic Affairs*. The *RDP Office* requires support of a multisectoral development nature, in order to, for example, monitor and evaluate *RDP* targets across the interest of line departments. Interviews with Deon Richter, (29 April 1994) and Nick Vink, (9 March 1994). Such advice was given to Minister Jay Naidoo during May 1994. These considerations also apply to the *RDP Offices* at the provincial level. Interview with Matthew Posa (Premier, Eastern Transvaal) and Pieter Rootman (Director, Development Planning), both on 30 March 1994 in Nelspruit.

analytical processes is important. Whilst independent and critical views are needed, certain levels of control and alignment to strategic priorities are important. It is important for government to ensure that such policy support is credible, even though fairly independent¹²⁵. This consideration is relevant to national and provincial levels of government in the South African experience. Provincial governments are also in need of relatively independent information and policy capacities, for example indicators, criteria and data will have to be applied to operationalise the equity grant transfers as recommended by the *Financial and Fiscal Commission (FFC)*.

- In the present South African debate on the restructuring of development institutions, the danger exists that the integrated nature of key capacities in areas such as policy process facilitation, institutional capacity building, constitutional advice and salient information capturing, may be fragmented and lost. Specialist areas such as these develop only after years of operationalising institutional approaches (which are difficult to develop, though vital for development) and few such skills exist.
- In the South African context, policy and information capacities that are primarily development orientated, such as the Centre for Policy and Information at *DBSA*, have developed very specific approaches, such as a mix between human and economic factors as well as institutional and environmental considerations. In a development context the reconstruction and development effort, i.e. the *RDP*, requires support that is aligned to the objectives of the *RDP*, and specific attention should be given to issues such as the facilitation of civil society input and facilitation generally. Special care should be taken to ensure that such capacities are further developed.
- Specific transitional dynamics in South Africa may have a very direct influence on the process. Under the circumstances it is doubtful whether a fully

¹²⁵ In the international experience, important lessons exist. These frameworks are further explored in Chapter 5. However, particular note should be taken in this context of three organisational models put forward by Roger Porter (1980:229–252), namely adhocracy, centralised management and multiple advocacy in the United States presidential experience. As will be discussed in Chapter 5, De Waal's (1993) perspectives on adhocracy in the South Africa experience is noteworthy.

functional view can be taken as all functions are not yet clear and the restructuring of all capacities (and organisations) is unlikely to occur. In the process of starting with a nucleus such as the *Development Bank*, the perceived “ownership” of departments such as the *Department of Finance* and the *RDP Office* may be paramount. The dangers of dislocating key networks and interrelated capacities are clear. Low morale amongst staff, questionable mandate, politicking by journalists and self-interest of individuals, to name a few softer issues, may have a direct impact on restructuring efforts.

- Establishing policy capacity should be seen as an evolutionary process rather than a rigid final model. Current reality demands that policy and institutional capacity support should be urgently rendered and that it should be widely accessible. Such support should be seen as objective and neutral (i.e. not necessarily a mechanism for national government). Such a support system should not be inhibited and constrained by the current public sector system and the way in which new capacity is created should not disrupt existing capacity to the extent where it will not be able to deliver timeously.
- As far as the public sector is concerned, the *RDP* will have to become performance orientated. Major policy work would be necessary to introduce strategies such as performance measurement audits and objective setting on an individual basis. Such policy work (and our current experience is proof of this) will have to be supported by capacity building or policy execution support. International experience, especially in Africa and in our own country, indicates that little attention and support is given to policy if it is not supported by the necessary advice and capacity building.

The above considerations are highly circumstantial and would have to be contextualised and applied according to the needs of the situation. Some key conclusions can be made. It seems evident that a critical mass of capacity needs to be established that addresses both the macro- and development-orientated policy on the one hand, whilst specialist skills (such as institutional) and sectoral specialists are also

needed. Political ownership and management¹²⁶ of these capacities are vital. While it is true that political ownership is needed in close proximity to the decision-making locus, some capacities should operate fairly independently to ensure intellectually competitive environments. These issues are further explored in the discussion on organisational context (see below) and will again be addressed in Chapter 5 as well as in the discussion on theoretical frameworks for policy management (Chapter 3).

2.5 THE INSTITUTIONALISATION OF POLICY, INFORMATION AND EVALUATION CAPACITIES IN AN ORGANISATIONAL SETTING: THE CASE OF THE DBSA

It is clear from the above perspective that fundamental macro-institutional change and public sector transformation are taking place in South Africa. These changes have had and still will have a profound effect on policy-making arrangements. In the context of a meaningful restructuring of the policy community (mainly in the public sector) and the alignment of policy analysis initiatives, especially to the *RDP*, the institutionalisation of policy capacities in an organisational setting have become of special importance¹²⁷. This is especially true because government would like to consolidate existing technical capacities (largely inherited from the old system) and introduce what it perceives to be legitimate policy capacities that can support new thinking and accommodate community input around the *RDP*. Although there are numerous examples, the *Development Bank of Southern Africa (DBSA)* is used here to illustrate the principles and key considerations of institutionalising policy capacity in an organisational setting¹²⁸ that may be of relevance to the institutionalisation of policy, information and evaluation capacities elsewhere in other organisations of a similar

¹²⁶ Several key issues and dimensions are of importance. These elements are addressed in Chapter 5. Particular note should be taken of the work of Dror, who specialises in this area. See Dror (1984, 1986, 1987(a), 1987(b), 1988(a), 1989, 1990(c), 1992, 1994(a) and (b)).

¹²⁷ The reader is referred to Chapter 5 for a theoretical discussion of institutional arrangements. This Chapter specifically deals with the institutionalisation of policy capacities in an organisational setting, particularly regarding the policy function in the *World Bank*.

¹²⁸ The example of the *DBSA* is used as the author has participated in such initiatives and material is directly available. This discussion should also be seen in the context of the restructuring of *DBSA* during 1995 in which the policy function received particular attention. The demonstration of contemporary considerations and principles may provide the basis for more rational decision making on these aspects in future. Application of these conditions and principles in the form of advice has been applied to especially the structuring of governmental policy capacities (the *RDP Office*, *Department of Manpower and Labour*, the *Premier's Office in the North-West Province*).

nature¹²⁹.

The *DBSA* came into existence during 1983 in terms of the articles of agreement between the South Africa and the *TBVC* states¹³⁰. The policy function first received prominent attention in 1983 with the establishment of the then *Institute for Development Research* under the Directorship of Freek van Eeden. The *Institute's* two departments were responsible for research as well as development information. During the *DBSA's* first few years, a need existed for a series of position papers on specific research (policy) topics. For this purpose the *Institute for Development Research* was established as "a separate staff function to insulate it from the incursion of daily operational responsibilities". (DBSA, 1989:3). Whilst acknowledging the importance of providing continued policy support to the operational activities of *DBSA*, the 1989 restructuring was motivated by the perceived need for additional policy work in the external environment: "One of the main features of the reorganisation is the removal from day-to-day operational work of all policy-related issues that cannot be resolved within the framework of existing policies, and which, therefore require systematic analysis." (DBSA, 1989:4). Clearly, the *Institute* at the time placed an emphasis both on policies of the external environment and the internal structuring of policy advice (DBSA, 1989:4-7). In March 1989 the *Institute* was restructured to form the *Centre for Policy Analysis*, headed first by Stef Coetzee, and during 1993 by Johan van Rooyen. The information function was performed by the then *Development Information Group (DIG)* under the Directorship of Dan du Plessis. Of particular note is the change from a hierarchical management structure to a programme approach (discussed later in this section) in September 1992¹³¹ (Figures 2.4 and 2.5). Subsequently, in June 1994 a major restructuring of the *Centre* took place and the new *Centre for Policy and Information*¹³² (*CPI*) included the policy,

¹²⁹ The *DBSA* is also used as an example because of the fact that the evolving management of these functions in the Bank as an organisation represents trends and tendencies from a particular time-period in the political development of the country. Adequate and sufficient records exist if such a specific study is to be taken further.

¹³⁰ An elaborate perspective on the historical development of the *DBSA* is not given in this discussion. However, the *Articles of Agreement*, Annual reports and other sources, as reflected in the above text, may be consulted for further reading.

¹³¹ Interview with Nick Vink on 25 January 1995. See DBSA (1992(b)) for a detailed exposition of programme management arrangements in this context.

¹³² From here onwards referred to as "the *Centre*" or *CPI*.

information and evaluation function (managed by Deon Richter as General Manager and Chris Heymans as Coordinator).

These organisational restructurings have been symptomatic of re-ordering and re-organisation of the policy, information and evaluation functions. Inter alia the restructuring resulted in a decentralised institutional development capacity. Most policy programmes have vital institutional elements¹³³. The introduction of a programme approach proved to be of value to other organisations. In the wake of this development, specific attention could be given to management arrangements, and in defining and giving effect to the policy, information and evaluation functions. These initiatives have been of particular importance and a brief perspective on the evolvement of the *CPI* since 1989 may enrich the discussion on contemporary and historical perspectives.

Organisational development workshop documents of the *Centre for Policy Analysis*, the *DBSA* annual reports, and internal policy documents bear testimony to the evolvement of the policy function throughout these years. It is noteworthy that during the late 1980s¹³⁴ and early 1990s¹³⁵, staff at the *Centre* found increasingly themselves in a dilemma with the external environment in the context of rapid political developments. Admirable efforts were made throughout the years to adapt to these changes and the *DBSA* largely succeeded in re-aligning the policy support function.

A SWOT analysis of the *Centre for Policy Analysis* in 1989 provides an interesting picture on the positioning of the Centre (see Figure 2.2). Although it had strengths to its advantage, such as an extraordinary mix of expertise, available resources and an adequate knowledge base, weaknesses included questionable bargaining power in the organisation. In the external environment opportunities included a strong need for such services, the alignment of the *DBSA* and the matrix system (multidisciplinary advantages). Threats, however, included acceptance by clients, work overload,

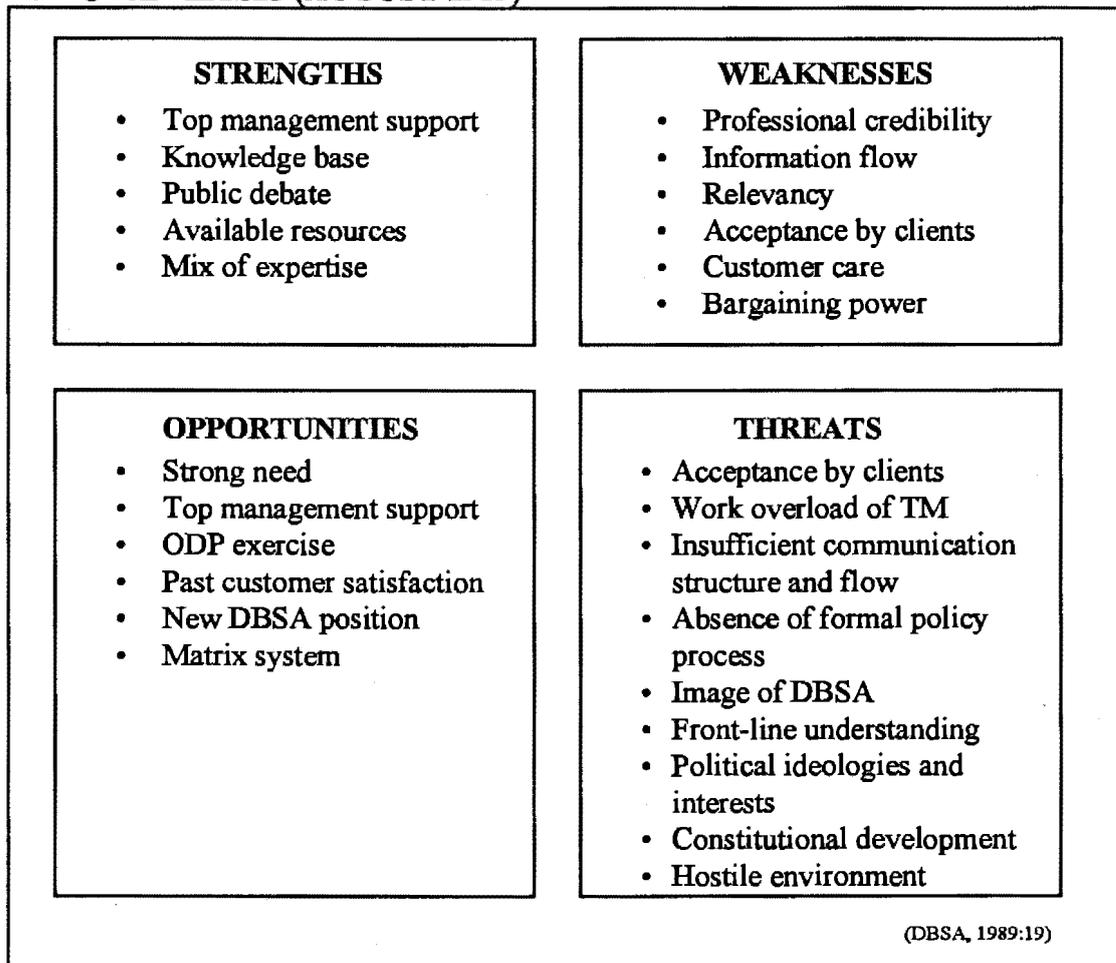
¹³³ Interview with Jan Koster on 30 January 1995.

¹³⁴ Compare the ODP workshop document of August 1989 for particular perspectives on the perceived external environment, guidelines for the *DBSA* policy function, the scope and dimensions of the task of policy analysis, mission statement, strategic profile, strategic guidelines and action plan.

¹³⁵ Interested readers are encouraged to consult the September 1992 Internal Policy Document of *DBSA* called *The policy and strategy function: scope, structure and management arrangements* (DBSA, 1992(b)). Particular emphasis is given to the composition and management of the programme approach.

absence of formal policy processes and an unstable environment (DBSA:1989).

FIGURE 2.2: SUMMARY OF A SWOT ANALYSIS OF THE CENTRE FOR POLICY ANALYSIS (AUGUST 1989)



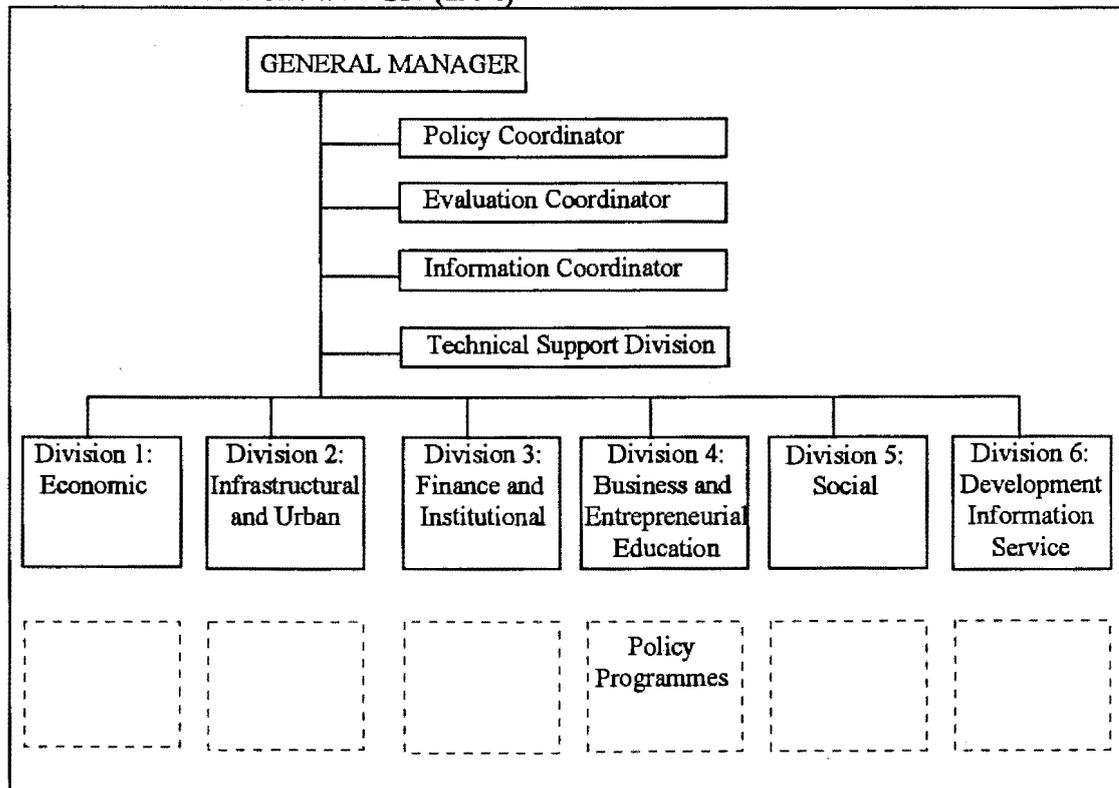
Of particular note during the 1989 restructuring was the move away from line-departments responsible for particular functions (Figure 2.4) towards a programme approach. This restructuring was in line with organisational development trends to attempt to ensure flatter management structures and a sharing of expertise (Figure 2.5). Rather than particular line managers, the programme management approach favours the utilisation of specific skills (such as management or specialist skills) in specific positions.

Management of the policy, information and evaluation functions rest on two legs: first, overall management of the *Centre* (focusing on broad strategic and functional matters) and, secondly, programme-specific strategic management of the various policy programmes, which is a *Bank-wide* responsibility (see Figure 2.5 for a depiction of management

arrangements of the policy programmes). The challenge faced by management in such a context has been to facilitate the necessary interfaces between these two dimensions. Programme Managers are responsible for strategic management of the issue-focused programmes within the relevant functions, but not for management of the *Centre* itself. Programme coordinators are responsible for the functional management of the issue-focused programmes within the relevant functions, but not for management of the *Centre* itself. *Programme Management Teams* provide the technical skills for execution of policy tasks. *Advisory Panels* advise the management and teams strategically (also compare DBSA, 1992(b)).

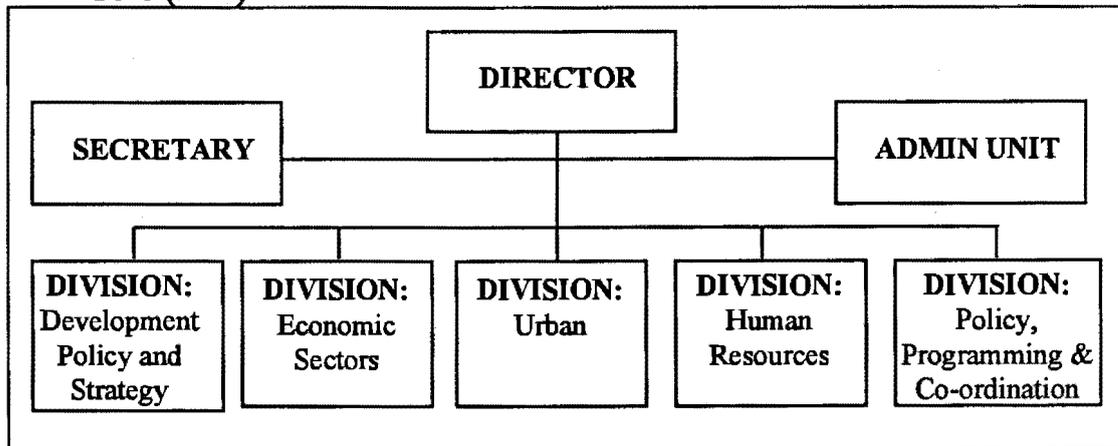
Overall management responsibility for the *CPI* rests with the Management Team of the *Centre*, which consists of the General Manager, the Manager: Policy Coordination, Manager: Information Coordination and the Manager: Evaluation Coordination. Divisional Managers are responsible for the respective cost centres (financial and human resource management). Policy and information analysts focus on particular issue-related areas but have no line management responsibilities (Figures 2.3 and 2.5).

FIGURE 2.3: ORGANISATIONAL STRUCTURE OF THE CENTRE FOR POLICY AND INFORMATION (1994)



The institution of the programme management approach, which will be discussed in the following section, was accompanied by an important change in management arrangement. In order to achieve *inter alia* a flatter management structure, a distinction was made between the management of policy programmes (work content) and human and finance resource management (performed by Divisional Managers). Two changes are apparent from Figures 2.3 and 2.4: on the one hand, the policy, information and evaluation coordinators in Figure 2.3 have no human resource or financial management responsibility, but are accountable for the integration of these functions across programmes; on the other hand, analysts are active across the various programmes as indicated in Figure 2.3, whilst being managed as a human resource within a particular division. When compared to the situation in 1989 (prior to the introduction of the programme management approach in 1992) it is clear that policy, information and evaluation were managed within divisions (with some contracting taking place); and work content and human and financial resource management were managed by the same person (Figure 2.4). It is not at all clear cut that the programme approach is necessarily more effective than a line management approach¹³⁶, as much depends on how these approaches are managed.

FIGURE 2.4: ORGANISATIONAL STRUCTURE: CENTRE FOR POLICY ANALYSIS (1989)



The overall strategic management of the policy and information functions is undertaken through the *Policy Committee (PC)*, which includes all the people referred to above, as well as all the General Managers (most of whom would in any event be represented as

¹³⁶ More so than with policy, where lateral integration is of the essence, an interview with Dan du Plessis on 17 January 1995 revealed that the programme approach is less effective than a line management approach as far as the information function is concerned. This is especially so because of the specialist nature of the information function.

Programme Managers). The *Centre's* GM chairs this committee, with the Manager: Policy Coordination as vice-chairperson and alternate. This committee meets on a monthly basis, but could be called together for special meetings if circumstances were to require it. To ensure a top-down and bottom-up flow of strategic perspectives, the mutual effort by *Executive Committee (EXCO)* and *PC* on the one hand, and the Policy Programmes on the other hand, is of the essence (also compare DBSA, 1992(b)).

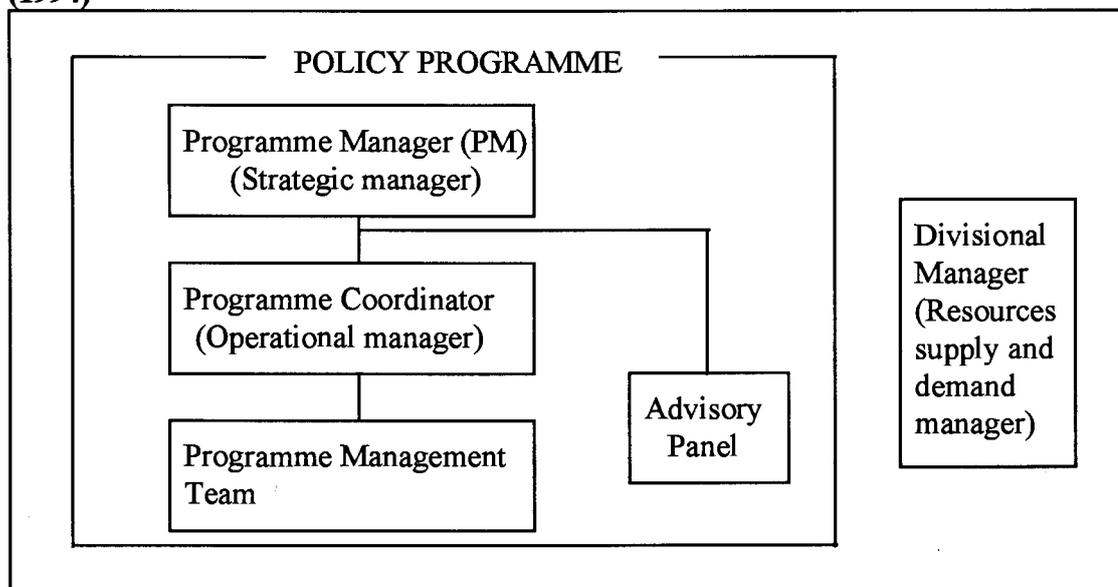
The functional management of the *Centre* is undertaken by the *Management Committee (MANCO)*. This committee meets on a weekly basis (except when *PC*-meetings are held in the same week) or when otherwise required. It comprises all the coordinating and Divisional Managers and Associate Directors in the *Centre* and is also chaired by the General Manager.

This committee enables the *Centre* to address strategic and functional matters on an ongoing basis and also serves as a channel for regular internal and external feedback and assessment. It is also the platform for facilitating alignment and focus in the Bank's policy, information and evaluation work (eg. linkages to the Human Development Programme, etc.). Naturally, this process of alignment filters through the other policy structures as well, but *MANCO* offers a particular opportunity for those most intensively engaged in the management of these functions to develop focus and strategies in a mutually supportive manner.

Effective day-to-day integration of key strategic and functional management is facilitated by a *CPI Coordinating Management Team*, consisting of the GM, the three coordinating managers and the manager of the Institutional Support Unit. The Manager: Policy Coordination is a member of *EXCO* and the *Operations Committee (OC)* so as to effectively develop a continuity in relating the *Chief Executive Officer (CEO)* and other *EXCO* members' strategic direction to the *Centre* as well as perspectives from the operational side of the Bank. This also ensures ongoing inputs from the *Centre* in those committees. Policy and Information Programmes are executed by *Programme Teams*, drawn from *CPI* staff, but also from appropriate staff members contracted in from the rest of *DBSA*. These team members, functionally managed for the purposes of the programme by the programme coordinator, would mainly be responsible for policy work under such a

programme. However, if appropriate, the contracting in of other staff members or external consultants to perform specific tasks, also takes place. An *Advisory Panel* supports the strategic management of each policy and information programme. The Panel is chaired by the Programme Manager and performs the role of a "think tank". Members are selected on the grounds of their ability to provide strategic inputs. These members could be *DBSA* staff members or external experts. In the light of their strategic functions, panels do not concern themselves with routine management issues. They are normally utilised to enlighten and guide the Programme Manager, Coordinator, Team or top management on strategic matters around the context and content of a programme (DBSA, 1992(b) and Heymans, 1994(b)).

FIGURE 2.5: MANAGERIAL ARRANGEMENTS: POLICY PROGRAMMES (1994)



Over and above the management arrangements, as discussed above, a brief perspective on the actual content of policy, information and evaluation programmes may be of value.

The policy and information functions of the Bank can be divided into four main Programmes. Each of these consists of several programmes, each with its own management arrangements, as discussed. These programmes are responsible for executing strategic and business plans, culminating in various actions such as assignments (or research projects) of a pro-active nature, as well as operational technical assistance projects. Other products such as the facilitation of cooperation

grants for capacity building or workshops, are also managed by these programmes (compare the DBSA Annual Reports for 1990/1992; 1991/1992; and 1993).

The strategic and business planning and implementation of the policy, information and evaluation functions materialises through a series of programmes. Main Programme One focuses on Macroeconomic policies, strategies and structural reform¹³⁷. Main Programme Two focuses on strategic development themes. The Information Programmes of Main Programme Two include Human Development; Poverty, Human Development and Quality of Life; Demography; Gender; Youth; Land; Finance; Institutional; Environmental; Natural Resources and Technical Information Programmes. There is also a special information programme for Economic and Human Development Reports on Provinces. Main Programme Three focuses on sectoral policies and strategies. The Fourth Main Programme is concerned with Bank strategic and operational policy and consists of the following programmes: Analytic Methods and Techniques; Policy on Evaluation; the Development Support Function; Policy on Policy and Policy on Information. The last-mentioned programme is of particular importance because it contains a programme on policy which is largely concerned with policy management and its facilitation as is depicted in this study¹³⁸ (DBSA, 1992(b) and Heymans, 1994(b)).

After the restructuring of the *Centre* during 1992, which resulted in the institution of the programme approach discussed above, the June 1994 restructuring integrated the three functions of policy, information and evaluation. The main reason for this restructuring (apart from the desire for a flatter management structure, as discussed) was the need to manage these functions as an integral whole. At the time it was felt that the information function should be strategically aligned to the policy function; and that strategic direction could be provided by policy programmes, which would inform information programmes about the nature of the information that should be compiled¹³⁹. Some particular perspectives on the nature and scope of the three functions during 1994 and 1995 may be of value (DBSA, 1995). To facilitate sound

¹³⁷ For a full exposition of policy, information and evaluation programmes of the CPI, see Appendix B.

¹³⁸ The contents of the Policy on Policy Programme is not discussed here. However, a Business Plan and Progress Report for 1994/1995 is available. Such analysis and facilitation support will become of critical importance in future.

¹³⁹ Various interviews with Richter, (specifically 18 November 1994 and 25, 29 January 1995).

policy, information and evaluation management, it is essential that these components be approached as an interactive system, each of which contributes a vital element (Heymans, 1994(b)).

The policy management function consists of a range of interrelated components, each of which forms a part of the policy process. Professional work includes ongoing research and policy analysis on the systematic development of policy options. This refers to professional work on policy design and analysis, including the activities of defining the problem or issue; identifying the underlying causes; defining alternative policy options; recommending a preferred policy option; and evaluating existing policies as well as new policy applications. Such professional work will always have as an outcome a specific product, such as a report with a predetermined status. The facilitating role of initiating and designing policy has become increasingly important. This may include facilitating policy-generating workshops on behalf of clients and providing a professional and administrative secretariat for clients in the external environment, if required. Policy formulation is often regarded as a very specific subfunction of policy management. Such a service is rendered on behalf of clients and may also be crucial to the policy analysis phase. Supporting clients with their efforts towards effective policy dialogue, advocacy and marketing dialogue refer to the service which are rendered on behalf of role players in the external environment, as well as the coordination of policy dialogue in the internal environment. Consequently, the translation of policies into realisable strategies, inclusive of action planning for specific role players, programming and budgeting constitute the implementation phase and is perhaps the final test. Ongoing policy support and advice during the implementation phase is provided to ensure consistency with other subfunctions, such as monitoring and evaluation. Policy monitoring and evaluation has become an essential subfunction of policy management. In particular, effective and efficient policies need to prove themselves during the implementation phase by the realisation of projects and programmes. The ongoing revision of policies is necessary and is usually based on particular policy monitoring and evaluation efforts.

In addition to the above, institutional arrangements and specific institutional capacity building efforts are often needed. This may include general policy, strategy and

planning arrangements, the general management component, financial management, people participation and the analysis and assessment of the sociopolitical environment. Issues such as the institutionalisation of policy capacity in an organisational setting may require particular attention. Of late, policy processes and policy cycles have raised particular interest, and this kind of assistance has often been rendered to clients of the *Centre* in the form of a capacity-building service concerning policy management as a whole.

The information function, as managed by the *CPI*, is closely aligned to the strategic objectives of the policy function. It consists of a number of elements which are addressed in a coherent and integrated manner in each information programme. Some of these elements are: networking to coordinate the supply of information which includes the identification of clients, their needs, sources of information, available data; and the acquisition, storage and retrieval of primary and secondary information. Information analysis consists of manipulating and interpreting data and information from external sources. Such data and information could be supplemented with internally generated information which is derived from the application of specific quantitative techniques. Such a service should provide scientifically calculated, comprehensive and updated time-series information and forecasts; and information dissemination which refers to the distribution of information and include the liaison function with users, the marketing of information products and services, participation in dialogue, the orientation and training of staff, advice on the information function, and the distribution of products of the information function (DBSA, 1995).

The evaluation function of the *DBSA*, and specifically of the *CPI*, consists mainly of the provision of information that enables management to gauge the efficiency and effectiveness of projects and programmes on a carefully selected sample basis, the analysis of lessons of experience concerning reliable principles and criteria which may be used to improve the design and implementation of current and future projects and programmes. A point of critique in this regard is the historical bias of performance evaluation on physical projects and programmes, but not on the policy and information functions. These programmes should, themselves, be targeted for evaluation and critical review and adjustment (see DBSA, 1995).

In addition to the specific functions and subfunctions above, it was found to be essential that the three main functions, namely policy, information and evaluation, were to be approached in an integrated manner as they were interwoven and interrelated in practice. The extent to which this was achieved is often a much-debated and controversial issue at the *Centre*. The Coordinators: Policy, Information and Evaluation, depicted in Figure 2.3, are responsible for such integration.

Some concluding comments are necessary. The above perspective focuses on contemporary and historical trends and tendencies and endeavours to provide a summary of arrangements regarding the institutionalisation of the policy and information function in an organisational setting. This is done with particular reference to the case study of the *DBSA*. The objective was to lay a foundation for comparison and theoretical analysis (in Chapter 5). As such, the above perspective does not provide a critique of these arrangements. However, the following are some of the key issues and base considerations that emanate from the above:

- The prominence of a policy and information programme management approach. Whereas the *Institute* and *Centre* – up to 1992 – made use of specific policy themes and were organised on the basis of departments to attend to these, policy work was approached on the basis of clusters of themes around which programmes were developed after 1992. The move away from a hierarchical structure meant that decisions could be taken by the programme management team without having to go through other decision-making structures, which achieved a flatter management structure. Furthermore, this enabled specialists to work across programmes and achieve a greater degree of integration between functional areas¹⁴⁰. A disadvantage was that there was less control over performance management because the content of work was appraised by one manager (the Programme Manager) whilst another manager (the Divisional Manager) was responsible for human resource management.
- The programme management approach improved the interdisciplinary nature of inputs made by various specialist fields and, furthermore, ensured that specialist

¹⁴⁰ Interview, Nick Vink on 25 January 1995.

areas such as institutional, environmental, financial and technical were matrixed with social and economic sectors. Strategic planning and programming was greatly improved and enabled the organisation to pursue multifaceted policy initiatives such as the coordination of the *RDP White Paper*. The integration of policy and information programmes proved to be successful in some cases (especially the economic and institutional programmes) and less successful in other cases, especially where information could conceptually not relate as directly to policy (for example the technology programmes).

- Strategic and business planning proved to be relatively successful in the programme context. This is due to the focused nature of programmes and the ability of *Programme Management Teams (PMTs)* to develop common frameworks in strategic understandings¹⁴¹.
- Management arrangements are particularly important. The advantage of the programme management approach is that those equipped to deal with human and financial management are tasked to do so without being burdened by day-to-day tasks. Similarly, specialists can focus on their work and leave management matters to those responsible for them. In practice, however, key staff members fulfil both roles and, in some instances, all the programme roles depicted in Figure 2.5 as well. Leadership skills involving strategic insight and human resources management have proved to be vital. The success of both the hierarchical and programme approaches depends on how leadership manages these.
- A much-neglected field has been that of evaluation. It is doubtful whether the evaluation function has come to full fruition in the context of the programme management approach as it has been fragmented across programmes. The necessary capacities to execute this function did not exist in the vast majority of programmes. A particular (line) department as existed in the past, may have been capable of a more systematic evaluation on selected projects and programmes over time. However, the integration of this function with the

¹⁴¹ The nature of strategic and business planning is not discussed here, it should be noted that such planning is both a top-down (*EXCO/PC*) and bottom-up (*Programme Teams*) affair.

Operations Complex, and that of the *CPI*, remains important.

- The lack of a proper Management Information System (MIS) has always been one of the *Centre*'s weak points and it is only fairly recently (June 1994) that a devoted capacity was created to accommodate such a system¹⁴². Basic procedures and systems take time to establish and this process should, in retrospect, have been embarked upon some years ago. The devoted capacity that was established in June 1994, did, however, prove to be valuable as an internal support capacity (see Figure 2.3). The necessary logistical and administrative support as well as financial resources are critical for the proper operation of an organisation such as the *Centre*. Such support and resources should be properly planned on a multiyear basis.
- The initiative, since 1983, to make special provision for a capacity (the Institute) in *DBSA*, to give attention to policy and information work, removed from day-to-day work, proved to be valuable, and specialist capacities have been established over time. Other organisations should note that it takes time to establish such capacities and develop common and specific approaches.
- Lastly, it is important to note that the policy and information function institutionalised in the *DBSA* is highly dependent on capacities in other organisations, which perform components of analysis and other functions. Relationships with these are therefore crucial.

The above discussion shows that there are various options regarding the institutionalisation of the policy and information functions. In simple terms, it could be centralised (such as with the *Centre* under discussion) or decentralised with operations. In practice, smaller policy capacities also exist in the Operations Complex. Regarding the lastmentioned, the advantage of a decentralised approach is that it functions closer to operations, whilst the disadvantage is that such a decentralised capacity has less of an ability to attend to macro issues and to integrate themes from other decentralised units. These issues will be discussed in greater detail in the theoretical discussion of

¹⁴² A range of other support units do exist in *DBSA* that serve the *Centre* directly, this discussion focuses on internal *Centre* support, i.e. administrative, budgeting, assignment and programme reporting, etc. Interview with Neels Wolmarans on 27 January 1995.

institutional arrangements for policy management (Chapter 5).

2.6 CONCLUSION

It is clear from the content of Chapter 2 that historical and contemporary perspectives on policy management in the South African experience provide many practical examples that illustrate the importance of policy management. This is especially true since fundamental political change during the last two years and the consequent strategic repositioning of the policy management field became apparent.

Contemporary trends in the South African experience show that political change has had a direct impact on the importance of policy management as is clear from the discussion on the *RDP* (section 2.2). The *RDP*, as the main thrust of policy for the mid-1990s in South Africa, has placed policy analysis and policy processes on the agenda of all key role players in the country, be they governmental, non-governmental or private sector players. This discussion shows that much operationalisation on sectoral, provincial and local levels still needs to take place and that this will be an evolutionary process that will create a very real demand for policy support capacities that can facilitate and direct these initiatives.

Policy initiatives prior to the elections (section 2.3) showed that forum activity has been a highly unique experience with many lessons for policy making processes in the post-election period. It should be noted that a culture of participation has been established that could facilitate mutual efforts towards policy and strategy generation in the 1990s. Although major problems existed with policy initiatives prior to the elections, especially given the illegitimate nature of such efforts at the time, the example of policy analysis in the urban field shows that some lessons of experience should be revisited and the implications for contemporary policy-making processes assessed.

Following the elections and the development of the *RDP*, macro-institutional change, public sector transformation and policy management will have a major impact on how policies will be managed in future. In particular, a range of institutional arrangements will have to be put in place to ensure a rational restructuring of institutional and

interorganisational capacities (section 2.4). Several principles and base considerations emerged from the discussion of the restructuring in South Africa at present and these issues will again be referred to in the theoretical discussion of institutional arrangements for policy management in Chapter 5.

Given this context, a specific effort was made to reflect on institutionalising policy capacities in an organisational setting. The discussion on the experience of the *Centre for Policy and Information* showed that there are several ways in which policy, information and evaluation capacities can be institutionalised in such an organisation. Specific lessons of experience were discussed and these will again be referred to in the theoretical discussion of the subject matter in Chapter 5. Some of these lessons of experience will also be reflected upon when the evaluation of the *CDDR* process is discussed in Chapter 6.

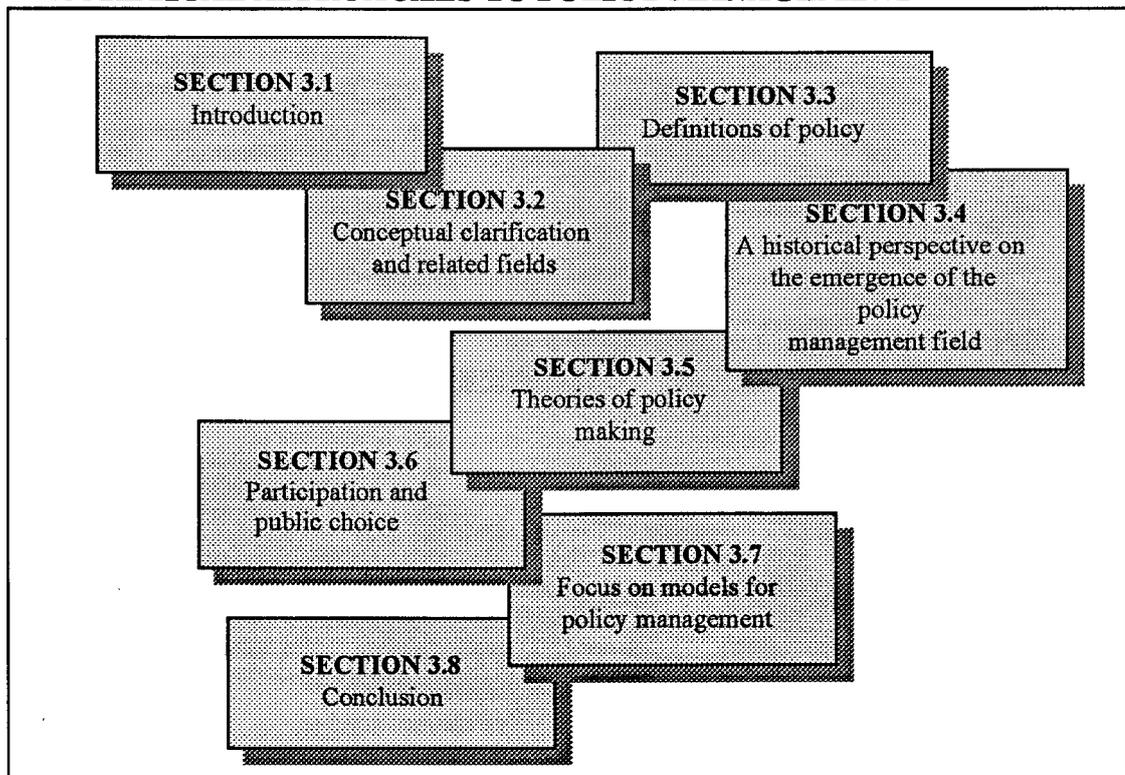
CHAPTER 3

OVERVIEW OF THEORETICAL APPROACHES TO POLICY MANAGEMENT

3.1 INTRODUCTION

In the context of the objectives of the study as depicted in the introductory chapter as well as the discussion of selected contemporary perspectives of policy initiatives in South Africa in the previous chapter, this discussion endeavours to establish an overview of theoretical approaches to policy management.

FIGURE 3.1: COMPOSITION OF CHAPTER THREE: OVERVIEW OF THEORETICAL APPROACHES TO POLICY MANAGEMENT



Attention will be given to conceptual clarification and related fields, issues of definition, a historical perspective on the emergence of the policy management field, theories of policy making, participation and public choice as well as models for policy management¹⁴³. As with the discussion on policy-making processes in the previous

¹⁴³ The theoretical chapter which follows (Chapter 4) and also the application of the case study exercise, (Chapter 6) are based on the theoretical underpinnings in the field as depicted in this chapter. The

two chapters, this discussion places an emphasis on theoretical frameworks relevant to policy processes and policy management. The discussion below will end by focusing on models relevant to policy making. Thereafter, in Chapter 4, an assessment will be made of theory relevant to policy process models. In particular, the emergence of the generic process model will be discussed.

3.2 CONCEPTUAL CLARIFICATION AND RELATED FIELDS

An analysis and assessment of concepts used in the field of policy management shows that specific terminology has been developed over time. It is necessary to briefly reflect on some uses of concepts and terms in the literature and in this study. Although policy¹⁴⁴, as a general concept, has been widely accepted for many years, a focus specifically on policy resulted in academic disciplines such as policy studies and policy sciences. The field has also been dominated by the concept policy analysis, especially during the 1980s. In this regard Patton and Sawicki (1986:5) point out that analysis itself could be seen as the breaking up of a policy problem into its component parts, understanding them, and developing ideas about what to do. They furthermore state that: "Many activities beyond analysis are involved in the policy development process, and the term 'policy analysis' may often be used when 'policy planning' would be more appropriate." Policy research (or social sciences research on policy matters) has also been a particular focus, especially at academic institutions¹⁴⁵. Of late, an emphasis on policy-making processes resulted in the usage of the concept policy management. For the purposes of this study the emphasis and focus is mainly on process elements and management arrangements of the policy-making process and the concept of policy management is therefore used¹⁴⁶.

Policy analysis and policy management, like strategic planning or research methodology, is a cross-cutting, lateral methodology which serves many academic disciplines. Anderson, in this context, points out that policy making also serves as an

emphasis on policy management stems from the importance of a holistic approach to policy processes and their institutional arrangements for policy making.

¹⁴⁴ For a discussion of definitions of policy and related concepts, see section 3.3.

¹⁴⁵ Weimer and Vining (1989:4–6) provide a discussion of academic research and its relation with policy research with specific attention to policy analysis.

¹⁴⁶ Also compare the perspective on term usage (section 3.3), the historical perspective on the emergence of the policy management field (section 3.4) and Chapter 4.

integrating mechanism:

A focus on policy making performs an integrating and unifying function for political inquiry and provides a criterion of relevance to use in deciding which political phenomena or events should be examined. Diverse actions are pulled together to explain the adoption and implementation of policies and the public's reactions thereto. Moreover, a policy approach is a highly useful approach to the study of politics because it can generate knowledge which has both social-scientific and practical value, and which helps explain how the process of governing works and what can be done to shape its course. (Anderson, 1994:290).

In its historical emergence, and although some intellectuals claim that policy studies is an independent field of study, the development of policy analysis and policy management is embedded in the development of various academic disciplines. The emergence of this field in public administration historically and most recently in public and development management, has been prominent (section 1.3). However, specific literature on the subject of policy analysis and management that pertains to its emergence as an academic discipline demands particular attention. Accordingly, a perspective on this study field is depicted below¹⁴⁷.

In what Dror (1991:3) refers to as clarifications rather than definitions, he employs the term policy analysis as approaches, methods, methodologies and techniques for improving discrete policy decisions. He describes the term policy development as "broader" because it deals with upgrading intra-governmental policy making as a whole. The author agrees with Dror that the terms policy studies and public policy studies imply more of a behavioral pattern. Some authors include in them both prescriptive and normative approaches. Dror's critique in this context needs to be noted (Dror, 1991:3). He observes that:

My own conclusion from many years of dealing with critical national choices is clear: the explicit state of the main stream of policy analysis in its different versions and nomenclatures, as expressed in the vast majority of literature and teaching is very useful for microissues but not for most of critical choices.

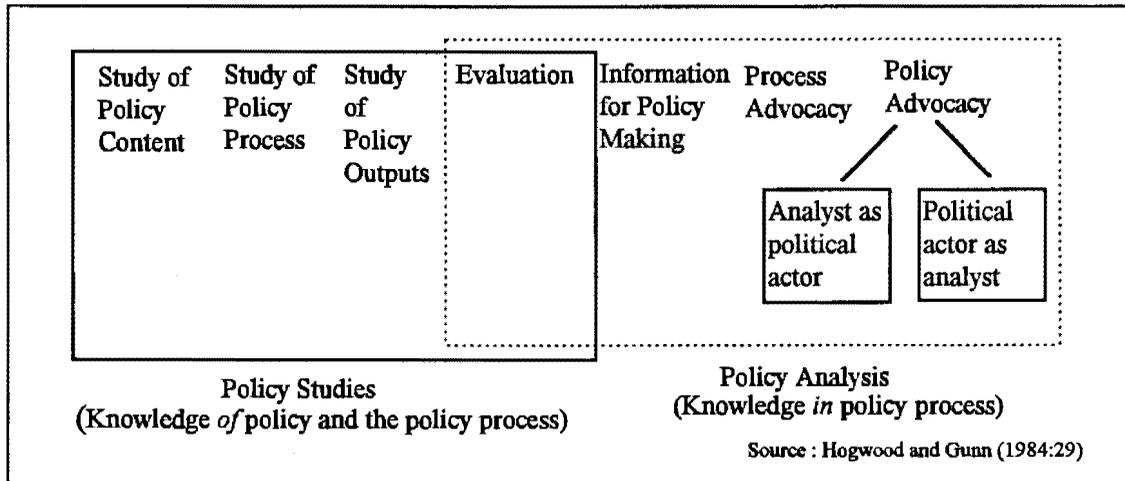
Dror goes on to outline the need for a quantum jump in policy analysis (called "grand

¹⁴⁷ This section does not attempt to provide definitions on policy and related concepts, see section 3.3.

policy analysis”) and outlines twenty-five principles¹⁴⁸.

In a discussion of different uses of the term policy analysis, policy sciences and policy studies, Hogwood and Gunn (1984:26) point out that various authors use these terms in different ways and at times interchangeably¹⁴⁹. A useful depiction of the above concepts is given by Hogwood and Gunn (1984:29).

FIGURE 3.2 : TYPES OF PUBLIC POLICY MAKING



The term policy studies is often used to indicate a descriptive or explanatory set of concerns (typically studies of policy content, studies of policy process, studies of policy outputs and evaluation studies, see Figure 3.2). The term policy analysis is often (but not exclusively) used for prescriptive activities, or knowledge in rather than of the policy process (evaluation studies, information for policy making, process advocacy and policy advocacy). The term policy sciences¹⁵⁰ is used by some writers as a synonym for (prescriptive) policy analysis and by others to include both policy studies and policy analysis. In general, policy studies is most often used for descriptive accounts and policy analysis for prescriptive exercises, with policy sciences as an umbrella term. (Hogwood and Gunn, 1984:28–29).

¹⁴⁸ This section does not endeavour to discuss these. However, the author identifies twenty-five principles that pertain to institutional issues and which are discussed in Chapter 5. Readers are referred to the original text (Dror, 1991).

¹⁴⁹ For comparative perspectives of the different uses of these concepts see Gunn (1976 and 1980), Gordon, Lewis and Young (1977), Rhodes (1979(a) and (b) as well as Sabatier (1987, 1988) and Sabatier and Jenkins-Smith (1993).

¹⁵⁰ For a discussion of policy sciences as first articulated by Lasswell and Lerner in referring to the relationship between policy sciences, social sciences and cross-cutting specialisations, see Brewer and De Leon (1983:9).

Further clarification of some of the concepts used above is important. With studies of policy content, the focus is on the descriptive nature of the origins, intentions and operation of specific policies such as housing, education, health and social services (Hogwood and Gunn, 1984:27 and Gordon et al, 1977:28). Studies of policy outputs typically seek to establish indicators of policy outputs such as determinants of the pattern of distribution of expenditure. Studies of this nature are typically involved in complex statistical analysis (Hogwood and Gunn, 1984:27). Evaluation studies seek to assess specific policies with regard to the extent to which their outcomes have achieved the objectives of the policy (also see section 4.4.8). Information for policy making refers to the collection and analysis of data (quantitative) with the objective of assisting a policy decision or advising on the implications of alternative policies (Hogwood and Gunn, 1984:27). In the case of process advocacy the specific intention is to change the direction of a policy process. A high value is often placed on particular approaches, procedures and techniques. According to Hogwood and Gunn (1984:28) the emphasis is less on what any particular policy should be but is rather on how policies ought to be made. Policy advocacy involves the use of analysis in making an argument for a particular policy. Both the roles of the analyst as political actor and as that of a political actor as analyst are controversial as they may do so at the expense of scholarly standards of objectivity and detachment. In recent years great emphasis has been placed on the analysis of analysis in the form of a critical appraisal of the assumptions, methodology and validity of policy analysis as a technique (Hogwood and Gunn, 1984:28).

In terms of the above, the emphasis of this study is on the policy process. In studies of the policy process (Hogwood and Gunn, 1984:27) the concern is with how policies are actually made in terms of the actions taken by various actors at each stage. As has been stated in the above discussion, policy management is a field of study which is applicable across academic disciplines. This characteristic poses the question as to its relationship to other lateral, cross-cutting and multidisciplinary fields of study. Although this question demands a study in its own right, some brief observations need to be made. Strategic management, research methodology, development planning and

project management are regarded as similar methodologies with related objectives¹⁵¹. It has been found that these disciplines do not compete with policy management but rather represent valuable sources of information and often act as vital parallel or cross-cutting processes in policy-making processes. An analysis of the basic steps of these processes shows that various elements interrelate. Attention will be given to some of these in the discussion that follows.

As is clear from the discussion on the history of policy studies (section 3.4), research methodology in the social sciences is closely related to policy management. This relationship stems from the communality of analysis and option generation in both research and policy analysis. In particular, a comparison of steps in the research methodological process and the phases of the policy cycle show that very specific areas are apparent where these processes could mutually reinforce the quality of analysis and research. Common basic steps in the research methodological process are generally accepted. These include the initial definition of the problem; delineation of field of study (and research design); the collection of data, which consists of two elements, namely, theoretical and empirical, usually a literature study and fieldwork; synthesis (evaluation and interpretation); and finally conclusions and recommendations, which usually culminate in a research report (Bailey, 1982; Casley and Lury, 1982; De Vaus, 1986; Hughes, 1983 and Mouton and Marais, 1985). Particularly relevant to policy management is the basic discipline of attempting to achieve validity and reliability (Bailey, 1982:275 and Mouton and Marais, 1985:79). The steps discussed above largely correlate with the policy analysis stage in the policy cycle. The quantitative techniques such as sampling and surveys are of note. Valuable lessons can also be learnt in areas such as research design and definition of the problem (especially hypothesis testing) (see Bailey, 1982:18; Coogan and Woshinsky, 1982; and Mouton and Marais, 1985:34). Some specialist areas have developed. In particular, much attention has been given to cross-cultural research methodology such as cross-cultural attitudinal assessment (Norval, 1984), cross-cultural psychological assessment (Retief,

¹⁵¹ A range of equally important processes and methodologies are not discussed. For the purposes of the study, an emphasis is placed on research methodology, strategic planning, development planning and project management. Other processes not discussed include, for example, political processes, budgetary processes, evaluation processes and information management. Depending on the particular circumstances, many other processes may (will) be relevant.

1988) and cross-cultural survey research (Frey, 1970; Kotze, 1989 and Tan, 1982).

In the field of development planning, policy and planning have been closely associated and authors in the field often explore this particular relationship. Examples include Alterman and MacRae (1983:200) who state in this regard:

Ever since policy analysis appeared on the scene ... planners have been concerned about their relationship with it, at times claiming that planning and policy analysis are one and the same, at other times viewing the two as different fields ... there has been an increased awareness of possible overlap with a relative newcomer, the field of public policy analysis. Notorious for their ambivalence about their identity, planners have found that their relationship with the new, self-assured and clearly defined enterprise of policy analysis poses major dilemmas.

These authors (Alterman and MacRae, 1983:202-209) identify eight¹⁵² pertinent dimensions for comparison between the fields and conclude that common and unique approaches exist in both policy and planning. In essence, a macro approach to development planning¹⁵³ includes the consideration of various policy options and their likely outcome (although the analytical analysis of these have not been regarded as part of planning) but places much more of a focus on implementation, especially of a participatory nature. Prioritised policy choices are often referred to as strategic areas of intervention (see Figure 3.3) and other common areas typically include analysis and assessment of development needs and potential (definition of problem), strategy, action plans and planning, programming and budgeting (policy implementation), project and programme management (policy implementation) and monitoring and evaluation.

In South Africa, the relationship between planning, programming and policy management has been changing rapidly (also see discussion on the *RDP*). The programme management approach emphasises the programme approach (a sequential arrangement which entails a procedural element and a degree of ordering

¹⁵² For a detailed account of the eight dimensions for comparison, compare Alterman and MacRae (1983:202-209). These include a generic *versus* substantive focus; stages in the planning/policy-making process; complexity and time range; rationality, analytic and quantitative techniques, institutionalisation and professionalisation; range of roles; definition of client and constituency; and lastly, ethics, ideologies and values.

¹⁵³ For a conceptual overview of development planning in international and local context, compare Agarwala (1983), Heineman et al (1990) and Scott (1982). South African readers should note the emphasis on urban as well as town and regional planning, see Scott (1982:50).

actions/aspects which are similar and interrelated). The programme approach stems from the assumption that the impact of a programme of interventions is greater and more meaningful than a number of isolated and ad hoc interventions. Such an approach is multifaceted, multisectoral and multifunctional. By way of example, development organisations such as the *Development Bank* typically use a regional approach to target development assistance with regard to geographical areas, sectoral composition and nature of development assistance. For this purpose a programmed management approach in regional contexts has become important and typically includes a development perspective (strengths, weaknesses, opportunities and threats as well as potential areas for intervention), development support strategies (potential support strategies by all role players to address development needs), and specific support programmes (specific projects and programmes to support development).

In the same way that policy implementation (see section 4.4.7) is a critical phase in policy management, project management and implementation is very much at the core of development planning, as discussed above. Close relationships exist between the project cycle and policy implementation. A closer look at the project cycle shows that the World Bank¹⁵⁴ and other major development agencies¹⁵⁵ have developed valuable lessons in project management over the last 30-odd years.

The project cycle has strengthened the methodological aspect of project management¹⁵⁶ and has inter alia integrated the policy focus in project work. Of late (the World Bank, 1993 and Rondinelli, 1989) a much greater emphasis has been placed on operations evaluation which correlates directly with policy evaluation. Distinguished scholars such as Samuel Paul and Dennis Rondinelli have increasingly integrated the fields of planning and policy and have in actual fact shown the advantages of including strategic considerations in project management (Paul, 1990; and Rondinelli, 1983(a) and (b)). Both these books, namely, *Strategic management of*

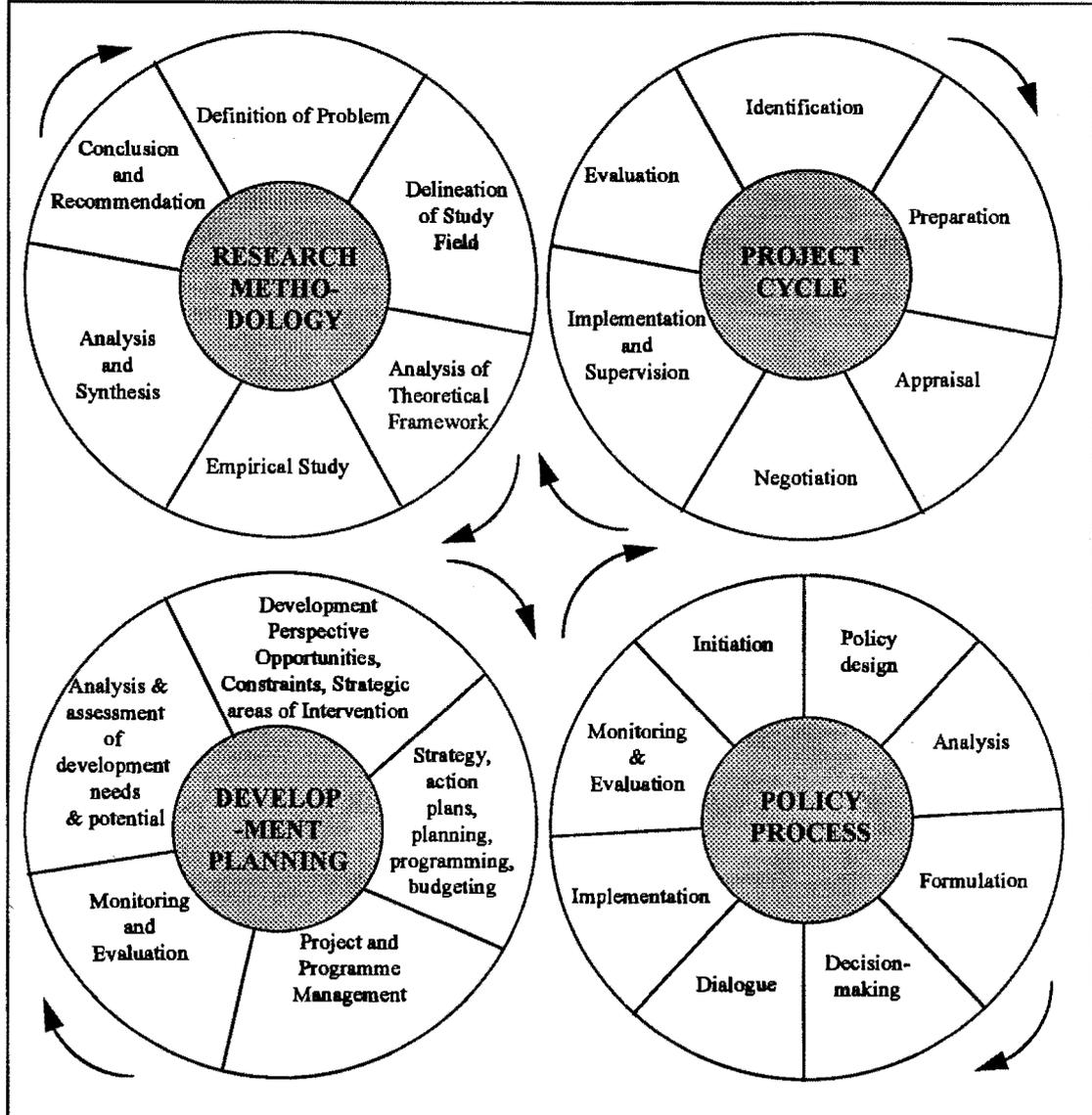
¹⁵⁴ For an exposition of the policy cycle practiced by the *World Bank*, see Baum (1982). More recently, the *World Bank* has placed a significant emphasis on project evaluation. Consult World Bank, (1993).

¹⁵⁵ In an applied context, development agencies such as the *Development Bank of Southern Africa (DBSA)*, have further developed these frameworks locally. Of particular significance is the criteria laid down for project selection and management emphasis (see for example *Selection criteria for DBSA project selection*, DBSA, 1992(a)).

¹⁵⁶ For a detailed discussion of project management with regard to the policy cycle, see Baum (1982, Baum and Tolbert (1985) and the World Bank (1993).

development programmes and *Development projects as policy experiments*, may be consulted for further perspectives on the relationship between strategic management, project management and policy management.

FIGURE 3.3: ILLUSTRATION OF SELECTED, CONSECUTIVE LATERAL METHODOLOGICAL PROCESSES



The field of strategic planning has received significant attention during the last two decades. Because of the increasing importance of future options and scenarios, a very direct relationship¹⁵⁷ has developed between strategic planning and policy management because strategic scenarios provide a framework within which likely policy options can

¹⁵⁷ Consult, for example, *The rise and fall of strategic planning*, by Mintzberg (1994:363) for an exposition on contemporary thinking about the application of strategic planning for policy. Also consult Fry and Killing (1989).

be tested by the policy analyst¹⁵⁸.

In conclusion, it is evident from the above discussion on conceptual clarification and the related fields that scholars have developed distinct meanings for various concepts in the policy management field. Furthermore, policy management and specifically the policy cycle forms part of a range of cross-cutting, lateral methodologies which tend to mutually support the quest for analysis and research.

3.3 DEFINITIONS OF POLICY

This section has the specific objective of defining key concepts used in this study. It is already apparent from the discussion of the study thus far that key concepts used include policy, policy process, policy analysis and policy management. These concepts, together with related terminology, will receive particular attention in the section which follows.

The discussion on definitions of policy will briefly focus on the nature of definitions in the policy field, followed by a presentation of a set of definitions provided by prominent scholars in the field. Subsequently, a working definition of policy for the purposes of this study and some explanatory notes will be provided. The section should be read in conjunction with the discussion on conceptual clarification and the emergence of concepts in the field of policy (section 3.2 and 3.4), the discussion of theories of policy making (3.5) and the perspective on models (3.7).

An analysis and assessment of the nature of definitions in the studyfield reveal that no universally accepted definition, theory or model exists. An adequate framework of definitions¹⁵⁹ enables one to explore the multidimensional nature of policy, to establish

¹⁵⁸ In South Africa, constitutional change and subsequent strategic planning, also in private business, saw an increased interest in scenario planning. Such studies as the Mont Fleur Scenarios (1992-2002), the *CBM* Scenarios and the *Finansies en Tegniek* Scenarios are well worth noting. During strategic workshops facilitated by the author (Ernst and Young National Directors, 11 October 1993, the then Transvaal Provincial Administration Executive Board, September 1993, KwaNdebele Rural Job Development Association, July 1993) it was found that strategic perspectives could directly alter policy stances and that such participation can support a fairly quick revision of policies, be it in government, the privates sector or civil society.

¹⁵⁹ A set of appropriate definitions are given in the text above. Readers who are interested in the evolution of definitions in the field of policy analysis should compare Patton and Sawicki (1986:18). Because of the lateral nature of policy management, concepts are often used interchangeably. For an exposition of policy labelling in the public policy field, see Wood (1985:347-371).

the key elements of definitions in the field and to, lastly, allow for a working definition to be developed. In early years, Ranney (1968:7) defines policy as: “ a declaration and implementation of intent”. Easton in 1953 (1953:129) defined policy as “the authoritative allocation through the political process, of values to groups or individuals in the society”. Hanekom (1987:7) defines policy as “policy making is the activity preceding the publication of a goal, while a policy statement is the making known, the formal articulation, the declaration of intent or the publication of goal to be pursued. Policy is thus indicative of a goal, a specific purpose, a programme of action that has been decided upon. Public policy is therefore a formally articulated goal that the legislator intends pursuing with society or with a societal group”. Dye (1978:4–5) defines policy as: “a comprehensive framework of and or interaction”. Starling (1979:4) defines policy as: “ ... a kind of guide that delimits action”. Baker et al (1975:12–15) defined policy as: “ ... a mechanism employed to realise societal goals and to allocate resources”.

The author agrees with Hanekom’s (1987:3) statement that there is no universally accepted theory or policy of policy making. He notes that: “In practice it is quite possible that a blend of various theories/or models could provide an acceptable answer to what the policy making process entails”. J E du Plessis¹⁶⁰ comments in this regard (Hanekom, 1987) that:

There are almost as many definitions and models of public policy as there are authors on the subject ... public policy changes according to the country and situation to which it is applied. This allows scope for the resourceful and dedicated researcher to really reveal, describe and analyse public policy in South Africa... (and) requires an investment of innovative thinking, advanced research and practical application to be of real value to students, studious practitioners and interested citizens.

Hogwood and Gunn are also of the opinion that there are several uses of the word policy and discuss the concept as a label for a field of activity (e.g. economic, social or foreign policy); an expression of general purpose or a desired state of affairs (e.g. “conservative” policy in the case of the British Conservative Manifesto (1983)); a set

¹⁶⁰ Chairman of the *South African Institute for Public Administration (SAIPA)*, 1991/1992.

of specific proposals; decisions of government; formal authorisation¹⁶¹; a programme; output; outcome; a theory or model; and a process (Hogwood and Gunn, 1984:13–19).

Following the discussion of conceptual approaches referred to above, Hogwood and Gunn (1984:23–24) define (public) policy as

... a series of patterns of related decisions to which many circumstances and personal, group and organisational influences have contributed. The policy making process involves many sub-processes and may extend over a considerable period of time. The aims or purposes underlying a policy are usually identifiable at a relatively early stage in the process but these may change over time and, in some cases, may be defined only retrospectively. The outcome of policies requires to be studied and, where appropriate, compared and contrasted with the policy-makers' intentions ... policy requires an understanding of behaviour, especially behaviour involving interaction within and among organisational relationships. For a policy to be regarded as a 'public policy' it must to some degree have been generated or at least processed within the framework of governmental procedures, influences and organisations.

Given the above focus on definitions of policy and public policy, some definitions on policy analysis are given. Dunn (1981:35) emphasises the use of multiple methods of enquiry and refers to E S Quade, former head of the *Mathematics Department* at the *Rand Corporation*, who stated that policy analysis is:

... any type of analysis that generates and presents information in such a way as to improve the basis for policy-makers to exercise their judgment ... In policy analysis, the word analysis is used in its most general sense; it implies the use of intuition and judgment and encompasses not only examination of policy by decomposition into its components but also the design and synthesis of new alternatives.

In the light of the above, Dunn (1981:35) defines policy analysis as “ ... an applied social science discipline which uses multiple methods of inquiry and argument to produce and transform policy-relevant information that may be utilised in political settings to resolve policy problems.” For the purposes of the study, the process

¹⁶¹ For a discussion of policy and how it differs from “decision”, see the discussion of Hogwood and Gunn (1984:19–20).

distinction drawn by Anderson is important. Anderson (1994:23) prefers the term policy studies to designate the study of public policy undertaken to gain greater basic understanding of political behaviour and the governmental process. Anderson (1994:22) quotes Thomas Dye (1984:5–7) to summarise what is meant by policy studies: “This involves a description of the content of public policy; impact of environmental forces on the content of public policy; an analysis of the effect of various institutional arrangements and political processes on public policy; an enquiry into the consequences of various public policies for the political system; and an evaluation of the impact of public policies on society, both in terms of expected and unexpected consequences.”

Important considerations emanating from the above definitions relevant to this study include:

- the necessity to consider various definitions in the field, of which particular elements may be relevant, rather than a single (oversimplified) definition;
- the emphasis on value judgements, ethics, values, society and relationships;
- the emphasis on lateral approaches and multidisciplinary applications;
- the emerging¹⁶² focus on policy making and process elements of policy; and
- the continued importance of defining policy analysis in addition to policy as a concept;
- the importance of management, governance and institutional arrangements in effective policy management.

It is clear from the above that a holistic view is required. Policy management is regarded as a comprehensive umbrella term which concerns a specific effort to improve policy as well as the capacity to manage and facilitate the policy process. For the purposes of this study and for the purposes of finding a working definition, policy can

¹⁶² Also see Chapter 4, especially section 4.2.

be defined as a statement of intent¹⁶³. Policy articulates basic principles to be pursued to attain specific goals. As such, policy interprets the values of society and is usually followed by pertinent project and programme management actions. Several specific phases of the policy process, inter alia, initiation, design, analysis, formulation, dialogue and advocacy, implementation and evaluation have direct relevance. The term policy analysis (although widely applied in this context) was found to be too narrow and limiting in scope as the elements identified above all play a crucial role in the policy-making process. However, policy analysis remains very important and can be defined as specific actions to develop policy options on policy. Policy is usually presented as a formal policy statement (e.g. a white paper) although the interpretation and emphasis of policy is often communicated verbally (e.g. a press statement).

In the context of the working definition attributed to this study (see above) as well as the theoretical set of definitions above, an adequate theoretical framework exists for the purposes of this study. A definition becomes useful and relevant only when applied to particular circumstances. The phases of the policy process (see section 4.4) shed further light on definitions and were found to be particularly useful (see Chapter 4 and 6).

It is useful to distinguish between the philosophical or value level of the policy debate, the principle stage (policy) and the action, strategy or implementation stage¹⁶⁴. To give substance to this distinction, in the South African context, an example worth noting is that of the negotiation and acceptance of the 1994 *Interim Constitution* that provided the essential philosophical framework for policy in so far as the value level is concerned. In addition, the debate which followed attempted to determine policies for implementing the *Interim Constitution* and culminated largely in the formulation of the *RDP*. Specific pronouncements and the emphasis on participation, empowerment and reconstruction in the *RDP* illustrate how value statements made in the *Interim*

¹⁶³ There are various definitions of the term policy. Although it is important to depart from basic definitions (discussion above), the emphasis in this study is on policy management (also see Chapter 5) and policy processes (section 4.4) and it is therefore important that attention be given to related concepts or subfunctions such as analysis, implementation and evaluation (see for example 4.4.3, 4.4.7 and 4.4.8 respectively).

¹⁶⁴ Also see De Coning (1994(b):260) for the *Harvard University* example of the Massachusetts Road Sign exercise which illustrates value and policy levels.

Constitution are given effect by specific policy statements. These policy directions were given further substance when strategies for government were spelt out in the *RDP White Paper* in September 1994¹⁶⁵. Actions taken to give effect to such policies, such as the presidential projects of the *RDP*, are examples of projects and programmes at the implementation level.

3.4 A HISTORICAL PERSPECTIVE ON THE EMERGENCE OF THE POLICY MANAGEMENT FIELD

An assessment of the literature in the field shows that Policy Sciences and Policy Studies became prominent as academic disciplines in the 1960s and the 1970s and continued to develop in the 1980s, as discussed below. The emphasis on policy analysis¹⁶⁶ in the early 1980s was followed by a quiet period (especially regarding research and publication) during the latter part of the 1980s. The early 1990s again experienced a renewed interest in the policy sciences, focusing especially on institutional arrangements (especially the public sector) and a rediscovery of governance¹⁶⁷. Shortly, in addition to a continued focus on analysis, policy management and policy processes became increasingly prominent.

The aim of policy management has always been to provide policy makers with “information” (policy options) that could be applied to exercise reasoned judgment in finding solutions for practical problems. Such a broad definition permits the exploration of the variety of meanings that have historically been attached to the process of producing policy-relevant knowledge. Dunn (1981:8) points out that etymologically, the term policy is derived from Greek, Sanskrit, and Latin. The Greek and Sanskrit root, *polis* (city-state) and *pur* (city) developed into the Latin *politia* (state) and later, into the middle English *policie*, which meant the conduct of public affairs or the administration of government. It is also important to note that the etymological origins of policy are the same for two other important concepts namely

¹⁶⁵ For further perspectives on the *Interim Constitution* or *RDP* as policy examples see De Coning, 1994(c).

¹⁶⁶ “Policy analysis” is defined by Dunn (1981:7) in this context in a broad sense. Dunn sees policy analysis as a fundamentally practical orientation that makes it similar in most respects to applied social science. Also see Dunn (1981:30), Lasswell (1956) and Hogwood and Peters (1985).

¹⁶⁷ The role of the public sector in policy management and the broad institutional arrangements necessary, are discussed in Chapter 5.

police and *politics*. Many modern languages such as German and Russian have only one word (*politik* or *politika*) to refer to both policy and politics.

Dunn (1981:8) points out that the exact time at which policy-relevant knowledge was first produced is debatable and perhaps unknowable if, in its widest sense, policy analysis (management) is traced to that point in the evolution of human societies where knowledge of and in policy processes was consciously cultivated. In this sense, Dunn (1981:9) remarks that the earliest recorded examples of conscious efforts to analyse public policy are most probably found in Mesopotamia. One of the first legal codes was produced in the Mesopotamian city of Ur, some two thousand years before Aristotle (384–322 B.C.), Confucius (551–479 B.C.), and Kautilya (circa 300 B.C.) produced their classic treatises on government politics. Reference can also be made to the *Code of Hammurabi*, written by the ruler of Babylon (in the eighteenth century B.C.) where a need was expressed to establish a unified and just public order¹⁶⁸.

After these events, the recorded history of specialists in the production of policy-relevant knowledge is somewhat fragmentary until the fourth century B.C. when India's Kautilya's *Arthashastra*, or one of the first systematic guides to policy making, statecraft and government administration (Dunn, 1981:10) saw the light. There is perhaps no better illustration of the conscious cultivation of links between knowledge and action in ancient times than in the works of Kautilya (above), Aristotle (*Politics* and *Ethics*) and Plato.

The gradual expansion and differentiation of urban civilisation in the Middle Ages saw the development of specialised knowledge with various groups of policy specialists being recruited by princes and kings to provide advice and technical assistance in areas such as finance, war and law. The historical evolution of a class of trained specialists in various areas of public policy is evident from Max Weber's (Dunn, 1981:10) statement that:

In Europe, expert officialdom, based on the division of labour, has emerged in a gradual development of half a thousand years The sphere of finance could afford best of all a ruler's dilettantism, a ruler who at that time was still above all a knight. The development

¹⁶⁸ For a detailed exposition of *Hammurabi's Code*, see Dunn (1981:9).

of war technique called forth the expert and specialised officer; the differentiation of legal procedure called forth the trained jurist. In these three areas, finance, war and law, expert officialdom in the more advanced states was definitely triumphant during the sixteenth century.

It was not until the onset of the Industrial Revolution in the latter part of the eighteenth century that the production of policy-relevant knowledge became a relatively autonomous activity, characterised by its own special procedures and insulated from the interests and prejudices of everyday politics (Dunn, 1981:11). This era, also known as the *Period of Enlightenment*, saw science and technology as being the basis for human progress. In this period the development and testing of scientific theories of nature and society were promoted. Thus, mysticism and magic gave way to modern science and the production of policy-relevant knowledge.

The nineteenth century saw the growing need to collect facts in a systematic manner. For example, the first censuses were held in the United States in 1790 and England in 1801. The *London Society*, for example, under the influence of academics such as Thomas Malthus (1766-1834), took a value-neutral approach to social problems¹⁶⁹.

Policy studies and policy sciences really became a sophisticated academic discipline with specific techniques for policy analysis, only in the post-war era. Prior to this, authors such as Heineman et al (1990:9) refer to the need for greater analytical rigor in the study of individual and social behaviour. According to these authors policy analysis emerged as an identifiable endeavour to give effect to the belief that rational, scientific methods could be applied to the improvement of social conditions.

These trends have been apparent especially in America where, between 1886 and 1895, no less than six major social science journals were established to support the propagation of social science expertise in the formulation of government policy. By the early 1900s, major graduate schools in the United States assumed the responsibility of preparing social scientists to directly assist with government policy analysis and formulation (Heineman et al, 1990:10). This movement was triggered by factors such as that efficiency was seen as equally applicable to industry and government (the realm

¹⁶⁹ For examples of these trends in Germany and France during the same period, see Dunn (1981:13).

of public policy); that the American public was willing to accept government interventions in the private sphere; the professionalisation of the academic social sciences; and the influence of Germany where social analysis was referred to as a “method of study (which) was nobly scientific, and was worthy to rank, both for its results and its discipline, with the best of the natural science methods” (Heineman et al, 1990:10).

During the late 1800s and early 1900s various scholars made noteworthy inputs into the development of the policy sciences. References are especially made to the work of John Dewey¹⁷⁰ who wrote the book *The public and its problems* and who expressed a tremendous amount of faith in the ability of organised social interests to articulate public values and effect social reform. Arthur Bentley, in his book called *The process of government* emphasised the dynamics of the political process. After World War II, a range of developments stimulated the importance of the policy sciences. Analytical approaches became important with the movement of scientific issues onto the national policy agenda. The perceived inability of the social sciences to be effective in the changing policy environment stimulated the emergence of policy studies as a distinct field of study (Heineman et al, 1990:14). Jurgen Schmandt and James Everett Katz¹⁷¹ contend that American society has experienced a transition from an administrative welfare state to a scientific state, where national policy makers must cope with an agenda that is heavily loaded with difficult scientific issues such as nuclear systems, environmental protection, automation and the economy and energy resources. Schmandt and Katz classically illustrate how prominent policy sciences have become:

The tools of science, the evidence and the methods of research, became part of the policy battles. The use of advisors and panels, reports and studies, research findings and data analyses are and increasingly will be important weapons in policy battles. (Schmandt and Katz, 1986:48).

World War II stimulated the development of techniques that have remained important to policy analysis. These include, inter alia, operations research in the broader

¹⁷⁰ For a discussion of Dewey’s influence on experimental social planning and social engineering, see Heineman et al (1990:12).

¹⁷¹ Readers are referred to the original text called: *The scientific state: a theory with hypotheses*. See Schmandt and Katz (1986:40–42).

analytical perspective of systems analysis. This tended to be heavily quantitative and narrowly focused (Heineman et al, 1990:16). Daniel Lerner and Harold Lasswell (1951) called for the “policy sciences” to develop a programme that would improve our understanding of “knowledge of and knowledge in the public decision process” (Bobrow and Dryzek, 1987:3).

The 1960s appear to have been a crucial period in the development of the policy sciences. In America, Robert McNamara’s move to the *Defense Department* was influential. His “Whiz Kids” (Heineman et al, 1990:17) introduced a wide range of methods into the analysis of management and policy issues in the military. McNamara’s private business experience as Managing Director of *General Motors* also benefited the public sector in the spheres of cost-benefit analysis, operations and systems research, linear programming and the planning, programming and budgeting system¹⁷² (PPBS). This proved that there was a body of knowledge constituting policy sciences and gave it the legitimacy of official recognition (Heineman et al, 1990:17). Operations research became even more powerful with the improvement of computer technology and the development of additional tools such as linear programming.

Hogwood and Gunn (1984:32) argue that it was particularly in the 1960s that the United States realised that there were few simple or “common-sense” answers to the complex problems of modern society. Increasingly policy makers found themselves operating in conditions of rapid and accelerating change caused, at least in part, by technological innovations and other circumstances largely outside their control. Furthermore, there was growing dissatisfaction¹⁷³ with the social sciences’ inability to produce timely policy options and research and the cause for this was increasingly said to be their tendency to be “over-academic, inward-looking and concerned with methodology rather than with substance” (Hogwood and Gunn, 1984:34).

These trends in the public policy arena were likewise paralleled by movements in the academic disciplines. In Sociology, an applied orientation was being implemented by

¹⁷² For a more detailed discussion of planning, programming and budgeting as an application of systems analysis, consult Weimer and Vining (1989:6,7).

¹⁷³ For a detailed account of dissatisfaction with particular disciplines such as political science, public administration, economics and management studies, see Hogwood and Gunn (1984:34–36).

scholars such as Paul Lazarsfeld, who showed that analytical techniques such as survey research had application possibilities in private industry and public policy (Lazarsfeld, Reitz and Pasanella, 1975).

In Political Science, especially during the 1960s, attention focused on the application of quantitative techniques to empirical political data. Political scientists felt what Heineman et al (1990:17), called the “tug of relevance”. In his 1969 presidential address to the *American Political Science Association*, David Easton called for a post-behavioural approach that crossed disciplinary boundaries and moved toward dealing with social problems (Easton, 1969). In later years, Political Science played a prominent role in the development of analytical techniques.

The discipline of Economics, however, rapidly outdistanced other social science disciplines in status as an important source of ideas and methodologies for public policy (Heineman et al, 1990:17). Within the framework of their general theories, economists were successful in innovating quantitative techniques, such as cost-benefit analysis. Various policy analysis techniques evolved during subsequent years and these will not be discussed here. However, those interested in specific analytical techniques employed by economists should see the discussion of models (section 3.7) and policy analysis (section 4.4.3).

Harold Lasswell was especially active in moving the social sciences toward a policy focus which he coined “policy sciences” in his 1951 article on the subject (Lasswell, 1951). Yehezkel Dror, however, who later became wellknown for his influence in the field, soon identified a need (during the late 1960s, see Heineman et al, 1990:18) for a broader perspective than that of the (then) prevailing systems analysis. Over and above the call of a specific role for policy analysis in policy sciences, Dror sought to move beyond the application of a technical analysis to specific problems, a policy analysis orientation which would include consideration of intangible cultural factors, political problems, and organisational variables¹⁷⁴.

Following the developments summarised above, the period from 1967 to 1970 saw the

¹⁷⁴ Although Chapter 5 will explore these factors, the reader could also consult Dror (1983(a-c), 1984, 1985, 1986, 1989 and especially 1991).

founding of the *Policy Studies Organisation* and the *Association for Public Policy Analysis and Management*. With the assistance of major private foundations, graduate programmes in public policy were initiated at *Harvard, Berkeley, Carnegie-Mellon*, the *Rand Graduate Institute*, and the Universities of *Michigan, Pennsylvania, Minnesota* and *Texas* (Heineman et al, 1990:18). In the following decade, some thirteen journals on policy studies and policy analysis were launched in the United States.

Researchers in academia, or so-called “think-tanks” and policy research institutes¹⁷⁵ started specialising in policy-related consulting services. American examples include the *Rand Corporation*, the *Brookings Institute for Public Policy Research*, the *Urban Institute* and the *Institute for Research on Public Policy* (Weimer and Vining, 1989:11).

In America the establishment of research resources for policy analysis reached a peak in the 1970s and again showed an upsurge in the mid-1980s when the field bloomed internationally. This trend becomes clear when the 1982 programme of the twelfth World Congress of the *International Political Science Association (IPSA)*, in Rio de Janeiro is compared with the programme of the thirteenth World Congress in Paris three years later. At the first Congress (1982) some half-a-dozen panels were devoted to policy analysis whilst, with the latter (1985), more than a quarter of the programme was dominated by such panels and with international representation on the subject equivalent to the membership of IPSA (Hofferbert, 1990:xi).

Bobrow and Dryzek (1987:5–7) state that the policy field is currently marked by an extraordinary variety of technical approaches, reflecting the variety of research traditions in contemporary social science. Furthermore these authors observe that: “Policy problems do not respect entrenched disciplinary boundaries that owe their existence to the accidents of intellectual history and the rigidities of academic institutions.” (Bobrow and Dryzek, 1987:6).

¹⁷⁵ A contemporary perspective on think-tanks and specialised institutes on policy in the United States reveal quite an astonishing array of organisations. See the US data base called *Think Tanks* (Foundation for Public Affairs, 1992:797–886).

Dror (1988(c):118) makes a fundamental statement when observing that: "However limited the impacts of deliberate policy making may be, policy making constitutes the main artifact of humanity in its conscious efforts to influence its futures through collective choice". The author states that other social processes such as religious and ideological movements, scientific and technological discovering, and a proliferation of micromotives with macroconsequences¹⁷⁶ exert more influence on historic processes than deliberate policy making and natural disasters such as famine, pestilence, floods or drought. However, deliberate policy making is all that humanity has at its disposal to impact on the future by (more-or-less) deliberate collective choice and behaviour¹⁷⁷. Dror concludes by stating that therefore:

... adapting to our subject a late-stoic point-of-view with its distinction between things that depend on us and things that do not depend on us, maximise efforts to improve policy making so as to do better what is "in our power" are both a moral imperative and a practical necessity.

As Hogwood and Gunn (1984:32) also state, it is possible to exaggerate the novelty of the recent (early 1980s, but also again in the late 1980s and early 1990s) upsurge of interest in policy. After all, social scientists have been providing inputs to public policy making for many decades or even centuries, and the publication of Lerner and Lasswell's book, *Policy sciences* (1951) marked the start of a particular interest in policy-focused analysis. It was only in the 1960s that there was a sustained increase of interest in policy analysis, especially in the United States, which was echoed in the late 1960s and 1970s by a corresponding movement in Britain. Hogwood and Gunn (1984:37) illustrate this point by quoting Rudolf Klein on this dynamic:

... policy analysis as a distinct discipline, involving political scientists and economists among others, has not caught on in Britain. Policy analysis is not taught in British universities, at least by that name; policy analysts are not a recognised category in the civil service, as in the United States. The loss, I suspect, is

¹⁷⁶ Dror, in the above context, refers to Schelling. For a discussion of the influence of micromotives of individuals on collective macro behaviour see Schelling (1980). For a South African application of Schelling's model, see *Patterns of neighbourhood formation and change: micromotives and macrobehaviour* (De Coning and Fick, 1989).

¹⁷⁷ Dror (1988(c):117) observes that to improve policy making a philosophical foundation for policy reasoning is needed. According to the author, main subjects for philosophy of policy reasonings include cosmology, policy axiology, policy epistemology, essential natures of policy making, ultra-rationality, and policy reasoning principles.

Britain's.

The position is changing and in the 1990s trends in Britain and America are converging¹⁷⁸. Hogwood and Gunn (1984:32–36) argue that the origins of this increased interest in policy are to be found both in an increase in demand and dissatisfaction with development (or lack of it) in academic disciplines.

Trends and tendencies in the field of policy management during the late 1980s and early 1990s show that the value of policy analysis has been re-emphasised (Anderson (1994), Bobrow and Dryzek (1987), Cloete (1993), De Coning (1994(b), Dror (1986 and 1991), Dunn (1994), Hanekom (1987) and Patton and Sawicki (1986).

At the same time, attention increasingly focused on policy making in process terms (Anderson (1979), Cloete (1993), De Coning and Fick (1995), Dror (1990(c)), Hogwood and Gunn (1984) and Wissink (1990))¹⁷⁹. In process context an emphasis has also been placed on specific phases and elements (see section 4.2) such as evaluation¹⁸⁰, including a focus on techniques¹⁸¹. The renewed interest which took place in policy processes¹⁸² and its management is especially evident through an increased focus on institutional arrangements (see Chapter 5).

3.5 THEORIES OF POLICY MAKING

As is the case with definitions (discussion above, section 3.2), there are no grand theories of policy making¹⁸³. Distinguished scholars remark that policies are jellylike in nature and "...must be thought of as seashells ... with no apparent beginning or end... (they) are kinetic, they are fragile" (Starling, 1979:11). Hanekom (1987:8) remarks

¹⁷⁸ For a discussion of contemporary international trends, see section 3.3.

¹⁷⁹ This point is further illustrated by some specific focus areas within policy process management, e.g. in the case of its iterative nature, Quade (1982:53) as well as Brewer and De Leon (1983:17–21). Also see section 4.2.

¹⁸⁰ See DBSA (1992(a)), Hanekom (1987), Patton and Sawicki (1986), Paul (1990) and the World Bank (1993).

¹⁸¹ See Anderson (1976 and 1994) and Hoppe, Van de Graaf and Van Dijk (1987).

¹⁸² Compare the discussion of theoretical perspectives on policy processes, section 4.2. These observations are not repeated here.

¹⁸³ An elaborate discussion of theories of policy is not presented in this section as relevant theory is largely reflected in the discussion on the emergence of the field of study (3.4), definitions (3.3) and especially models (3.7). The nature of the field of policy management is such that a very comprehensive set of theories apply from a host of academic disciplines. For the purposes of this study, especially theory related to policy processes is important (see section 3.5).

that all (public) policies are future orientated, usually aimed at the promotion of the general welfare of society, rather than a societal group, and take place within the framework of legally instituted public bodies such as legislatures or government departments (also see Pollitt et al, 1979:10). This evolving nature of policy is articulated by Wildavsky (1979:16) when he observes that public policies are not eternal truths, but rather hypotheses subject to alteration and to the devising of new (and better) ones until these in turn are proved unsatisfactory.

Because policies are formulated by individuals, interest groups, the private sector or public bodies, it represents opinions, which could be viewed as adequate or inadequate. This tendency is illustrated by Hanekom (1987:8) in the following example: Half a glass of water is viewed by a thirsty person as merely half a glass of water (i.e. inadequate); whilst the person who is not thirsty may view half a glass of water as half-full (i.e. adequate). This example applies to (public) policies where there will always be those who view a particular policy as only a half measure (i.e. inadequate), whilst others will view the same policy as perfectly adequate.

Theories of policy and policy making have also been closely associated with political ideology and political values¹⁸⁴. Some better-known ideologies which lead to specific policy approaches and theories in public policy making are discussed below. *Laissez faire* (or the classical approach) determines that the state should concern itself with the maintenance of law and order, the protection of society from attacks from outside, the protection of private property, establishing conditions conducive to the promotion of free enterprise and interfering with the lives and activities of individuals on a limited basis (Ranney, 1966:48–49). A government following this approach should therefore devote itself to making policies regarding only the aspects referred to above and “leave other things alone”. Socialism, especially the collectivistic approach, requires the state to control the economy, through economic institutions which function as government institutions, and to abolish capitalism (Hanekom, 1987:12 and Ranney, 1966:52–53). Welfare statism implies that the promotion of the highest degree of material and spiritual wellbeing of the public is the task of the state, which must

¹⁸⁴ Dunn (1981:54–56) provides a perspective on descriptive and normative decision theory, also see the discussion on descriptive models, section 3.7.4.

provide opportunities for competition so that the good things in life can be obtained (Hanekom, 1987:12 and Ranney, 1966:52–53).

Authors have designed various theories¹⁸⁵ to explain policy-making processes, some of these are noted below. Classical theory (also known as institutional theory) emphasises that the different concerns and interests of government should be given preference. This area of focus encompasses the classical doctrine of the separation of powers as defined originally by Montesquieu (*triaspolitica*) and includes the legislative, executive and judicial functions¹⁸⁶ (Woll, 1974:21–33 and Lineberry, 1977:56–61). In liberal democratic theory, the political party assumes the position of a primary force in policy making. The argument is that as it (the party) represents the individual voter, it is thus superior to interest groups! In elite theory (see the elite/mass model, section 3.7.4.2) the usually small elite groups act as leaders of a large group of followers (Hanekom, 1987:46, Lineberry, 1977:50–52 and Woll, 1974:46–49). Systems theory (also see discussion under the systems model, section 3.7.4.4) focuses on the contributions of interrelated forces to the policy maker (Hanekom, 1987:46, Lineberry, 1977:42–48 and Woll, 1974:46–49). Hanekom mentions (1987:46) that in practice a blend of the aforementioned theories takes place, i.e. that to some extent all the theories referred to are embodied in policy making.

The above theories and models have mostly been derived from particular circumstances. In this regard Hanekom (1987:45) notes that:

In public policy making, theories are utilised to explain the policy making process. Furthermore, simplification of policy making is enhanced by using models to present problems in acceptable dimensions, while it appears that the various perspectives on policy making could also contribute towards greater clarity of the process. Although no universally accepted or agreed-upon theory of the policy making process exist, it appears that a useful model should include at least the phases of goal identification, authorisation, public statement of intent, implementation and evaluation.

The above quotation provides not only the link between theory and models for policy making but also shows that the nature of the models should provide for the basic

¹⁸⁵ See Woll (1974:21–52) and Lineberry (1977:41–61) for a basic exposition of the theories discussed above.

¹⁸⁶ For an application of the doctrine of the separation of powers with the then Transkei as a case study, see Fick (1973). Also see Montesquieu (1961).

phases¹⁸⁷ of a policy process. The relevance of theories in the policy field are highly dependent on the particular problem at hand. It is because of these universally applicable elements that policy management is widely applied across disciplines. Therefore, the development of various theories in disciplines such as Political Science, Sociology, Public Administration and others are all highly relevant for policy application. For the purposes of this study particular emphasis has been placed on theoretical frameworks regarding process (see section 4.2).

As argued in Chapter 5 of this study, recent paradigm shifts regarding institutional development and development management have shed a different light on our understanding of certain policy issues. An example in this respect concerns policy levels and types of policy. Barber (1983:59–60), Cloete (1981:71–77) and Gladden (1964:72–74) argue that (public) policy can be examined on the basis of levels (e.g. political, executive and administrative). This argument is then confused when it is stated (Hanekom, 1987:10) that:

These levels represent types of policy that are different but closely related, often so interrelated that determining an absolute dividing line is practically impossible. Because they are actually stages in policy making and implementation, the different levels or types cannot, in reality, be separated from each other.

It was found (De Coning, 1994(b):265–269) that by matrixing role players and stages of policy (Chapter 5) it is quite important to distinguish between types and levels. For the purposes of this study, types of policy are seen as that of the three main categories of types of players on the policy scene, namely public policy, non-governmental (NGO type) policy and private sector policies¹⁸⁸. Within public policy one may identify further types, namely political policy (or policy of political parties), executive policy (or implementation policy as determined by the political office bearers assisted by or working in conjunction with high-ranking public officials). Administrative policy pertains to details of various aspects incorporated in a policy such as the income and expenditure of a particular government department, including stores, provision,

¹⁸⁷ See section 4.3 and Chapter 6 for an application of the generic process model. The theoretical dimension of policy processes (phases) is largely addressed in section 4.2 and Chapter 4.

¹⁸⁸ For an example in the South African context, see De Coning (1994(b):267).

development, utilisation, and maintenance of personnel, and other factors¹⁸⁹. Many other types of policy may be distinguished, depending on the players, for example personal financial insurance policy or organisational, staff or corporate policies.

In addition¹⁹⁰ to the above, levels of policy are approached in this study in two main dimensions. The first is related to geographical levels, for example local or district policy, subregional policy (an intermediate level), regional or provincial policy, national policy, regional policy between national units (e.g. southern African level) and international policy. (The *RDP* is typically a policy at national level and of a government type). The second relates to levels of policy within government or organisations (e.g. hierarchical) NGOs (e.g. organisational policy) or private sector (e.g. Board of Director policies, executive policies or factory floor level policies). For the purposes of this study, it is important to recognise the multitiered and multidimensional nature of policy levels. Participation and public choice will be discussed below.

3.6 PARTICIPATION AND PUBLIC CHOICE

It is clear from the context¹⁹¹ of this study that policy-making exercises of the mid-1990s necessitate participation and public choice in which direct representation, empowerment and active decision making is required. If development is defined as the capacity to make rational choices (the discussion on Development Studies and Administration, section 1.3), the participatory nature of policy processes is clearly of primary importance as such opportunities to exercise choices and explore rational options should be accommodated by policy-making processes¹⁹². One can indeed state that in the South African context, and following negotiations, elections and the setting up of a new government (De Coning, 1994(b)) a culture has been established that demands participation. For this reason, too, policy management allows for

¹⁸⁹ For further discussion of administrative policies see Hanekom (1987:10)

¹⁹⁰ Anderson (1994:9–22) further defines types of policy by identifying certain categories of public policies namely substantive and procedural policies, distributive, regulatory, self-regulatory, and redistributive policies; material and symbolic policies as well as liberal and conservative policies.

¹⁹¹ See the strategic perspective (section 1.2), background to the study (section 1.4) as well as Chapters 5 and 6.

¹⁹² This issue is dealt with in greater detail in the discussion of the emergence of policy management in Development Studies and Administration (section 1.3). For further reading also consult Almond, Flanagan and Mundt (1973), Apter (1971) and Weiner and Huntington (1987).

participation during all phases of the policy process (see section 4.4). “Policy analysis”, like research methodology, has been regarded as a field of study that is almost exclusively the domain of professionals and academics. Policy-making initiatives of the mid-1990s require facilitation of an enabling nature. The period after elections has been characterised by an increased interest in the institutionalisation of policy capacity in organisational settings and in the nature of likely policy processes it may follow (see section 5.5). Development management is a shared responsibility amongst the three main categories of the role players, namely, governmental, non-governmental and private sector. As such, these players all have very specific roles and responsibilities (see Chapter 5).

The well-known phrase “no taxation without representation” has been an elusive concept given the vagueness of terms such as public opinion¹⁹³ as it is difficult to distinguish between the public opinion and even a collective or common opinion. It is perhaps because of this reason (amongst others) that an emphasis has been placed on community development, at a local level, where more attainable. The fuzziness of the concept, and important implications for policy management¹⁹⁴, are well illustrated in the following definitions of the concept.

Maddox and Fuquay (1981:155) define public opinion as “consisting of articulated group attitude and not the viewpoint held by society as a whole, but rather a conglomerate of attitudes as expressed by different groups.” Mannheim (1950:142) defines the concept as “more than the sum total of effects produced by the media or by propaganda.” The same author also defines public opinion¹⁹⁵ as “composed of the moods and attitudes which are the result of contacts in groups, clubs or on the street and ... not produced through manipulation by the authorities.” Of further importance is the emphasis on political issues when Anderson (1979:15) defines public opinion as “... the formal articulation of the beliefs, the views held by the public at large about political issues.” Key (1961:14) describes public opinion as consisting of “those

¹⁹³ According to Hanekom (1987:30) the word public is derived from the Latin *publicus* meaning public or common.

¹⁹⁴ Sabatier (1986:21–44) provides a perspective on top-down and bottom-up approaches to implementation research and policy management.

¹⁹⁵ For other specific definitions of public interest and public participation, see Hanekom (1987:32–44).

opinions held by private persons which government find it prudent to heed.” Lastly, Ranney (1966:207) defines public opinion as “ ... the sum of the opinions known to public officials and which will be taken into account by the authorities.”

In the case of public policy, the roles being played are clearly captured by Hanekom (1987:20) when he observes that:

Initiative for public policy making is derived from legislative institutions, public officials and interest groups. Other sources of information pertaining to public policies are the Cabinet, select committees, the Caucus and commissions of enquiry. The political office bearers, the ministers of state and the appointed public officials are, however, the most important participants in the policy making function: the ministers because of being appointed by the State President to administer the state department(s) assigned to them, and the public officials because of their expert knowledge, as career officials, of the issues dealt with in specific departments. Public officials, especially at the top and middle levels, act as advisors on policy, policy formulation and policy implementation (execution), and also as policy monitors, i.e. comparing results with intentions.

In recent times, there has been acknowledgment of the role of the media and civil society – including churches and NGOs – in influencing public policy. This emphasis especially in South Africa, focuses on the need to incorporate policy inputs of players, such as the above, in participatory policy exercises (see the discussion on contemporary trends, section 2.3). Guy Gran (1983) describes, in the preface of his book, the common dimension of all aspects of the human dilemma, namely the concentration of power¹⁹⁶. Political power has everything to do with decision making on policy and the quest for democratisation therefore places a particular emphasis on participatory policy making (Gran, 1983:1–24). In the field of public policy, public choice and policy choice have received particular attention (Grindle and Thomas, 1991:27 and Reich, 1990). A distinction is made between state-centred models and society-centred approaches. With regard to the latter, typical instruments that broaden

¹⁹⁶ Swilling (1991, 1992(a–e), 1993) provides striking perspectives on participation in policy-making processes in the South African context and particularly warns about the dangers of state-controlled policy (also see contemporary trends in South Africa, section 2.3). In an interview with Swilling (14 February 1993) and subsequent simulation exercises with his students it was confirmed that an application of the process model, discussed in section 4.3 and Chapter 4, largely accommodates participation in the policy-making process of all sectors of society.

public choice on policy include lobbying, pressure group politics, public opinion and voting. In a discussion of policy making in a democracy, Reich (1990:123–131) points out that higher level public managers have an obligation to stimulate public debates. Reich states that this is also necessary as public deliberation can actually help the manager to clarify ambiguous mandates¹⁹⁷. Apart from the participatory elements contained in the various phases of the policy process, Gran (1983:233–260) places particular emphasis on project design and enhancing participation in project implementation¹⁹⁸ (Gran, 1983:261–290).

Various models have over time, to a greater or lesser extent, provided for participation. Models which focus on policy-making processes (see also section 4.2) make particular provision for participation by various role players (see Chapter 5). Policy initiatives, particularly around the *RDP*, have shown that various categories of key role players in the South African policy arena have very particular roles and responsibilities in the policy process (De Coning, 1994(b):267–269).

3.7 FOCUS ON MODELS FOR POLICY MANAGEMENT

3.7.1 INTRODUCTION

Within the context of theoretical frameworks for policy management, a range of valuable models is evident. These may improve the ability of facilitators to design and evaluate policy. An overview of available models is undertaken and two particular models are examined. The objective of this discussion is to identify a range of key considerations for use by facilitators both in their endeavours to preplan policy processes and to design a framework for post-evaluation of policy processes such as the demarcation exercise discussed in Chapter 6.

Hogwood and Gunn (1984:42) remark that “We are all model builders, in the sense that we need to see some sort of pattern in the world around us and tend to interpret

¹⁹⁷ Also compare the discussion of Majone (Reich, 1990:158) where he warns that analysts who stick to well-defined technical problems deny themselves any significant role in the policy process (with specific reference to public participation). For a critique of the shortcomings of cost-benefit analysis as far as participation is concerned, see Gran (1983:297).

¹⁹⁸ For a discussion of “top-down” and “bottom-up” approaches to the study of implementation, see Hill (1993:2–8).

events in terms of that perceived pattern.” By carrying around with us certain “bundles of related assumptions” and basic frames of references one is able to relate responses and options to questions such as: What happened? Why? What will happen next? and, How can future processes be influenced and which are viable interventions? In these respects, Hogwood and Gunn (1984:42–44) observe that practical persons such as politicians and administrators are as much prisoners of theory as any academic social scientist. The purposes of such abstract model-building are representation, simulation, explanation, prediction, experimentation, and hypothesis-testing. Dunn (1944:152) defines policy models as simplified representations of selected aspects of a problem situation constructed for particular purposes. Skepticism about modelling is often caused by simplification and gross distortions. If practically applied, models¹⁹⁹, most certainly in the case of policy making, can assist and facilitate description, explanation, understanding and planning of future policy initiatives. A classic example of policy modelling is given by Dror (1983(a):9) when he describes a scene in a casino and then develops a comparative model of policy making (“fuzzy gambling”). The author observes that a policy-gambling perspective is useful for researching and understanding reality and constructing policy-making theories²⁰⁰ (attention is given to the requirements for policy process models in Chapter 4 where this issue will be further discussed).

Attention is particularly focused on institutional and process models for the purpose of exploring these two types of models further in theoretical and empirical terms. These models are of specific interest to the South African practitioner for a number of reasons. First, especially the public sector is experiencing massive institutional transformation and change. These processes will have a great impact on the management of policy processes. Secondly, the major South African policy thrust in the 1990s, namely the *RDP*, is being managed in a policy environment which is largely exploratory of nature because issues such as anticipation and the sociopolitical context require a totally different approach to the actual process which should be followed to plan, establish policies, strategies, budgets implement and evaluate the *RDP* on a

¹⁹⁹ For a discussion of definitions of models, see Hogwood and Gunn (1984:42–44). For a perspective on the necessity of modelling in the policy sciences, see Dror (1990(c):53).

²⁰⁰ For a perspective on quantitative, qualitative, mixed and volatile uncertainty, see Dror (1983(a):10).

national level. Policy-making processes are equally important when establishing provincial *RDPs*. Third, and last, trends in local and international policy studies show that a renewed intellectual interest has taken place in this study field and valuable insights have come to the fore in recent years (see section 1.3).

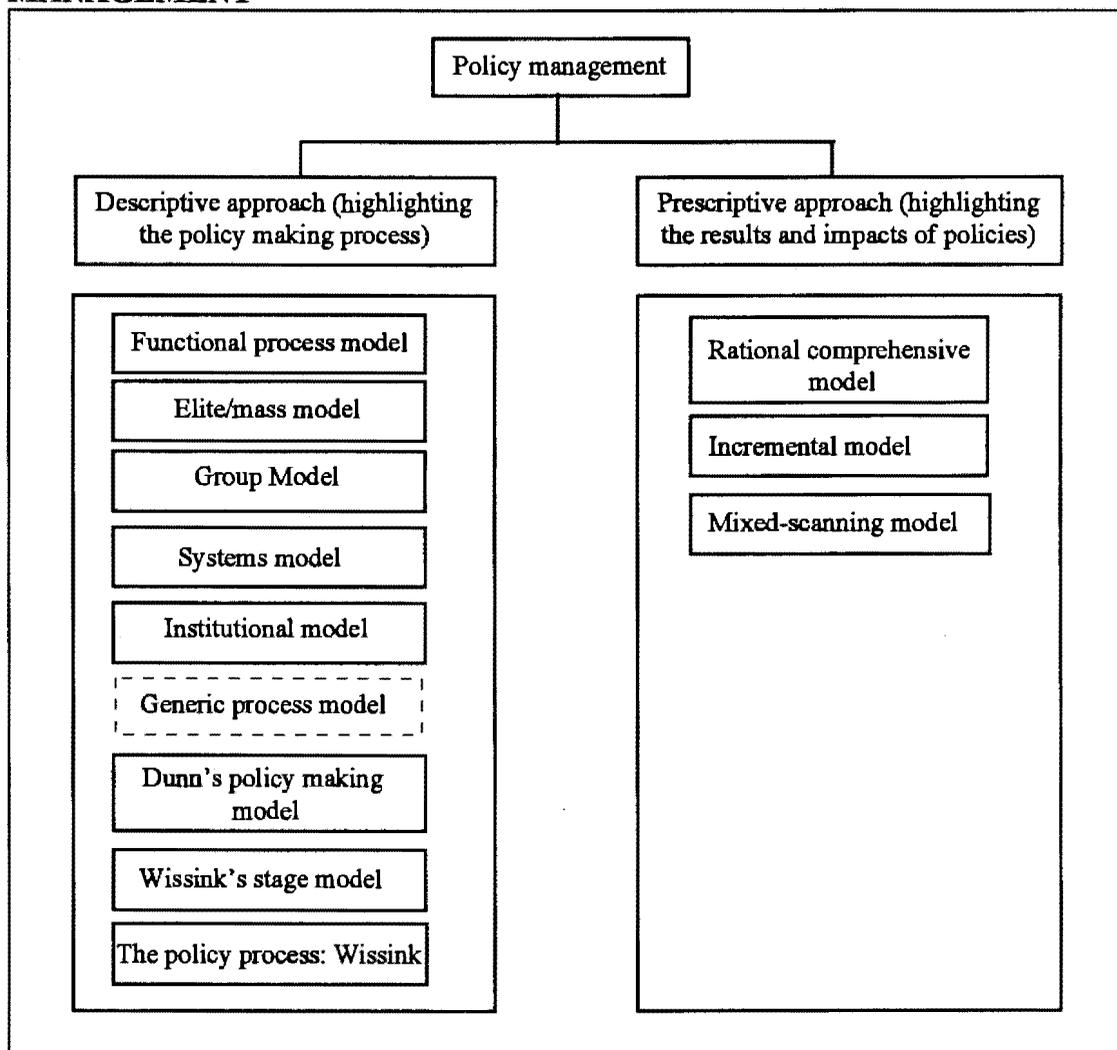
3.7.2 DESCRIPTIVE AND PRESCRIPTIVE MODELS OF POLICY ANALYSIS

In policy management generally, but specifically with regard to public policy analysis, the models utilised for such analysis can be divided²⁰¹ into two broad categories (see Figure 3.4). These are models which are appropriate for analysing the process of policy making (and which are generally referred to as being of a descriptive nature) and models appropriate for analysing the content, results, impacts and likely consequences of policy (generally referred to as being of a prescriptive nature). Specialists in the field emphasise that the application of these models will vary significantly and that the ability of the analyst to apply and decide on relevance is important. Scholars such as Dunn (1994:153) prefer to distinguish between descriptive and normative models. He describes the purpose of descriptive models as aimed at explaining or predicting the causes and consequences of policy choices. By contrast, Dunn describes the purpose of normative models as providing rules and recommendations for optimising the attainment of some utility (value).

Descriptive models are primarily concerned with elements that have an impact on policy-making processes. These models have mainly developed with an improved understanding of political administrative processes in the public policy arena but are relevant, with some application, to the non-governmental sector as well. Especially recent developments, such as an increasing focus on institutional and process models, show that policy-making theory is highly relevant to the private sector and non-governmental organisations.

²⁰¹ Hogwood and Gunn also make this distinction. For trends in Britain in 1960s and 1970s, see Hogwood and Gunn (1984:3). Also see Cloete (1993:94) and Dror (1990(c):15).

FIGURE 3.4: DESCRIPTIVE AND PRESCRIPTIVE MODELS OF POLICY MANAGEMENT



A detailed account on prescriptive models (models for analysing policy content) is not given. However, a brief overview (below) does provide the reader with the general context. A more detailed perspective is given on descriptive models (models for policy making). This discussion will focus on new developments in this field and will endeavour to establish a framework for policy-process design and evaluation.

3.7.3 MODELS FOR ANALYSING POLICY CONTENT (PRESCRIPTIVE MODELS)

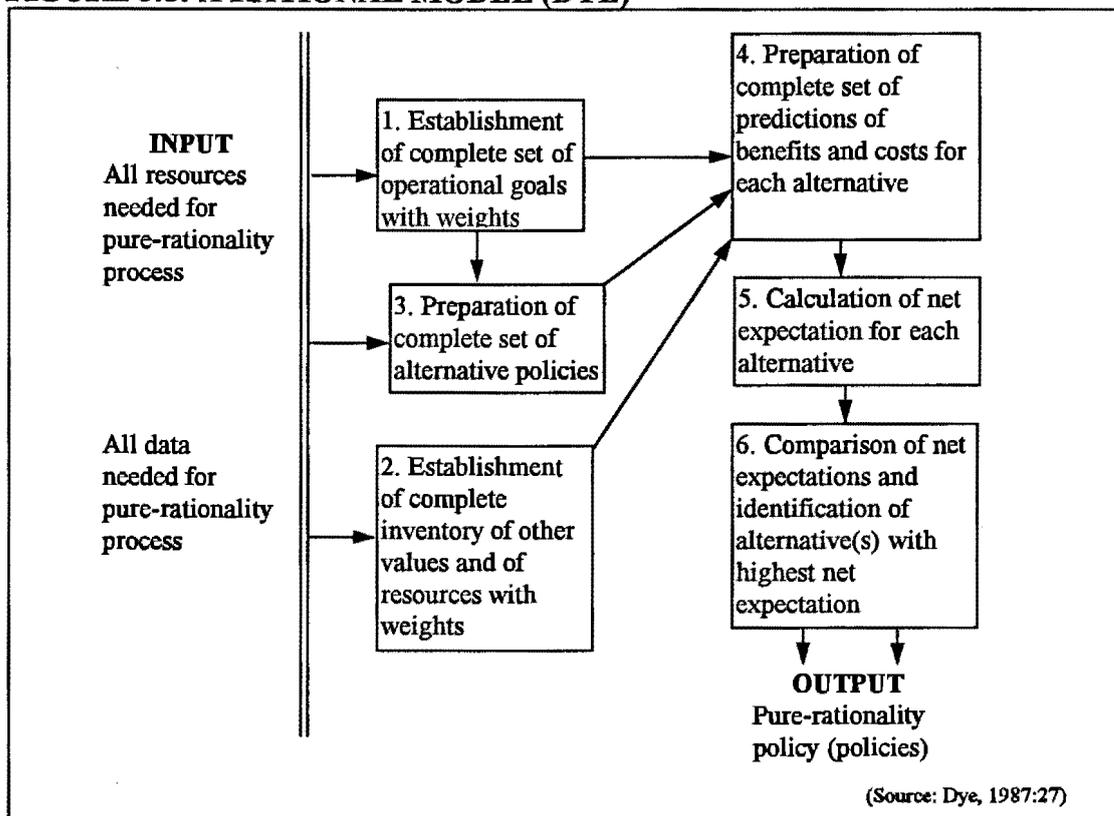
As discussed above, the prescriptive models²⁰² focus on the analysis of policy itself and are intended to establish whether a particular policy has had the desired results and what the potential results and consequences will be (Dye, 1987:31). This author also

²⁰² For a discussion of prescriptive models of policy making in their historical context with special reference to the development of the mixed scanning models, see Hogwood and Gunn, (1984:53–62).

regards these models as based on the social efficiency method, related to normative theory, and of a prescriptive nature. Their application could in a time context, be related to both the retrospective (during or after implementation) and the integrated (before and after implementation) types of policy analysis. The most prevalent models include the rational comprehensive, incremental and mixed-scanning models.

According to Hanekom (1987:82), the rational-comprehensive model²⁰³ has its roots in the rational-comprehensive decision-making model²⁰⁴ and provides a full range of policy options to choose from (also see Anderson 1979:9-10 and Kramer, 1981).

FIGURE 3.5: A RATIONAL MODEL (DYE)



A policy analyst should know all the value preferences of a particular society or community and their relative importance; identify and analyse all possible policy alternatives (including specific frameworks relevant to a particular discipline); explore the possible results and consequences of each alternative; and select a range of options

²⁰³For comparative perspectives on the origins of rational policy making in this context, also see Hogwood and Gunn (1984:44–47). For a discussion of a critique of rationality models, see Hogwood and Gunn (1984:47–49) as well as Grindle and Thomas (1991:27–30).

²⁰⁴Also referred to as the social-choice, public-choice or formal theory, see Anderson (1994:32).

that will have the designed outcome. Dye (1987:31) regards rationalism to be an effort to achieve maximum social gain²⁰⁵.

These elements, which are also evident in the elements of the policy-analysis stage (see discussion 4.4.3) imply a range of specific areas of study within this model²⁰⁶. A good example is the various quantitative techniques and models available to explore policy consequences mentioned above. One of the typical models is cost-benefit analysis²⁰⁷. The rational-comprehensive model is diagrammatically represented in Figure 3.5.

The incremental model, which was first developed by Charles Lindblom (Kramer, 1973:123–141 and Lindblom, 1972), postulates that there are only a limited number of policy alternatives. For further reading on the incremental model as a reaction to the rational action model, see Anderson (1979:11–12), Dye (1987:36–38), Henry (1975 and 1992) and Kramer (1981:240–245).

The incremental model regards public policy as the continuation of existing government activities with the potential for only small, incremental changes. The assumption is that rational and comprehensive change is difficult to realise, *inter alia*, because of vested interests and the impossibility of obtaining full and adequate data on all aspects of policy. Proponents of this model argue that incremental change is more expedient than comprehensive change, that the conflict potential is considerably lower than with radical change and that incremental adaptation contributes to a redefinition of policy on a continuous basis²⁰⁸ (Dye, 1987:36).

The mixed-scanning model was developed as an alternative to both the above models and was developed by the sociologist Amitai Etzioni (Anderson, 1979:12–13; Kramer, 1973:142–155, and Kramer, 1981:245–246). Users of the mixed-scanning model integrate the good characteristics of the rational-comprehensive model with those of the incremental model (Hanekom, 1987:85), first by reviewing the overall policy and second by concentrating on the specific need, policy result or policy impact (also

²⁰⁵ For definitions of social gain, see Dye (1987:32).

²⁰⁶ For a critical survey of the rational models with specific reference to the pure-rationality model, the economically rational model and the sequential-decision model, see Dror (1986:132-145).

²⁰⁷ For a detailed discussion of cost-benefit analysis as an available technique for the rational-comprehensive model, see Weimer and Vining (1989: 291).

²⁰⁸ See Hanekom (1987:84–85) for the national budget as an example of the incremental model.

compare Hogwood and Gunn, 1984:60). As discussed, prescriptive models do not represent a focus area in this study. More detailed attention will be given in the following section to descriptive models even though the true focus of this study falls on process models (Chapter 4).

3.7.4 MODELS FOR POLICY MAKING (DESCRIPTIVE MODELS)

The descriptive²⁰⁹ models of policy analysis focus on the policy-making process and a description of the method or methods used to solve a problem. According to Hanekom (1987:77), descriptive approaches to public policy analysis are based on the functional efficiency method²¹⁰. Models that are discussed below include the functional process model, the elite/mass model, the group model, the systems model and the institutional model. Theoretical approaches to process models are also discussed.

3.7.4.1 The functional process model

This model focuses on the functional activities (also see Anderson, 1979:20–21) involved in the process of policy making and emphasises the how and who aspects, amongst others, how alternative courses of action are formulated and communicated, how and by whom policy measures are formulated and executed, who decides that a policy action is in conflict with legislation, who demands law enforcement, how policy success is measured, and how the legal aspects are enabled.

The functional process model lends itself more to a comparative study of policy making. The above list of questions is not comprehensive as this model may also include outside (external) factors that influence policy. Typically, functional questions do lend themselves to the analysis of policy, especially by inquiring how, by whom and to what effect the various functions are performed. The functional model, however, has severe limitations in terms of its generic value and has failed to provide frameworks on functions which are generically applicable and is therefore regarded as

²⁰⁹ For a discussion of descriptive models of policy making with specific reference to psychological limitations, organisational, cost and situational limitations, see Hogwood and Gunn (1984:49–52).

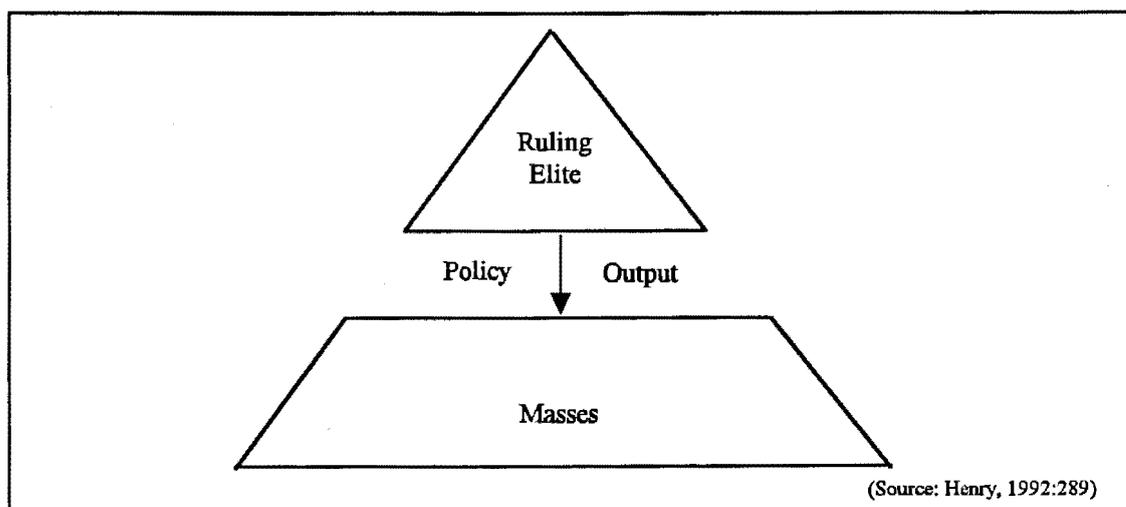
²¹⁰ Patton and Sawicki provide a perspective on concepts related to descriptive policy such as ex-post, post-hoc and retrospective, see Patton and Sawicki (1986:18).

one of the less important descriptive models.

3.7.4.2 The elite/mass model

A model that is wellknown in the policy analysis literature (Anderson, 1979:19–20; Dye, 1978:25–28 and Henry, 1975:231) is the elite/mass model which is based on the assumption that a small, elite group (usually government) is (solely) responsible for policy decisions²¹¹ and that this group governs the ill-informed public (the masses). Policy decisions of the elite flow downward to the population at large and are executed by the bureaucracy²¹². Figure 3.6 illustrates this assumption. Henry (1992:288) points out that the emphasis represented by the elite/mass model²¹³ may be among the most germane to public administrators. He points out that, increasingly, public administrators appear to be perceived less as “servants of the people” and more as “the establishment”. In cursory form, the elite/mass model contends that a policy-making and policy-executing elite is able to act in an environment characterised by apathy and information distortion and thereby govern a largely passive mass. In terms of this understanding, from which it is clear that this model has severe limitations, society is divided into those who have power and those who do not. Elites share common values that differentiate them from the masses, and prevailing public policies reflect elite values, which may be summed up as preserving the status quo (Henry, 1992:288).

FIGURE 3.6: THE ELITE/MASS MODEL



²¹¹ Also see the discussion by Dubnick and Bardes (1983:156) on the power structure model.

²¹² Anderson regards the elite model as a provocative theory and as an emphasis on leadership in policy making, see Anderson (1994:30).

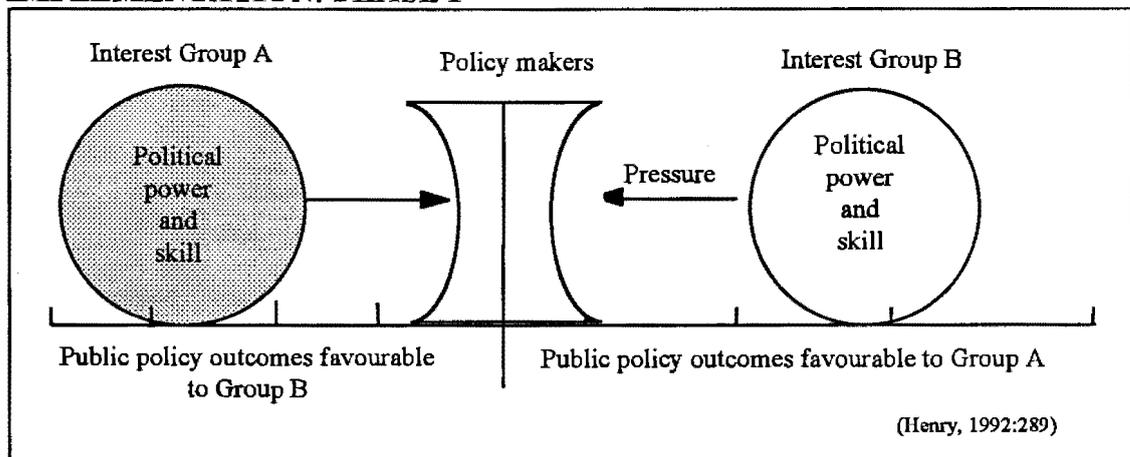
²¹³ Also compare the perspectives of Dye (1987:29) in this regard. The author focuses on policy as elite preference.

Underlying the elite/mass model are considerations such as that the elite is firmly in power, that they know best and that consensus exists on policy within such as an elite group²¹⁴. Clearly, this assumption implies that the values and interests of the elite are of primary importance. This assumption can also be applied at the organisational level in the private and non-governmental sectors. The above understanding of the role that elites may play in the policy process is often oversimplified. Recent literature and experiences show that the elite may play a pivotal role in policy making and may act as a dynamic catalyst for policy change. Another aspect of this model that is oversimplified, is that the “masses” are regarded as passive and ill-informed.

3.7.4.3 The group model

One of the main changing agents of policy is the initiative by interest groups²¹⁵ to pressure and interact with policy makers on preferences and self-interest. In reality several interest groups are usually involved and an equal measure of prestige and influence would result in the kind of situation depicted in Figure 3.7.

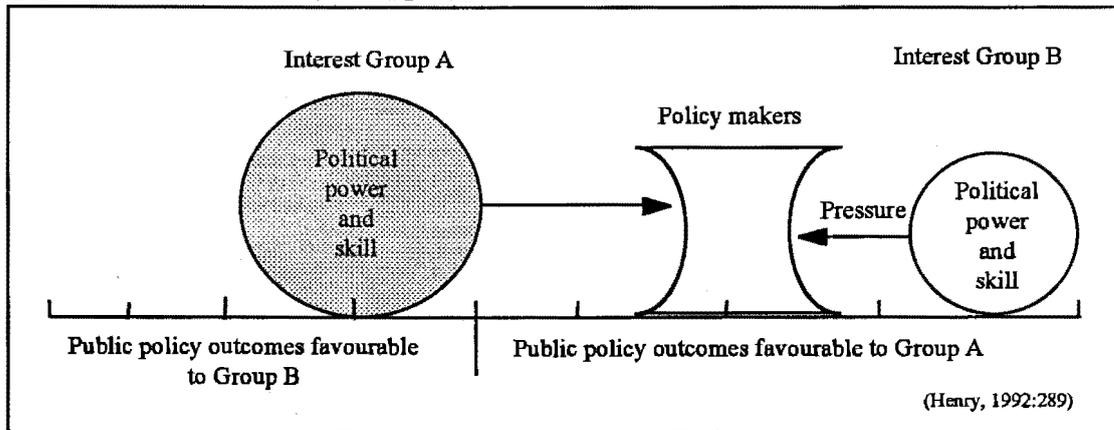
FIGURE 3.7: THE GROUP MODEL OF PUBLIC POLICY MAKING AND IMPLEMENTATION: PHASE I



²¹⁴ For a discussion of key players in typical policy elites, such as heads of state and ministers, the executive bureaucracy, religious elites, the military, organised labour and the media, see Grindle and Thomas (1991:59–69). Also consult Gran (1983:148).

²¹⁵ See Anderson (1994:28) for a perspective on group theory as it applies to the group model. Emphasis has been placed on access and opportunities of expressing viewpoints to decision-makers.

FIGURE 3.8: THE GROUP MODEL OF PUBLIC POLICY MAKING AND IMPLEMENTATION: PHASE II



Group pressure in the process illustrated above is of particular importance in policy making processes of a participatory nature and forum activity (as discussed in section 2.3) highlights the particular experience in South Africa. Forums that are vehicles for policy input represent an institutionalised arrangement that ensures that interaction does take place on the particular policy debate. This model also has particular implications for the taking of political decisions (for example the dynamics in Cabinet) or likewise, at an organisational level. Individuals in a policy-making body, such as a commission, wield similar powers. In fact, the role of elites in pressure groups (with reference to the elite/mass model) may be of special importance.

It may, therefore, be postulated hypothetically that the outcome of public policy is representative of an equilibrium reached in the struggle between groups. The model further assumes that policy makers are sensitive to the demands of interest groups. The value of this model lies in the potential for policy analysts to analyse policy making processes in terms of the demands of groups at play. Policy analysts can therefore concentrate on the role of interest groups in the policy-making process in initiating and adapting policy (Dye, 1987:26-28).

Henry (1992:289) points out that in these days of questionable campaign contributions and powerful vested interests, the notion of pressure groups and lobbying is fully relevant. In describing the group model, authors such as Henry describe the model as a "hydraulic thesis" in which the policy is conceived of as being a system of forces and pressures acting and reacting to one another in the formulation of public policy. It is

of interest that Henry (1992:289) notes that, normally, the group model is associated with the legislature rather than the bureaucracy, but that it has also long been recognised by scholars that the “neutral” executive branch of government can be influenced by pressure groups²¹⁶. However, Henry (1992:290) points out that bureaucracies, particularly in regulatory agencies, seldom encounter the countervailing pressures illustrated in Figures 3.7 and 3.8.

3.7.4.4 The systems model

The systems model or approach is still regarded as a valuable tool for the purposes of systems analysis²¹⁷. Wissink notes that the idea of policy as a process is closely linked to the idea of a political system (Fox, Schwella and Wissink, 1991:31). This model is especially helpful to portray policy processes on a general and simplistic level and often identifies major subsystems and processes. Wissink, most accurately, describes the policy-making process as a political subprocess within the policy process. The former is regarded as that which typically takes place within the bounds of the political arena and the latter as a broader sphere which includes implementation, results and evaluations (Fox, Schwella and Wissink, 1991:31).

This model, which is closely related to the well-known input-output model²¹⁸ of David Easton, focuses on the response by the political system to the demands and needs of interest groups. Such demands enter the (political) system as inputs and through the political process – inter alia through political debates, cabinet memoranda, proposals, counter-proposals as well as consensus and decision, or so-called conversion – and agreement is finally reached on the policy or output to be made. The systems model can provide perspectives on aspects such as the influence of the environment on political policy and vice versa, the success or ability of the political system to convert demands into public policy, the effectiveness of the feedback process and the degree to which feedback information (results, impacts and consequences of policies) is

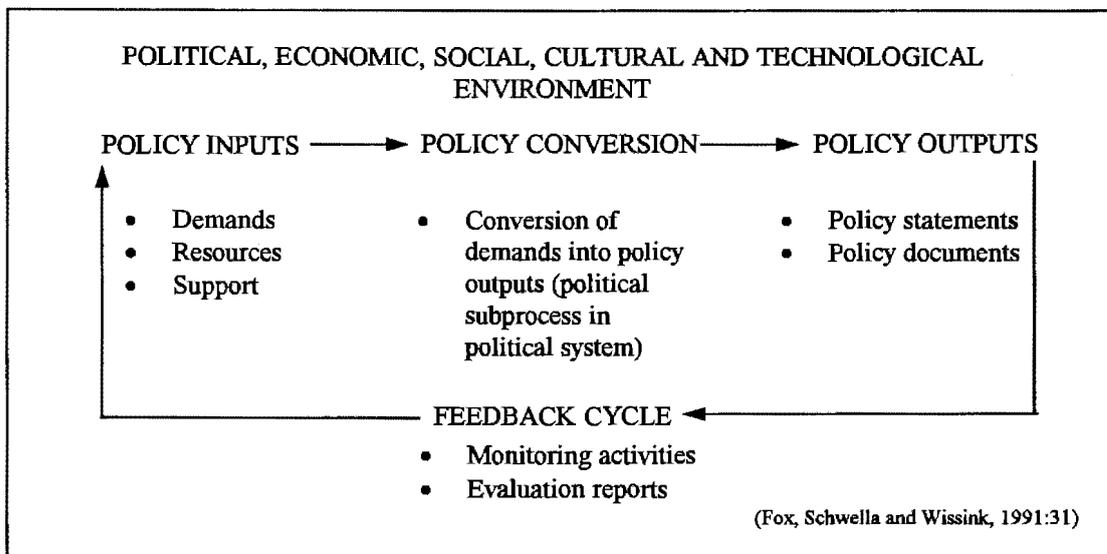
²¹⁶ For an example of this trend in federal systems, see Henry (1992:289).

²¹⁷ In an interview with Fanie Cloete, during which the availability of process models was discussed, he pointed out that this model remains relevant and can be usefully employed for planning and evaluative purposes.

²¹⁸ For a comparative perspective on the systems model, see Anderson, (1994:26), where he discusses the model as political systems theory.

incorporated in the adoption of existing or new policies (Hanekom, 1987:81). Wissink (Fox, Schwella and Wissink, 1991:32) goes further in describing these elements as policy inputs (initiation and information generation), policy conversion (consideration and decision making), policy outputs (publication and statement) and policy feedback (inputs from the environment) as illustrated in Figure 3.9 (Henry, 1992:290).

FIGURE 3.9: THE SYSTEMS APPROACH TO POLICY MAKING



The systems model provides a particularly valuable framework for policy making. Especially Easton's work on systems analysis, which has been the culmination point of his contributions, shows that an analysis of political systems sheds much light on political dynamics and its impact on policy making (Easton, 1965). Wissink notes that the value of the systems model is also to be found in the framework which it provides and which describes the relationships between the demands, the political system and the results or outputs in terms of stabilising the environment or triggering new demands (Fox, Schwella and Wissink, 1991:32). This author also notes that the systems approach stresses the idea of the cyclical nature of policy making as opposed to other models which see policy making as a stop-start sequential process.

Typical disadvantages of the systems model is that it is like a sausage machine or a production system when applied to the policy-making process. According to Wissink (Fox, Schwella and Wissink, 1991:32) it fails to describe how the actual transformation of inputs into outputs takes place. It subsequently views this part of the process as a "black box". It does not address the power relationships in decision making, or

identify the various other players in the policy process, thereby ignoring certain types of coalitions. According to Wissink (Fox, Schwella and Wissink, 1991:32) the systems model also tells us very little about political change and why certain policies evolve as a response to those changes. Lastly, the systems model implies a logical order in the process whilst the policy process is characterised by multiple factors and processes which often have a direct bearing on policy decisions.

3.7.4.5 The institutional model

The premise of the institutional model as it is classically interpreted for the study of public policy is that public policy is the product of public institutions (Anderson, 1979:21–23; Dye, 1978:20–23; Hanekom, 1987:81 and Henry 1975:233–235). The qualification, “as it is classically interpreted” (above) is added by the author because the understanding of institutional development has developed dramatically in recent years and special attention will be given to this aspect in Chapter 5. For the purposes of this discussion, the classical understanding (also for comparative purposes) of the institutional model is given.

Proponents of this model argue that as public policy is legitimised by government, and as only government policies apply to all the members of society, the structure of governmental institutions could have an important bearing on policy results. According to this view, changing only the structure of governmental institutions will not dramatically change policy. The relationship between the structure and the policy should always be taken into account (Dye, 1978:20–21 and Hanekom, 1987:81). A range of assumptions can be seriously questioned and attention will be given to this argument in the next section.

According to Anderson (1979:22) the institutional model could be usefully employed in policy analysis by analysing the behaviour patterns of different public institutions, for example the legislature *versus* the executive and its effect on policy making²¹⁹. Henry (1992:290) describes the model as a traditional institutionalist model which focuses on the organisation chart of government and describes the arrangements and official duties

²¹⁹ Anderson (1994:31) mentions that where institutional theory historically focused on the structure of government institutions, political processes within government have recently received increasing attention.

of bureaus and departments, but customarily ignores the linkages between such units (see the discussion on intergovernmental arrangements in Chapter 5). With the “behavioural revolution” in political science, institutional studies of the policy process were swept aside in favour of studies that relied more heavily on the group, systems, and elite/mass models (Henry, 1992:291 and Dye, 1987:21). A scan of available policy material on the subject shows that the field of Public Administration has been particularly active on the subject, focusing on public policy, as discussed throughout in this chapter.

3.7.5 OTHER MODELS

A range of decision-making models has also emerged that includes particularly useful problem-solving processes (Dubnick and Bardes, 1983:197). Likewise, models for negotiation, mediation and conflict resolution have proved to be very relevant in policy processes (Fisher, Ury and Patton, 1991)²²⁰. The theory and practice of negotiations provides a framework for decision making on policy²²¹. This has been particularly true of consitutional negotiations in South Africa (see Chapter 5)²²². Hanekom (1987:46) refers to other applications of models when he speaks of descriptive models (to explain the causes and results of a specific policy), normative models (which implies that in addition to explanation or prediction, rules should be provided to attain a specific goal), and verbal models (everyday language, for example an announcement by a state president).

Symbolic models are mathematical symbols which describe relations among variables associated with a specific issue and procedural models use elementary methods (e.g. yes/no/if/then) to simulate relationships between variables. Lastly, Hanekom (1987:46) mentions that policy models may also serve as a surrogate, a model that

²²⁰ Brewer and De Leon (1983:212) also provide a perspective on bargaining and compromising as an important element of the policy process in the context of the political system.

²²¹ Literature on the subject of techniques and models for negotiation in the policy context is available and interested readers should consult Carnevale and Lawler (1986), Mastenbroek (1980) and Pruitt (1986).

²²² Interview with Roger Fisher, February 1993 (see source referred to, above). Fisher participated in preparation work for negotiations (also on demarcation, see Chapter 6) with South Africans in a *Consultative Business Movement (CBM)* exercise during February 1993. During this workshop Fisher stressed the importance of common ground in negotiations and techniques (such as drafting drafts) proposed by Fisher were actively used by South Africans in subsequent negotiations at the Trade Centre (CBM, 1993(a) and (b) and De Coning, 1994(c):214).

serves as a substitute for a problem, based on the assumption that an articulated problem can never be a wholly valid representation (also see Dunn, 1981:111–118).

The optimal model²²³, introduced by Dror in 1968, includes three major stages, namely metapolicy making, policy making and post-policy making. This suggests response to the classical models (described above), which is far more macro in approach and pointed to the importance of the institutional fabric in which policy-making processes take place at an early stage.

It is worthwhile to note the policy flow model, proposed by Simmons et al (1974), which is defined as “the evolution of a policy issue which is much more fluid than the single linear progression ...”. The model proposes that the areas of policy issues, policy environment and policy feedback should receive special attention. Elements which the authors refer to as the “power system” (process issues) include clientele, pressure and legislative groups, constitutional and statutory provisions, professional staffing, financial arrangements and historical traditions. Anderson (1994:35) concludes his discussion of models by mentioning that it is wise not to be bound too dogmatically or rigidly to one model or approach. He regards it as a good rule to be flexible, and to draw from theories or concepts that which seems most useful in explaining policy making.

In conclusion, drawing the distinction between models for the purposes of analysing content, on the one hand, and models to aid the policy-making process on the other, has been useful. Models in the latter field have proved to be relevant to policy-making initiatives. An approach is supported which does not regard any particular model as correct but that acknowledges the value of each model relative to the problem at hand in real-life situations, is supported. It is often found that parts of the truth, varying in appropriateness, are to be found in all these models. The above process models were found to be of use for specific questions (for example, where the issue of elite/mass relationships would arise). However, the above classical policy-making models have severe limitations when a comprehensive, and phased process model is required. This issue will receive pertinent attention in Chapter 4.

²²³ This model is not discussed in this section and is addressed in section 4.2 as later work by the author on institutional elements encompassed this approach. Also see Dror (1968:163–196).

3.8 CONCLUSION

The discussion of theoretical frameworks for policy management shows that a critical mass of theoretical material, especially on policy processes, is available. The discussion furthermore indicates that there is a growing interest in policy-process management. Furthermore, there is valuable material on the phasing of policy processes and practical insights have been gained on the elements of these phases.

An analysis and assessment of the nature of definitions in the field revealed that no universally accepted definition, theory or model exists. However, the variety of available definitions does make it possible to formulate a working definition. The discussion on participation and public choice concluded that policy-making processes can facilitate participation in policy preparation and real decision making. Process dynamics can ensure active participation during various phases of the policy process. The discussion on models showed that especially models related to policy-making processes can be usefully employed in policy-making initiatives. No one single model was found to be generically appropriate and it was acknowledged that the value of each model relative to the problem at hand had to be ascertained. It was therefore pointed out that various facets of models were found to be relevant, depending on their application.

The discussion of theoretical perspectives on policy processes, cycles and elements in the next chapter shows that there is enough material to establish a framework for a generic process model that identifies critical phases and elements. These fields are explored in the next chapter for the purposes of establishing a framework for (evaluative) analysis with the objective of applying it to both the case study exercise (Chapter 6) as well as for the establishment of a framework that may assist in the process design of future policy making processes.

Lastly, this chapter confirmed the holistic nature of the field and the importance of using the concept of policy management as an umbrella term for policy initiatives concerned with process dynamics broadly speaking, but in particular, the capacity to manage critical phases and elements (including policy analysis) in the policy process.

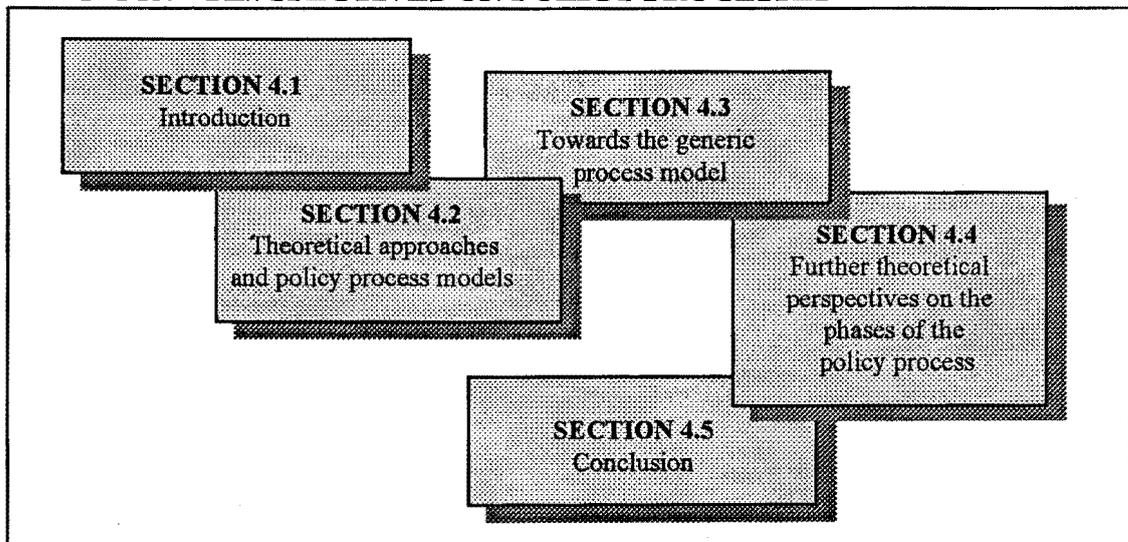
CHAPTER 4

THEORETICAL AND PRACTICAL PERSPECTIVES ON POLICY PROCESSES

4.1 INTRODUCTION

Policy processes have been identified as a central theme in this study. This emphasis inter alia emanated from the discussion on strategic themes, including constitutional and political change in South Africa, the context of the *Reconstruction and Development Programme (RDP)*, forum and commissions as vehicles for policy change and participation as well as academic trends (discussed in sections 1.2 and 1.3). In essence, an improved understanding of both the policy process (Chapter 4) and its institutional arrangements (Chapter 5) are regarded as essential if policy management is to be improved. The discussion of theoretical frameworks also shows that the field of policy processes is important and that it has, to some extent, been neglected.

FIGURE 4.1: COMPOSITION OF CHAPTER FOUR: THEORETICAL AND PRACTICAL PERSPECTIVES ON POLICY PROCESSES



From the discussion on models in the previous section, it became clear that the so-called prescriptive models (compared to descriptive) are of special significance to the study. Although these models proved to be valuable in the analysis of specific features of the policy process, none, except for the institutional models, provided a

comprehensive framework for the facilitation of the full process. The objective of this chapter is to address problem area five of the study (see Chapter 1) and meet the objective that was formulated namely, to assess the available theoretical material on policy processes and to elicit a generic process model for multiple application. This chapter consists of a discussion of theoretical frameworks for policy processes, including process models (section 4.2, also see Figure 4.1). An overview is given of models that are available in the field; and a special emphasis is placed on the international example of Dunn's policy process model as well as two South African models, viz those of Wissink as well as Fox, Schwella and Wissink. Following this discussion, the need is identified for a consolidated model that presents a more comprehensive framework and that provides a practical generic model for multiple application in the South African policy environment (see section 4.3). Additional theoretical perspectives are subsequently given on the various phases in the policy process that provide further substance to possible interpretations of the generic process model (section 4.4). It is also important to note that Appendix C, which provides a user-friendly framework for policy process appraisal, planning, implementation and evaluation, should be considered together with this chapter. Section 4.5 provides a conclusion on the findings of Chapter 4.

4.2 THEORETICAL APPROACHES AND POLICY PROCESS MODELS

The section which follows provides a short overview of some general observations on policy processes, followed by a synopsis of prominent policy models. Various authors refer to the common feature of phases in the policy-making process. The work of Anderson (1979), Dror (1990(c)), Hanekom (1987), and Hogwood and Gunn (1984), is discussed. The literature on policy processes and policy process models shows that international scholars (for example Dunn, 1994) have adequately explored the analysis and phases of policy processes (see discussion below). However, owing to a demand for a more comprehensive framework, only selected frameworks are available. Institutional arrangements for policy processes are addressed in the next chapter and the approaches of Dror and Mutahaba will receive specific attention. Two South African models are important: that of Wissink (1990), on the one hand, and Fox, Schwella and Wissink (1991), on the other. These perspectives are provided in the

discussion below in order to present a theoretical background to the emergence and further development of the generic process model.

Hogwood and Gunn (1984:4) have found it useful to analyse the policy process in terms of a number of stages through which an (policy) issue may pass: deciding to decide (issue search or agenda-setting, deciding how to decide or issue filtration); issue definition; forecasting; setting objectives and priorities; options analysis; policy implementation, monitoring and control; evaluation and review; and finally, policy maintenance, succession or termination. Hogwood and Gunn emphasise that this framework provides an aid to understanding how different kinds of analysis can be brought to bear at different stages of the policy process and stress that what is being advocated is not a simple-minded analysis where one step follows the next²²⁴. The interactive nature of policy processes is an important consideration in discussing policy making processes. Hogwood and Peters (1983:9), in discussing the policy cycle, observe that there is a natural tendency, for purposes of exposition, to treat the policy process in a linear form. They quote *Alice in Wonderland* (Lewis Carroll) as follows: "Begin at the beginning (the King said) and go on till you come to the end; then stop." However, they warn that the danger with this sequence of a policy arrow ending in termination or non-termination is that it may fail to explore other possible outcomes of the policy process, or the implications of the cyclical nature of the policy process. Although policy processes are therefore of a cyclical nature, care should be taken to view such a cycle in a dynamic way and to identify the phases or stages that need not necessarily take place²²⁵.

A useful framework of the policy-making process²²⁶ is provided by Anderson (1994:38). It comprises problem identification and agenda setting and focuses on how the problems that may become the targets of public policies are identified. Specific questions – such as why only some problems receive consideration by policy makers –

²²⁴ Hogwood and Gunn (1984:5) provide detailed reasons for this sequential tendency, including the importance of analysing implications of each stage in advance, as well as the fact that the process of analysis will frequently be iterative. Also compare Quade (1982:53) for a specific focus on the iterative nature of policy (analysis).

²²⁵ For a discussion of the use of the policy cycle as a checklist, see Hogwood and Peters (1983:13).

²²⁶ Brewer and De Leon (1983:17–21) uses a compatible framework, namely initiation, estimation (predetermining risks, costs and benefits associated with each policy option), selection, implementation, evaluation and termination.

are raised. Anderson subsequently regards formulation as the creation, identification, or borrowing of proposed courses of actions, often called alternatives or options, for resolving or ameliorating public problems. Who participates in policy formulation? How are alternatives for dealing with a problem developed? Are there difficulties and biases in formulating policy proposals? Third, the author regards policy adoption as important. This involves deciding which proposed alternative, including taking no action, will be used to handle a problem. How is a policy alternative adopted or enacted? What requirements must be met? Who are the adopters? What is the content of the adopted policy? With regard to implementation, attention is given to carry into effect or apply adopted policies. Often further development or elaboration of policies will occur at this stage. Who is involved? What is done, if anything, to enforce or apply a policy? How does implementation help shape or determine the content of policy? Lastly the author confirms the importance of evaluation as activities intended to determine what a policy is accomplishing, whether it is achieving its goals, or whether it has other consequences. Who is involved? Who is advantaged and disadvantaged by a policy? What are the consequences of policy evaluation? Are there demands for changes in or repeal of the policy? Are new problems identified? Is the policy process re-started?

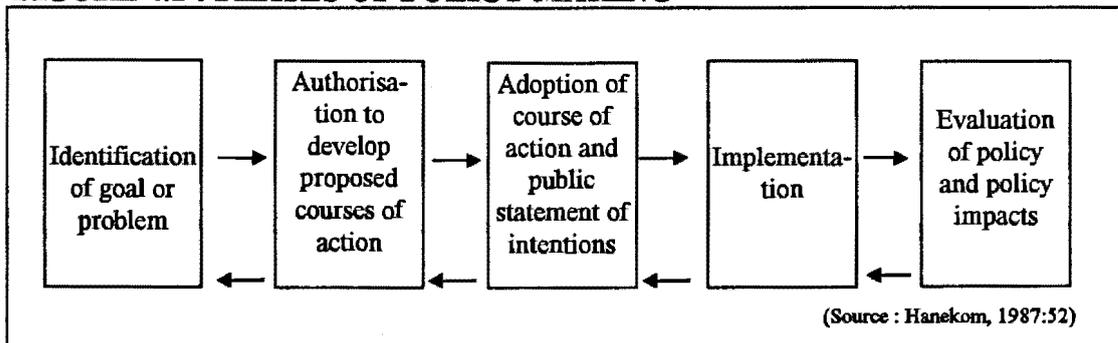
Anderson (1994:39) cites a number of important advantages in using the above process-model in practice²²⁷. The first is that policy making frequently does follow the stages described above and that the sequential approach thus helps capture the flow of action in the policy process. Second, the sequential process is open to adaption and refinement and additional steps can be introduced if experience shows that this would improve the process. Third, the sequential (or process) model presents a dynamic and developmental rather than a cross-sectional or static view of the policy process and thus helps to emphasise its relationships with political phenomena. Fourth, the sequential approach is not "culture bound" and can readily be applied in other (foreign) policy systems²²⁸.

²²⁷ Also see the discussion of Hughes (1994:152) on the common features of policy processes. He particularly uses the frameworks of Anderson (1979) and Quade (1982).

²²⁸ Jong-Youl Yoo (1985: 237–250) provides a case study of Korea as an example of the application of the process model.

Hanekom (1987:8) argues that “by breaking down public policy into different phases it is possible to get a picture of its nature.” In this regard he states that: “Although there is no universally accepted policy making model, it seems widely accepted that to be useful a model of the policy making process should include at least five phases or stages” (Hanekom, 1987:51). He describes these phases²²⁹ as, first, the identification of the goal or problem; second, authorisation to act by the policy maker; third, a public statement of the intentions of the policy maker; the fourth phase is execution (implementation); and the fifth, evaluation in conjunction with feedback on policy results (see Figure 4.2). Most authors and practitioners use some variation of these phases. This feature of models has important implications for this study as it is exactly this trend or commonality amongst models that it wishes to further explore. The basic assumption is that certain phases are common in policy-making processes; and these phases could be further refined to serve as a generic process model (also see the discussion of these elements in section 4.4). The phases discussed above, can be represented as follows:

FIGURE 4.2 : PHASES OF POLICY MAKING



Some elaboration of these steps is necessary. Goal or problem identification or a review of existing goals, may be initiated by new information reaching the policymaker. The author does not agree with Hanekom that “goal” can be substituted by “problem”, as policy demands should not be viewed as problems but rather opportunities. Such information may reach the policy maker either through advisors, pressure groups or other processes²³⁰. The second stage of policy making is the authorising action which

²²⁹ Based on the work of Anderson (1979:23–25), Anderson et al (1978:7–11), Carson and Williams (1982:405) and Starling (1979:11–14).

²³⁰ For an exposition of sources of public opinion, see Barber (1983:188–192), Cohen (1973:79–80) and Warner (1947:195 and 197).

should ensure that the policy maker does put further actions in place to ensure that the process will continue into definite steps (stages three to five). Stage three concerns the adoption of a proposed course of action. This stage may require thorough consultation and negotiated agendas with other interest groups. In terms of the elements of the policy process as discussed in the next section, authorisation forms part of initiation, whilst “proposed course of action” could be seen as the design phase. If “adoption of a proposed course of action” means formulated policy, such a decision on policy would typically be the decision-making stage (see next section). Fourth follows implementation and fifth, and finally, evaluation by determining the appropriateness of policies or policy processes (Hanekom 1987:52). An analysis and assessment of intra-public policy processes shows that very distinct processes are followed within government. These are relevant and illustrate the role and relationship of political and executive players²³¹ (see also participation and public choice, section 3.6).

Analysis and assessment of available theory on policy-making processes show that although there are generic frameworks for the various steps of the process, few authors explore process dynamics. The work of Yehezkel Dror is a striking exception. Apart from his perspectives on the process (discussed below), valuable insights exist in his work on policy processes and their institutional context (see Chapter 5).

Dror (1990(c):89–90) makes a clear distinction between the content of policy and process dynamics. He remarks that policy development²³² can be improved in two ways: “One, upgrading policy making processes, which in turn involves improved policy process management and redesigning organisations. And two, establishing improved grand-policies, which guide the substance of discrete policies, which in turn involves application of policy analysis to grand-policies as well as process and

²³¹ Cloete (1993:3) provides a perspective on these processes and cites an example of functions involved in amending the policy on general education. This example shows that Cabinet has an important role to play in identifying the need for policy change, initiating an enquiry, authorising analysis and preparation, considering options and making pertinent decisions about it. For the purpose of this study, frameworks applicable to the policy process with wider applicability than for public sector only, therefore including the private sector and NGOs are sought. A recent contribution of Fanie Cloete (1995) is also of note. His perspectives on the differences of policy processes in South Africa compared to western countries, especially with regard to value changes, institutional changes and behavioural changes will become increasingly important.

²³² Dror (1990(c):89) notes that (the fields of) policy analysis and policy development overlap and that while policy analysis focuses on improvement of single decisions, policy development focuses on improvement of overall policies and policy nets.

organisation upgrading which serves policy development as a whole.” Decision process management applies to all levels, starting with, in the case of public policy, an individual senior government executive, helped by a workstation, up to the Cabinet and Head of Government. The attention to all levels of policy making assure that the decision process includes adequate preparation, full consideration, implementation monitoring and learning. In public policy terms, standard procedures cover the subject in many countries, though they can become over formalised, tend to ignore important informal elements and neglect to stream issues in order of importance, with the result that the more critical choices follow quite different, and less adequate, processes. Policy development requires a somewhat different approach, with less emphasis on formal procedures and more on style and culture. Dror identifies a number of elements which can be postulated as essential for policy development and which should be institutionalised and be put forward as essential for “minimum required rationality”.

These include agenda setting and attention allocation. Dror (1990(c):91) shows that as agendas tend to be dominated by perceived “urgent” issues, which drive out the “important”, and as the time budget of senior executives and of top decision-makers leaves limited time for giving attention to policy development, it is necessary to look for pro-active opportunities and critical choices which are expected to have significant impact on the future. A selection of such issues should be given priority status on the deliberation and decision agenda. Such initiated issues should be accompanied by large parts of available policy development resources, including among others organised brain power and the time and attention of top decision-makers. In terms of value content, Dror (1990(c):91) notes that without value-goal guidance, policy development lacks a compass and will become too ad hoc. Policy development requires values, grand designs and umbrella conceptions of desirable and feasible visions to increase the coherence of policies. Vision, as an important component of policy development, is useful for giving policy making and policy implementation a sense of purpose. The third element is adequate political will and power concentration for implementation²³³. Consequently, implementation preparation, monitoring and control are of essence. This step (implementation) which forms an integral part to

²³³ Although relevant, the studyfield of political and power aspects of policy is not discussed here, see Ranney (1966).

policy development, is essential for effectiveness. Following the above, and to assure implementation and achieve policy learning, evaluation of policy outcomes is all the more important. On the level of policy development this requires independent policy evaluation bodies, which report directly to top-level decision makers (Dror (1990(c):92). Lastly, Dror's ideas on deep thinking on main policies is of interest. He notes that this is required, in different forms, from all partners²³⁴ in policy development. It is interesting that Dror mentions, and this has been particularly relevant in the South African setting²³⁵, that it is necessary to provide suitable opportunities for senior politicians to explore "deep grand-policy consideration(s)" where they deliberate on major policy issues, with the help of good position papers and top quality experts²³⁶.

A process model which is generally regarded as representative of the international experience²³⁷ in policy making, namely that provided by Dunn (1994:15-18), shows that the phases of agenda setting, policy formulation, policy adoption, policy implementation and policy assessment are fairly common (see Figure 4.3 below). Dunn's comments on process model considerations are of note. He states (Dunn, 1994:15) that the process of policy analysis is a series of intellectual activities carried out within a process comprised of activities that are essentially political. Dunn describes these political activities as the policy-making process and visualises the process as a series of interdependent phases arranged through time. He regards the phases identified above to:

... represent ongoing activities that occur through time. Each phase is related to the next, and the last phase (policy assessment) is linked to the first (agenda setting), as well as to the intermediate

²³⁴ Dror employs the wider definition of partners in the policy process, namely non-governmental and private sectors and its interaction with the public sector (see discussion sections 2.3, 3.6 and Chapter 5).

²³⁵ The institutionalisation of policy capacity in government is a particularly important subject in South African policy-making processes at present, see Chapter 5.

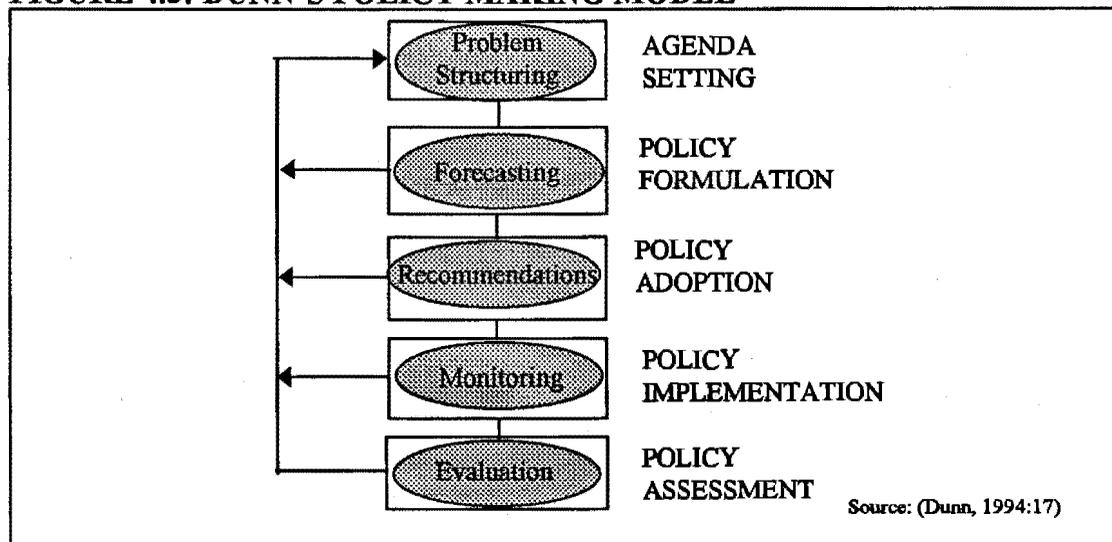
²³⁶ Dror notes that policy process management upgrading is essential for better policy development. This requires a special function of "meta-policy making", that is policy making on policy making. For a discussion of this vital issue, see the discussion of the *DBSA* policy programme (policy on policy) in section 2.5, the institutionalisation of the policy function in an organisational setting. Dror (1990(c):92-93) notes that larger segments of policy elites should be involved in policy thinking with the help of policy centres (national policy colleges) to be encouraged at universities, research institutions, among groups of professionals and suitable segments of the public at large. These issues are further explained in the next section and Chapter 5.

²³⁷ Interview, Mark Swilling, 31 August 1995.

phases, in a non-linear cycle or round of activities. The application of policy analytic procedures may yield policy relevant knowledge that directly affects assumptions, judgments, and actions in one phase, which in turn indirectly affects performance in subsequent phases. (Dunn, 1994:15,16).

The international understanding of agenda setting is, however, largely limited to issues of problem structuring, and does not necessarily provide for policy initiation and design (Dunn, 1994:17) of the policy process itself. This comparison will receive further attention in the discussion below. Dunn (1994:17) regards agenda setting as mainly consisting of problem structuring that can supply policy relevant knowledge that challenges the assumptions underlying the definition of problems²³⁸. Forecasting, according to the same author, can provide policy-relevant knowledge about future states of affairs which are likely to occur as a consequence of adopting alternatives (Dunn, 1994:18). Recommendation, as part of the policy adoption phase, yields policy-relevant knowledge about the benefits and costs of policy alternatives, thus aiding policy makers in the policy adoption phase. In the policy assessment phase, Dunn (1994:19) regards evaluation as policy relevant knowledge about discrepancies between expected and actual performance. This model will receive further attention in the discussion on comparative perspectives on selected models.

FIGURE 4.3: DUNN'S POLICY MAKING MODEL



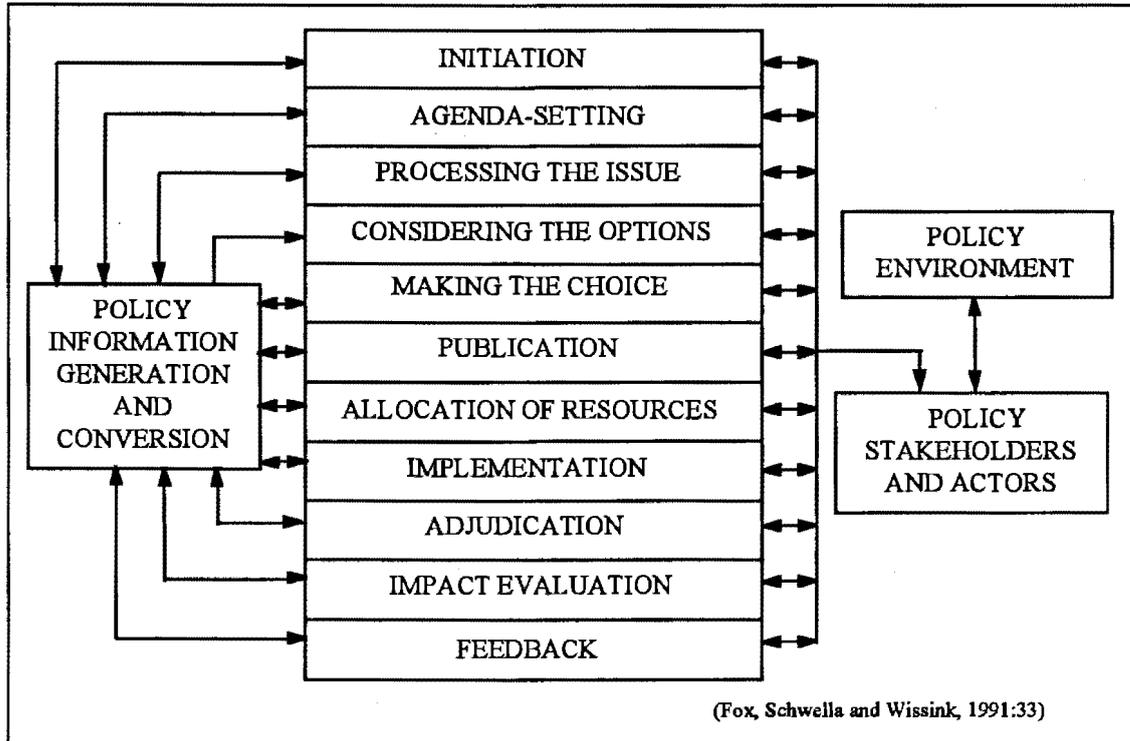
A South African contribution to process models worth noting is the stage model of

²³⁸ The meaning which Grindle and Thomas (1989:229) attach to agenda setting is of particular note. This includes circumstance, pressing and chosen problems, the status of decision makers, innovation or incrementalism and timing.

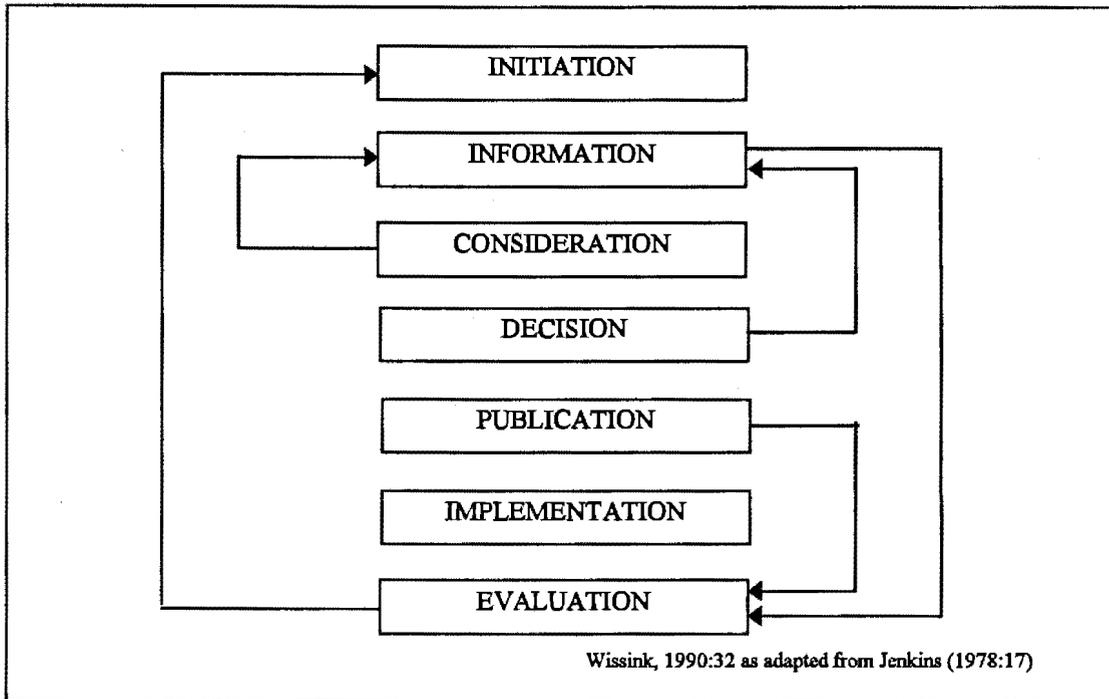
policy making by Henry Wissink (Fox, Schwella and Wissink, 1991:32). The author note that an alternative approach to developing a policy-making model is to break down the policy process into descriptive stages that correlate with the real dynamics and activities that result in policy outputs. They note that the problem encountered with most models is that the process is viewed as being sequential in nature, and policy is often initiated at different stages and bypasses many activities.

The stage model views the policy-making process as consisting of activities which are often present, but ignored in contemporary models. These activities include, first, initiation or becoming aware of a public problem through civic, political or stakeholder action; and second, agenda setting or placing the issues on the policy agenda and determining priorities. Processing the issue therefore involves identifying the problem and the major stakeholders, and considering the options (identifying the major alternative forms of action to solve the problem). In making the choice (see Figure 4.4) a selection is made of an alternative whilst publication is making the decision public. The author make special provision for allocating resources as part of implementation (designing and initiating a programme of action). He also provides for adjudication, which includes enforcing the policy through administrative and legal means before impact evaluation (note, not process evaluation) and feedback (Fox, Schwella and Wissink, 1991:33).

In particular, the stage model illustrates the interaction between the policy decision process and the environment within which it operates. It is dynamic in the sense that it does not presuppose a sequence of events and allows for the involvement of administration and other bodies in policy making (not only the political process is considered, as in the case of the system model). Although the model places an emphasis on initiation, processing the issue and adjudication as stages not previously identified specifically, it could perhaps be more specific on the design and evaluation aspects of policy processes, to assist South African practitioners and theorists with such facilitation. This model, as a South African contribution of the early 1990s, shows certain focus areas that are fairly unique to South African circumstances. This issue will be further dealt with in the next section.

FIGURE 4.4: WISSINK'S STAGE MODEL

Wissink (1990:31) defines the policy process as “a complex and irregular process which has inherently distinguishable phases which can be identified and studied, but which are for all practical purposes mutually dependent on each other for the information and resources to maintain the system.” He makes use of a process model adopted from Jenkins (1978:17) which provides for initiation, information, consideration, decision, publication, implementation and evaluation. He describes this process as less neatly and discretely defined in practice, but that facilitates the simplification of complex processes and activities. His assumptions on which the model is based are of particular relevance. Any particular policy may go through one or more stages simultaneously, or may move back and forth between stages, rather than progressing through the stages in a sequential manner. As discussed in Chapter 3, Wissink (1990:30) also remarks that the process of policy making is complex, is perceived to be disorderly and appears to have no beginning or end, and exists between boundaries which are most uncertain. Wissink (1990:30) points out that the fact that a government has adopted a particular policy and initiated the implementation thereof, does not mean that the policy process has been completed.

FIGURE 4.5: THE POLICY PROCESS: WISSINK

The author notes that no policy is ever complete. The policy process is a changing and continuous process, into which analysts and researchers can break at any point in time. The advantage for analysts, in this context, is that several different, but mutually independent stages of the process can be analysed.

It should be noted that whereas process models in the international experience (such as Dunn's process model) are confined mainly to the policy analysis process, South African models – such as Wissink's (discussed above) and the stage model by Fox, Schwella and Wissink – approach the policy process from a macro context²³⁹. This is particularly obvious when the comprehensiveness of the initiation and design phases are noted (international models start off with agenda setting and problem structuring). Mutahaba, Baguma and Halfani (1993:49) recently put forward a most useful model. These African authors follow a macro approach and place a significant emphasis on institutional factors. Although they acknowledge the complexities of policy processes, they successfully reduce the stages of the policy process to three dimensions: those of policy formulation, policy implementation and monitoring and evaluation. Mutahaba, Baguma and Halfani (1993:49) regard policy formulation as encompassing problem

²³⁹ A possible exception in this regard is the proposed general policy-making model of Saasa (1985), of the University of Zambia, who identifies the need for a macro approach but does not spell out such a model in any detail.

identification, data and information generation and analysis as well as decision making. According to this interpretation the policy implementation phase includes coordinating, communicating, organisation, planning, staffing and executing. The authors regard monitoring and evaluation as consisting of the determination of information needs, the generation of information, the transmission of information, assimilation analysis and assessment and feedback to policy formulation. The importance of an institutional focus on policy-making processes is clear when Mutahaba, Baguma and Halfani (1993:49) note that the effectiveness of the policy process is highly dependent upon the interrelationship between functions, organisations and capacities. These issues will receive particular attention in Chapter 5.

Some comparative observations on the above models are necessary. It is clear from the above perspective on the process models of Dunn, as an example of the international process models, and the models of Wissink, that some useful phases and elements warrant further attention. As stated earlier, international models focus mainly on policy processes from the policy analysis stage onwards, and even during these were generally found to have a fairly technical approach to process management. From Dunn's (1994) process model it is clear that the process starts off with agenda setting. As will be discussed in the next section, process initiation and process design were both found to be essential steps in preparation for agenda setting. The South African models of Wissink (1990) and Fox, Schwella and Wissink (1991) provided for initiation but limited the requirements of this phase to "becoming aware of a public problem through civic, political or stakeholder action" (Fox, Schwella and Wissink, 1991:33). Specific requirements and key considerations are not spelt out. The lastmentioned authors refer to the policy analysis phase as "processing the issue" and "considering the options", which is a clear description of these steps. However, in both these models, policy dialogue is limited to publication and essential design considerations are not addressed. Wissink (Fox, Schwella and Wissink, 1991:33) specifically provide for adjudication, a phase not previously encountered, and also specify evaluation as "impact evaluation", which may limit the scope of this phase as some particular dimensions, such as evaluation of the policy process, may be excluded.

In practical and theoretical terms, the major shortcomings of the above models can be

summarised as not providing sufficiently detailed requirements for the phases, the lack of focus on the participatory design of the process and the lack of attention to management capacity to facilitate policy processes. The following section proposes a generic process model which incorporates these elements. The institutional arrangements for policy management will be discussed in the next chapter.

4.3 TOWARDS THE GENERIC PROCESS MODEL

This section seeks to provide a background to the origin and continued further development of the generic process model and gives special attention to the requirements put to a model in this context. Specific assumptions as well as strengths and weaknesses of the models are discussed. A perspective is also provided on the considerations for including specific phases and emphasising the meaning of such phases in the South African context. Lastly, a perspective is provided on efforts which have been conducted to apply this model through experimentation, simulation and case study learning techniques.

The origin and further development of the generic process model are to be found in both theoretical review, mainly by comparative analysis, with the models already discussed, as well as through practical application and experimentation. Upon the identification for the need for a step by step, or phased approach to policy making endeavours in South Africa, the author became involved in the development of a conceptual and practical model for generic application. This model has been applied in operational settings (discussed below) and is subject to ongoing revision by theorists and practitioners. Ongoing experimentation and conceptual reviews have also been achieved through operational experimentation, simulation and case study learning exercises.

The principles, key considerations and phases of the generic process model have been developed through the last four years in South Africa through numerous workshops and policy debates. The principles and key considerations of the generic process model are not the invention of a single individual or group, and ownership, and the freedom to change these ideas is therefore open for debate and revision. In this context, the generic process model, as discussed in this chapter, is an attempt to

redefine the existing process models so as to develop a generic type model which is able to accommodate the demand for a comprehensive and generic process and to be specific enough to act as a practical guide to identify the key considerations in the South African policy-making endeavours (Appendix C). The generic process model, as discussed in this chapter, was first published for debate in early 1994 (De Coning, 1994(b)).

The general agreement on the various broad phases of the generic process model in the South African context is perhaps largely a result of recent political, constitutional, and development experiences. Paradigm shifts have occurred in terms of the general understanding of key issues such as democracy, participation, reconstruction and development, political reconciliation and nation building, legitimacy, technical support, political leadership, accountability and many more. How does this apply to the development of the generic process model? South Africa's limited experiences of policy-making processes in the context of the new dispensation, a rich source of political, development and other experiences has culminated in a range of generally accepted values. These values went through exploratory phases with the negotiation of the *Interim Constitution* by the MPNF, forum activity, the formation of the *RDP* and various health, education, housing and other sectoral policy-making endeavours. In general terms, these experiences fostered a culture in which the expectation has been created that the issues mentioned above (participation, development objectives, etc.) will be accommodated in the facilitation of policy processes. Although there may be general consensus on the objective and meaning of a phase, there may also be various interpretations as to particular settings. Here-in lies the value of the facilitation and improved management of policy processes.

The general consideration, which is believed to be a common quest across the globe, is to establish a process which has generic application potential, that is, a process that applies not only to all levels of government, but also for policy making in private and non-governmental settings. Moreover, it should be valid for policy processes at various levels, for example, for organisational policies, national government policies, sectoral policies and for small business. Moreover, a generic process model should have the ability to accommodate the reality that a particular policy process may in fact

consist of several, often interlinked policy processes. Policy-making processes should seek alignment with symbiotic processes such as strategic and business planning, programming and budgeting, etc. Over and above the consideration or requirement of generic application, some specific circumstances in the South African experiences prompted specific process requirements. These are:

- South African policy experiences during 1994 and 1995 took place in an environment where participatory policy processes were largely a new experience. Sophisticated national policy systems such as those found in the United States were simply non-existent and institutional arrangements were in a state of flux. Consequently, policy processes were by and large zero-base exercises and required policy processes that would include ample opportunity for joint planning of the process itself. Most international policy process models provide for the policy analysis phases in great detail but do not provide guidance to the events leading up to the analysis phase.
- Within the South African context of large scale-public sector transformations being introduced following political and constitutional change, massive policy-making endeavours were being initiated at the same time, which required that special attention be given to institutional arrangements. In this context it was found that international intellectual perspectives on policy management generally neglected institutional arrangements. In South Africa, macro-institutional considerations dominated and organisational change, specifically the institutionalisation of policy capacities at the organisational level, are only now receiving attention.
- Lastly, specific South African considerations which prompted the development of the generic process model, were the need to single out the process facilitation elements from the policy analysis actions on content, so as to be able to focus on the management arrangements of the actual facilitation of a policy process as a project. This is necessary as basic operational organisational systems are not always in place. By way of example, with the development of major sectoral policies in various departments in South Africa, such projects

were not necessarily budgeted for, and in the absence of permanent policy capacities to facilitate these initiatives, special attention was often not given to human resources management and the devoted capacities that were to drive these processes. For this reason, the design phase has become critical.

In the context of the discussion of process models and particularly the need for a comprehensive model, as illustrated by the discussion above, the generic process model should be viewed against the following requirements:

- A comprehensive approach is needed that provides for guidance with regard to the policy process in macro context, and is generically applicable to the public, private and non-governmental sectors, while at the same time being relevant at all levels of policy making.
- A generic process should specify essential phases which should necessarily not be regarded as sequential. The critical considerations and requirements of each phase must be specified.
- The need exists to determine a framework that is of direct value in the operational environment, specifically for the purposes of planning, appraising, implementing and evaluating policy processes.
- A policy-making model is needed that accommodates institutional capacity building and that is politically sensitive. It should ensure political ownership as well as independent analysis and should seek to facilitate conflict in order to attain consensus on policy decisions.

It is acknowledged that the comprehensiveness and relevance of models is an important consideration. However, models can be employed to serve as frameworks against which reality can be contrasted and from which lessons can be learnt. The use of models is perhaps most relevant when it is noted that one single model seldom covers the full spectrum of relevant issues, but that by using that which is relevant from each model may provide optimum results. Also in this regard, the generic process model has been serving largely as a comparative framework for practitioners and as a learning method in the training environment.

The use of the concept “model” as part of the concept “generic process model” needs further clarification. In policy terms, Dunn (1994:185) defines a policy model as “a simplified representation of selected aspects of a problem situation constructed for particular purposes”. The generic process model can indeed be regarded as a simplified representation of the policy process and is specifically aimed at identifying critical elements for actual policy process facilitation. Dunn’s further perspectives on models are worth noting. He observes that, like policy problems, policy models are artificial devices for imaginatively ordering and interpreting our experience of problem situations. He states that “policy models are useful and even necessary. They simplify systems of problems by helping to reduce and make manageable the complexities encountered ...” (Dunn, 1994:152). He notes that by simplifying problem situations, models inevitably contribute to the selective distortion of reality. Models themselves cannot tell us how to discriminate between essential and non-essential questions. Dunn (1994:153) illustrates (by quoting Forrester) that the use of policy models is not a matter of choice, since everyone uses a model of some sort:

Each of us uses models constantly. Every person in his private life and in his business life instinctively uses models for decision making. The mental image of the world around you which you can carry in your head is a model. One does not have a city or a government or a country in his head. He has only selected concepts and relationships which he uses to represent the real system. A mental image is a model. All of our decisions are taken on the basis of models. The question is only a choice among alternatives. (Dunn, 1994:153)

Dye (1987:20) usefully defines a model as a simplified representation of some aspect of the real world. He refers to policy-making models (such as the institutional model, the group model, the elite model, the process model and others already discussed) as conceptual models which have the objective to simplify and clarify our thinking about politics and public policy; identify important aspects of policy problems; help us to communicate with each other by focusing on essential features of political life; direct our efforts to understand better what is important and what is unimportant; and suggest explanations for public policy and predict its consequences (Dye, 1987:20).

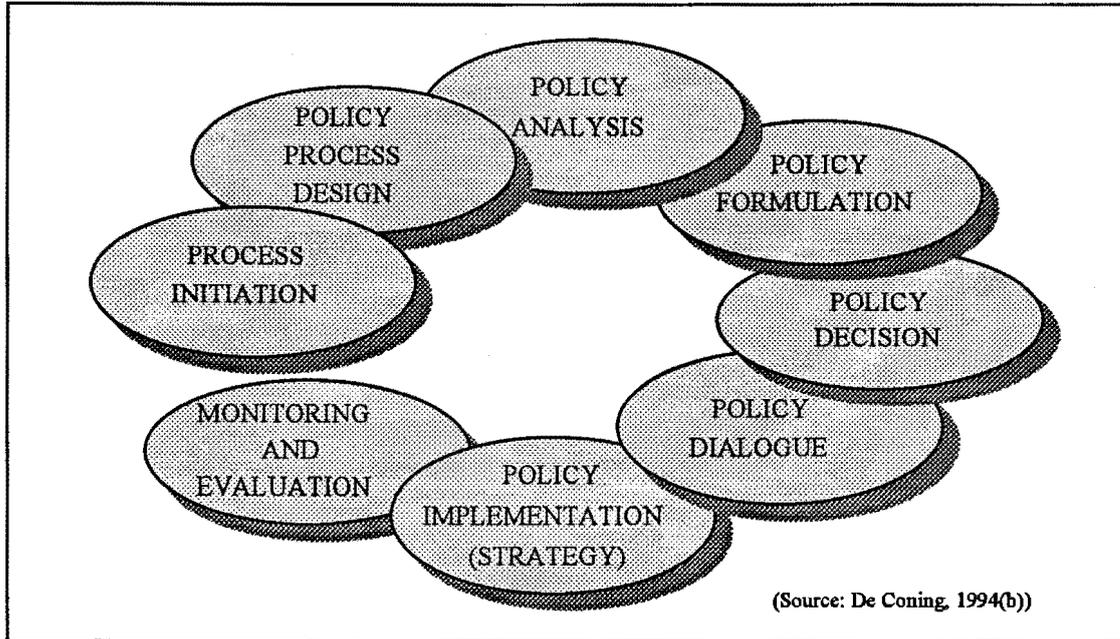
In an interview with David Mmakola²⁴⁰ where the requirements of policy-making models and specifically the validity of the generic process model were discussed, Mmakola placed an emphasis on empirical validity, logical consistency and normative ability (a model should not only describe and pretend to be objective, but must also show how policies should be made). Many scholars question the descriptive and prescriptive distinction to policy-making models. In the case of the generic process model, it was found that the model could also fit either category.

The assumptions on which the model is based, largely coincide with those of other process models. The perspectives of Fox, Schwella and Wissink (1991) and Wissink (1990) discussed above, provided a useful framework in this regard. These authors inter alia emphasised that phases should not be regarded as sequential and that policies may be initiated at different stages. Wissink (1990:32) noted that any particular policy may be in one or more stages simultaneously, or may move back and forth between stages. In essence, efforts to develop policy-making models are based on the assumption that certain steps in the policy process are essential and by identifying each step, and having a good understanding of what can be expected of each step, greater clarity in planning such processes, in achieving improved analysis and general forecasting, can be achieved. Some South African circumstances prompted specific requirements, which culminated in the development of the generic process model, discussed above.

In essence, the generic process model provides for both a comprehensive set of phases while also proposing that specific requirements and key issues be addressed during each of the phases. With regard to the first, the phases consist of policy initiation, policy process design, policy analysis, policy formulation, decision making, policy dialogue, implementation and monitoring, and evaluation²⁴¹ (see Figure 4.6).

²⁴⁰ Interview with David Mmakola on 10 August 1995.

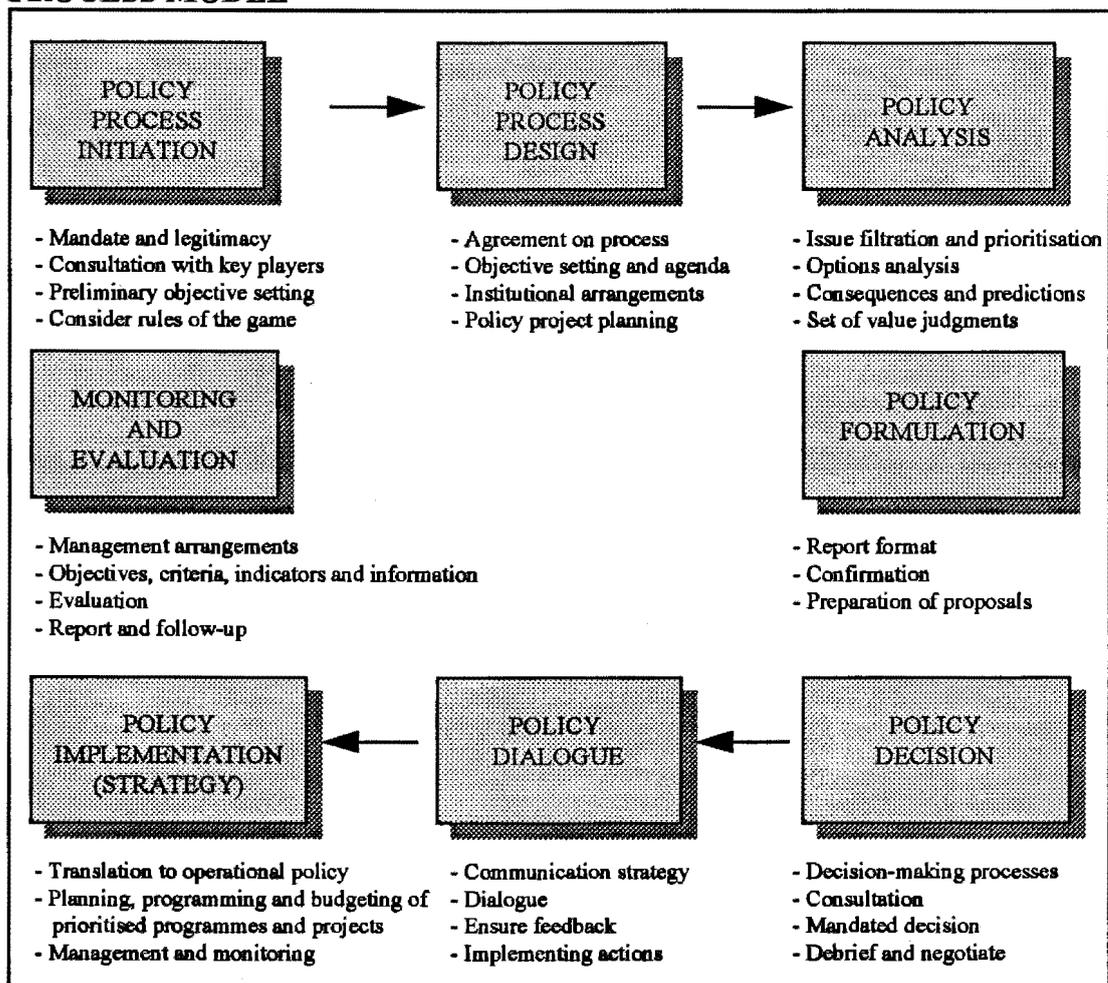
²⁴¹ Also compare Hughes (1994:152), Dye (1987:27), Henry (1992:307), Fox, Schwella and Wissink (1991:31), and Wissink (1990:32).

FIGURE 4.6: THE GENERIC PROCESS MODEL

Second, the discussion below provides a set of considerations for each phase. (These are also provided in detail, see Appendix C). Before a perspective on these is given, some brief notes on comparative considerations regarding prominent models already discussed are necessary. With reference to the comprehensive set of phases, the key phase in the generic process model is the process design phase. This phase has been emphasised in the South African context and provides for players to agree, beforehand, on the rules of the game in mainly two areas: the process to be followed; and the necessary institutional arrangements. This implies that key players of the policy process agree at the outset about the key issues to be addressed during each phase. The design phase also provides the opportunity to delineate how decisions are to be made, the composition of the decision-making body and technical support teams, administrative arrangements and other issues. Participation, and even the level thereof, is therefore secured, where relevant, in each phase. The design of policy issues and problems to be addressed can be handled during this phase and issue filtration, prioritisation and option analysis are typically addressed during the policy analysis phase. The attempt to indicate the relationship between phases (see for example the arrows drawn in both Figures 4.4 and 4.5) is questionable and can hardly be graphically illustrated. These relationships are complex and require detailed attention on the part of key players themselves in the design phase (see also Chapter 5). Over and above the fact that the

design phase represents the most significant phase in the generic process model, it should be noted that this intervention potentially impacts on the nature of all other phases as these are now jointly agreed upon actions. For example, where the concept policy advocacy is used in international models, and publication in the models of Wissink (Fox, Schwella and Wissink (1991)) and Wissink (1990), the generic process model provides for dialogue which may include policy advocacy and publication but also prompts players to go back to their constituencies to further develop the meaning and application of such policies. This not only improves the understanding of the policy on the part of those who need to implement it, but also allows such persons to challenge the options decided upon. Some further notes on considerations and critical issues to be addressed during each of the phases are necessary (see Figure 4.7 and Appendix C).

FIGURE 4.7: KEY CONSIDERATIONS FOR PHASES OF THE GENERIC PROCESS MODEL



Policy initiation is defined as those actions which lead to the initiation of a formal policy process. The initiation of policy, in government, the private sector and NGOs often takes place as a result of a deliberate decision and in most cases the accompanying authorisation by a person or body who has the mandate to do so is important. There is a general acceptance in South Africa that the legitimate person or body alone should initiate policy. The important underlying current is that South Africa has had many negative experiences in this regard because some political players have discredited legitimate policy processes. The general norm is also that the timing of such initiatives, the draft agenda and the players would have been reasonably clear before the decision is made to initiate. Policy experts may be quick to point out that the timing of such a decision as well as the focus of policy work is of a strategic decision-making nature. During the policy initiation phase, some basic questions arise such as, why the policy is being initiated and whether it is necessary? Policy initiation presupposes that key players are in agreement regarding the action and that reasonable consensus exists as to its importance. Moreover, initiation also implies that key players have some idea about which steps to follow and that they will have ample opportunity to participate in the design of the process (see Appendix C).

Policy design is defined as the planning and designing of a particular policy process, and takes place once the decision to initiate a policy has been taken. Particular emphasis is therefore placed on process design. Typically the design phase encompasses planning, programming and budgeting, but would also give attention to the management aspects of a process as well as that of a delineation of the studyfield. In particular, all phases in the policy process are agreed upon during this phase and the contents and expectations specified (also see Appendix C).

Policy analysis as a concept has been much emphasised and represents the backbone of policy management because the generation and development of viable policy options and sets of policy guidelines as sound alternatives is the very reason for managing policy making processes at all. As such, this phase and its elements provide important guidance for other phases of the policy-making process. So for example, indicators need to be developed of how the outcome is to be measured during the course of this phase to enable the monitoring and evaluating of policy implementation to take place

(also see Appendix C). Policy analysts largely agree on the basic steps of policy analysis. Dror (1971:55) regards the aim of policy analysis as being to provide a heuristic method for the identification of preferable policy alternatives. Two particular frameworks are being used for the purposes of this study. They are the steps of analysis suggested by Leonard (see De Coning (1994 (b))) and the policy analysis framework provided by Hogwood and Gunn (1984:171-218). Further attention will be given to these aspects in section 4.4.

Policy formulation is defined as the purposeful articulation or formulation of policy. Authors often regard the concept as part and parcel of policy analysis and the drafting of policy simply as the outcome of the analysis stage. Experience has shown that drafting policy requires specific skills and that particular attention needs to be given to the formulation of policy. Particular considerations are discussed in Appendix C.

Authoritative literature on the subject (Anderson, 1994:120) confirms the importance of the legitimate (political) role player making an actual decision on policy. Such an action by the decision-maker also symbolises the acceptance of policy and provides the mandate for implementors to act.

The related concepts of policy dialogue and policy marketing are appropriate for the South African setting where, given our history of isolation and the present transitional dynamics, policy makers have a need to engage with other players and to interact on such policies for a range of reasons such as participation, review, implementation clarity, etc. It is also found that players in the policy process need to report back to interpret policy decisions to constituents. Typically, specific attention is given to implementation clarification and feedback.

Together with policy analysis and evaluation, the implementation of policy is a crucial phase. The practicability of policy options developed during the policy analysis stage have to be tested in practice. It is today widely recognised that development management, and therefore the implementation of programmes and projects, is the joint responsibility of government, the private sector and NGOs. This relationship may be complex and specific actions for specific role players should therefore be determined. In essence too, a discussion of policy implementation would have to focus

on programme and project management. Elements such as planning, programming and budgeting (PPB) as well as the effective and optimal management of human, physical and financial resources are essential.

Evaluation has rightfully been emphasised as one of the most important (and often neglected) phases of policy-making processes. It is both the concluding and one of the activating and initiating phases. Evaluation attempts to measure and indicate the successfulness of policy measures taken and implies monitoring during the actual process. Criteria and indicators should therefore already have been determined during the design and analysis phases.

Ongoing experimentation and conceptual review have been achieved through operational experimentation, simulation and case study learning exercises designed for this purpose. Some brief observations in this regard are necessary. Operational experimentation and monitoring of policy processes with the objective of applying the generic process model consisted inter alia of the following:

- A policy process which was evaluated by the author, using the generic process model considerations, was that of the review of the 1986 *White Paper on Urbanisation*. Although the generic process model, as discussed in this chapter, was not yet in existence, this exercise provided the opportunity to experience, first hand, considerations regarding the process. The initiative (1989) was lead by Stef Coetzee²⁴² and performed by a small team in *DBSA*. The exercise, in retrospect, was very illustrative of the key considerations for the generic process model already discussed. By way of example, initiation occurred under circumstances where the legitimacy, necessity and political timing was questioned by the team. Broad consultation with key players and agreement on the process was almost non-existent. Some lessons were learnt regarding analysis and formulation. It was found useful to first establish a broad framework²⁴³ to identify the key issues, and to establish the relationship between these issues as well as objectives of such a policy. In particular, it was found that actual formulation proved to be quite

²⁴² Interview with Stef Coetzee on 18 August 1995.

²⁴³ In this regard, the *Integrated Approach to Urban Development*, developed by Stef Coetzee (1988) provided important lessons regarding the design of macro, integrated framework which ensured comprehensiveness and interrelatedness.

technical, requiring both the statement of broad principles as well as an adequate level of detail in order to be meaningful. Policy adoption, implementation and evaluation were, because of the political context already mentioned, completely limited and are for the purposes of the study, not discussed further.

- An exercise in which the author was only indirectly involved, but which he attempted to monitor, was that of the drafting of the *RDP White Paper*. Although it was not the intention to gather material for the purpose of this study, some reflections are noteworthy. Even to the casual observer it is clear that in terms of initiation, broad-based participation and consultation was achieved (see section 1.2) and the initiative well timed in terms of political and constitutional change. Although the design of the actual policy process (of drafting the *White Paper*) was not entirely transparent, the quality of analysis and formulation was fairly impressive given the time constraints. This can largely be attributed to the use of top analysts in the exercise. Although not a focus area of this study, it is surprising that so few debates are being conducted and so little research being done on the evaluation (and further development) of the *RDP* exercise. The author, owing to his involvement in the *DBSA* policy support being provided to the *RDP Office*, took part in an exercise where recommendations were made on the functions and institutional structuring of the *RDP Office*. In this regard, the generic process model proved to be of value as the considerations of required skills per policy phase of the generic process model, indicated a lack of skills in policy management. Much could be learnt from monitoring this process for evaluation purposes²⁴⁴.
- An example which provided the opportunity to apply the generic process model in an operational setting was the advice given to Minister Tito Mboweni and his strategic planning unit on the institutionalisation of policy, information and evaluation capacities in the *Department of Manpower*. Although the focus was on

²⁴⁴ During June 1994, the author in conjunction with Chris Heymans and Victoria Baecher, facilitated a simulation exercise on the *RDP*. This session, at the *Graduate School of Public and Development Management (University of the Witwatersrand)*, made use of the generic process model. This simulation is not further discussed in this study. During 1994 the author facilitated a series of *RDP* simulation exercises with *Gauteng Provincial Government* officials (11 June 1994) and with the then *Eastern Transvaal Provincial Government* officials (on 5 March 1994) as well as with Masters of Economics students of the *Centre for Regional Development (SENRIO)*, Potchefstroom (26 and 27 August 1994).

institutional aspects, it was found necessary to consider the generic process model to illustrate the relevant support during the various phases. These considerations have largely been adopted by the Department and later worksessions provided the opportunity to cover detailed issues, such as locational considerations.

- The most successful application to date of the generic process model to an operational setting, as a deliberate intervention, is the example of Fisheries Policy. The *Fisheries Policy Development Committee*, under the Chairmanship of Mandla Gxanyana (appointed by Minister Dawie de Villiers on 27 October 1994) requested the author to facilitate a session with the Committee. As the initiative was only approaching the design phase, it was an opportune time to make proposals on both the steps (phases and key issues) that could be followed as well as institutional arrangements necessary for such a process. The *FPDC* largely accepted the framework proposed and has successfully completed the design phase and is at present (August 1995) involved in the analysis phase. Care is being taken to monitor the implementation of the proposals, especially for the purposes of lessons to be learnt²⁴⁵. This exercise has been developed into a case study exercise, which is being facilitated with various groups. The case study (using video material, presentations by players and reading material) focuses on steps and key considerations that apply to the Fisheries Policy exercise. This learning method was used during the facilitation of a policy management course for Masters Students (*Graduate School for Public and Development Management*) on 31 July 1995. The case study was also used with M. Comm. students at *Potchefstroom University* on 18 August 1995 and subsequently used at an Executive Management Course at *DBSA* during October 1995.
- Lastly, an example of operational experimentation with the generic process model is the facilitation of the regional demarcation process of the *Commission for Demarcation and Delimitation of Regions (CDDR)*. As this example will be dealt with in detail in Chapter 6, only some key observations are made. This exercise

²⁴⁵ The process is being monitored in conjunction with the project leader (Danie Swart from the Operational Complex, *DBSA*), the financial specialist (Monde Zimema) as well as with a policy analyst, David Mmakola (*Centre for Policy and Information, DBSA*). Of late (October 1995) the *National Housing Forum (NHFF)* has also approached the author to discuss the evaluation of the housing policy process and the use of the generic process model.

illustrated the value of process design. A core group of the *Technical Support Team (TST)* designed the process to be followed in analysing policy options. The effectiveness and efficiency of the process followed could have been much improved if process options were clearer at the time. The *CDDR* exercise provided the opportunity to record and publish the exercise as a case study and lessons are still being learnt today. Case study learning exercises and simulation on the application of the generic process model to the *CDDR* exercise were performed at various occasions. In particular²⁴⁶ the case study was presented and facilitated with a *Gauteng Provincial Government* officials on invitation at the *Graduate School of Public and Development Management* during August 1993. This exercise was subsequently repeated at the same school for a group of Eastern Transvaal officials during September 1993. During August 1994 (and subsequently on 19 August 1995) the case study exercise was also facilitated with M. Comm. students at *Potchefstroom University*. The most valuable case study application to date was with a group of Masters students of the *School* (mentioned above) on 31 July 1995, where students compared the generic process mode with that of Dunn (1994) and subsequently, with the case study under discussion, reviewed and made valuable suggestions as to the process that could have been followed.

In the light of the above discussion of the generic process model and the comparative perspective on available models, the following section will address each of these phases in greater theoretical detail.

4.4 FURTHER THEORETICAL PERSPECTIVES ON THE PHASES OF THE POLICY PROCESS

This section provides further theoretical perspectives on each of the phases above. Although a user friendly framework encompassing the key considerations of the phases is provided in Appendix C, it is important to establish further theoretical perspectives on policy initiation, process design, analysis, decision making, implementation,

²⁴⁶ During 1994, the Johannesburg office of *Ernst and Young*, on request of the *Gauteng Provincial Government* (Ben Turock) included the generic process model in their strategic planning assessment. This issue is not further explored in this study.

dialogue and evaluation.

4.4.1 POLICY INITIATION

For the purposes of this study, policy initiation is defined as those actions which lead to the initiation of a formal policy process²⁴⁷. Practitioners also speak of policy innovation in the context of specific issues being placed on the agenda, often by proactive research or analysis. The initiation of policy, in government, the private sector and NGOs often takes place as a deliberate decision and in most cases the accompanying authorisation by a person or body who has the mandate to do so is important. This is particularly relevant in the case of South Africa where participation in deciding to pursue a particular policy is now being emphasised. The identification of priority issues by the (national) *RDP* as well as planning done by economic forums prior to the election, has triggered a host of policy initiatives. Facilitators such as *CBM*, *IDASA* and *DBSA* have played an important role in assisting key players with processes to identify policy issues. A further aspect which is particularly important is that of agenda setting²⁴⁸: not only identifying which issues to pursue, but the delineating process of what will be done, how, by whom and how it will be interpreted. These issues also come under closer scrutiny in the design phase²⁴⁹.

Authors such as Hanekom (1987:20) refer to the establishment of public policy and point out that the initiative for the establishment of public policy usually comes from three sources, either singly or in concert: legislative institutions (e.g. parliament, municipal councils); leading public officials; and interest groups²⁵⁰, including influential individuals. Once again, the impact and role of civil society and political parties may initiate and trigger policy initiation, to be followed up by the above three sources.

Leading public officials could, on the grounds of research or because of problems

²⁴⁷ Brewer and De Leon (1983:31) observe that although initiation as a phase is not disputed by observers, it is often one of the most complex and difficult to conceptualise. According to these authors, matters that typically warrant attention include individual and group perception, pattern recognition, communication networks, creativity and innovation.

²⁴⁸ For comparative perspectives of the importance of agenda setting in the international experience, see Hogwood and Gunn (1984:67–69) as well as Grindle and Thomas (1991:70–94).

²⁴⁹ Anderson (1994:89) mentions that a distinction can be made between systemic, institutional and governmental agendas. For a discussion of the agenda-setting process see Anderson (1994:91–95).

²⁵⁰ Also see Thornhill and Hanekom, (1983:24).

experienced with policy implementation, propose policy changes or new policies to the political office bearer²⁵¹ (Hanekom, 1987:20). In the South African context it has been rare for interest groups outside government to exert pressure on or influence the political office-bearer to make new policies. It is of particular interest how non-governmental organisations, community-based organisations and the private sector played a role in policy-making processes via negotiating forums before and after the 1994 election²⁵².

It is of interest to note that the specific participants and types of roles within the non-governmental sector and the private sector are not well known or documented. However, within these sectors, the same generic principle holds true: there are those in decision-making positions who decide on policy; and there are those who play the role of executing policy. Policy among families of NGOs or conglomerates in the private sector are well known. Specific policy management roles in the private sector, government and the non-governmental sector include those of (policy) initiator, designer, analyst, formulator, decision maker, implementing agent, point of dialogue as well as monitor and evaluator²⁵³.

4.4.2 POLICY PROCESS DESIGN

For the purposes of this study, policy design is defined as the planning and designing of a particular policy process, following the decision to initiate a policy. Particular emphasis is therefore placed on process design. Typically the design phase²⁵⁴ encompasses planning, programming and budgeting but would also give attention to the management aspects of a process as well as the delineation of the studyfield (the detail of options identification is discussed under the heading, policy analysis in section 4.4.3).

²⁵¹ For a more detailed account of policy-making bodies, official and unofficial policy makers, political office-bearers as policy makers and public officials as policy makers, see Hanekom (1987) as well as Hanekom and Thornhill (1986).

²⁵² For a discussion of the role of negotiating forums a vehicle for policy-making processes, see section 1.2 and section 2.3.

²⁵³ For a detailed account of top and middle-level public officials as policy makers, the policy innovation function of public officials, the policy advisory, the formulation and monitoring function of public officials, see Hanekom (1987:24–28).

²⁵⁴ For a discussion of issue filtration and a classification of issues, see Hogwood and Gunn (1984:88–90).

During the planning of a policy process, the phases and stages of the expected process, as depicted in this discussion (section 4.2) would typically be used. Such planning would be very dependent on the particular institutional setting as such a process require particular management arrangements. These would include management arrangements of a (political) decision-making body that can initiate and sanction the process, a team of technical analysts (including researchers or consultants who are not necessarily part of a particular organisational setting). In the contemporary policy debate in South Africa, particular emphasis is being placed on participation and representation of both the “owners” of such a process as well as the representation of analysts. The various roles and responsibilities of the key players need to be considered during the design phase. Weimer and Vining (1989:317), for example, point out that it is important to consider and anticipate evaluation during the design phase. Reporting requirements during the design phase is quoted as an example of a mechanism which may ensure that particular issues are monitored.

Programming forms an important part of the design phase as policy-making exercises are often conducted under circumstances where time is limited²⁵⁵. In addition, the complexity of issues as well as consultation processes may often require that a particular sequencing of events is necessary. Programming may also be necessary to ensure an optimal utilisation of scarce resources (physical, financial and human resources) and the process is often phased to ensure that consultants meet specific milestones. In an organisational setting where several policy programmes are being managed, the interrelated nature of policy issues often requires that coordination between various policy programmes is essential and the programming of a business plan, as it also relates to budgets, is important²⁵⁶.

Budgeting may prove to be difficult as the extent of the detail required is often not known beforehand. For this reason the programming of expected activities, together with the application of human and physical resources is necessary, also to enable

²⁵⁵ Brewer and De Leon emphasise that available time may be a crucial factor in policy development and that thorough analysis may be jeopardised by hastening processes. However, decision making on policy often requires immediate advice to be of any use at all. Timely policy inputs are for example one of the prime distinctions between policy analysis and research (interview with Richter, 12 October 1994).

²⁵⁶ The *Centre for Policy and Information* at the *DBSA* may be cited as an example, see mandate document, 1992 and the discussion, section 2.5.

effective management, control and flexible decision making whilst the process is underway²⁵⁷. It is of specific interest to note that information requirements should be considered as early as the design phase. Although detailed requirements would become available only once policy options have been identified during the analysis phase, information analysts are often not included from the initial phases of the exercise (for example, the demarcation exercise, see De Coning, 1994 (c)).

Linder and Peters (1989:647) argue that a methodology for design frameworks would require some mechanism for pulling together implicit models of causation for policy, instruments and normative elements. This discussion on policy design does not focus on available models for design (see section 4.2) or process models available to design policy making processes.

4.4.3 POLICY ANALYSIS

Policy analysis as a concept has been heavily emphasised – so much so that literature published on the subject during the 1980s and 1990s is referred to as policy analysis rather than policy studies, policy-making studies or policy management²⁵⁸. Nevertheless, policy analysis represents the backbone of policy management because the generation and development of viable policy options and sets of policy guidelines as sound alternatives is the very reason for managing policy-making processes at all. As such, this phase and its elements provides important guidance for other phases of the policy-making process. So, for example, indicators need to be developed of how the outcome is to be measured during the course of this phase if monitoring and evaluating of policy implementation is to take place.

Policy analysts largely agree on the basic steps of policy analysis. Dror (1971:55) regards the aim of policy analysis to be the provision of a heuristic (exploratory)

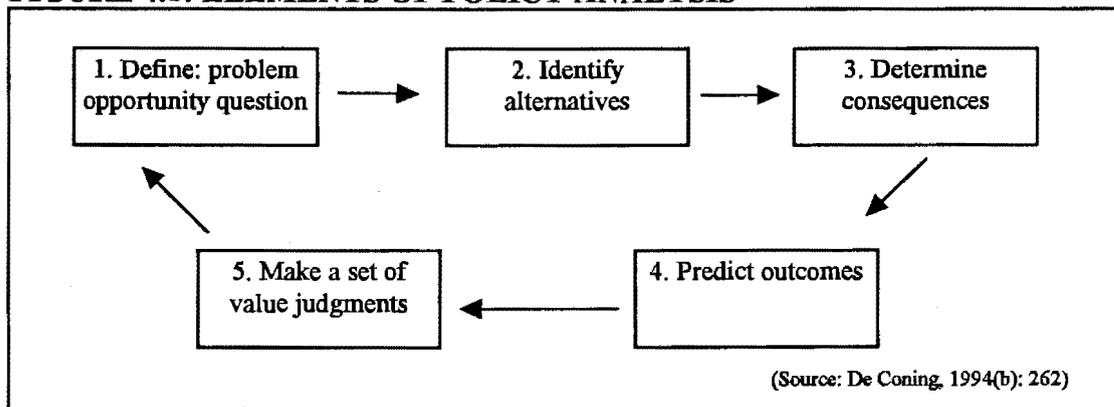
²⁵⁷ For a discussion of budgeting and public policy with specific reference to the national budgetary process, see Anderson (1994:161–186). For further perspectives on the budgeting of policy processes, see Quade (1982:288–291) and Botes et al (1992:193).

²⁵⁸ See for, example, Alterman and Macrae (1983), Bobrow and Dryzek (1987), Dunn (1981) and Hogwood and Gunn (1984). Specialists in the field such as Dror have been innovative and made use of a more macro approach, see for example Dror (1968, 1983(a), 1986 and 1991).

method of identifying preferable policy alternatives²⁵⁹. Two particular frameworks²⁶⁰ are used for the purposes of this study. They are the steps of analysis²⁶¹ as suggested by Leonard of Harvard University (De Coning (1994 (b)) and the policy analysis framework devised by Hogwood and Gunn (1984:171-218).

Policy analysis has been defined by Leonard (De Coning, 1994(b):260,261) as a systematic way of determining options and their likely outcome. Leonard put forward a framework for the five elements of analysis and pointed that these are not necessarily steps but rather an interactive process. The elements of policy analysis are: defining the problem, the opportunity and the question; identify alternatives or options; determining considerations and likely consequences for each of the alternatives; predicting the outcome of these alternatives; and forming a set of value judgments from the alternatives and their likely outcome (see Figure 4.8).

FIGURE 4.8: ELEMENTS OF POLICY ANALYSIS



Hogwood and Gunn (1984:171) emphasise that the selection from a number of options is at the heart of both politics and policy analysis. The basic steps that these authors propose and that largely compare with the framework by Leonard, include (1) identifying readily available options and consideration whether less obvious options should be generated; (2) defining options carefully; (3) appraising, and comparing a

²⁵⁹ It is of interest to note that in many instances the policy analysis process is a microcosm of the (macro) policy process (see section 4.2). This is especially so with authors that extend basic steps of analysis to include elements such as implementation. See Patton and Sawicki (1986:2).

²⁶⁰ The discussion of prescriptive and descriptive models of policy making is also relevant with regard to steps in the analysis process, see section 3.7.2.

²⁶¹ These steps of analysis also correspond with the work of authors such as Patton and Sawicki (1986:26). These authors speak of verifying, defining and detailing the problem, establishing evaluation criteria, identifying alternative policies, evaluating alternative policies, displaying and selecting among alternative policies; and monitoring policy outcomes. The emphasis on the comparative study of other policies is worth noting. Also consult CDE (1995).

wide range of criteria and analytical techniques; and (4) the presentation of a preferred option or a small number of feasible options to the decision maker.

In identifying²⁶², defining²⁶³, appraising and comparing²⁶⁴ options, the above authors also provide the perspective that these activities can be approached in a mechanical or creative way. In contemporary debates these two dimensions are also referred to as an issue-based approach (strategic and a priority) compared to a functional approach (in which case all options are considered).

Hanekom (1987:65) sees policy analysis "as an attempt to measure the costs and benefits of various policy alternatives or to evaluate the efficiency of existing policies" (Goldwin, 1980:39). Policy analysis is seen as a search for and assessment of alternative policy options, inter alia by forecasting²⁶⁵ (in quantitative and qualitative terms) and ascertaining the direct and indirect impacts and long-range effects of policies by the application of cost-benefit analysis²⁶⁶, modelling²⁶⁷ or simulation²⁶⁸.

The concept of policy analysis is employed in a remarkable sense by Dror (1971:55), covering both policy alternative innovation and preferable policy alternative selection²⁶⁹. Dror points out that:

²⁶² Authors in the field also refer to policy design in the context of policy analysis. For a perspective on the dilemma of the sociopolitical context of policy design see De Leon (1989:297–309). In this chapter (see section 4.4.2) a different and specific meaning of the concept policy process design is used. Also see the book, *Policy analysis by design* by Bobrow and Dryzek (1987).

²⁶³ For a discussion of specific techniques relevant to problem definition with specific reference to analysis, delineation, fact basis, goals, objectives, costs and benefits as well as problem review, see Patton and Sawicki (1986:107–110). Weimer and Vining (1989:184–198) place particular emphasis on problem analysis, also compare Venter (1991).

²⁶⁴ For a discussion of specific techniques such as linear programming, dynamic programming, the pay-off matrix, decision trees, risk analysis, queuing theory and inventory models, see Hogwood and Gunn (1984:177–183).

²⁶⁵ For a discussion of available techniques in the area of forecasting and policy analysis, see Quade (1982:281–284). For a perspective on techniques available in scenario planning see Schnaars (1987:105–114).

²⁶⁶ Cost-benefit analysis has also been referred to in the context of the rational-comprehensive model, see section 3.7.3. Cost-benefit analyses are also employed for the purposes of evaluation, see section 4.4.8. Also consult Heineman et al (1990:45–48).

²⁶⁷ For a discussion of the rationale and nature of modelling in the policy field see De Geus (1992) and Morecroft (1992).

²⁶⁸ See the discussion of simulation exercises as teaching method as applied by the author in three actual exercises of policy-making processes (section 4.3).

²⁶⁹ In this context, Dror adds some specific components which are discussed in Chapter 5. These include underlying values, assumptions and tacit theories, the consideration of political variable, treatment of

because of possible conflicts between the more rational components of the selection element and the more extra-rational components of the innovation element the critical importance of the innovation of new policy alternatives must be emphasised. Under conditions of rapid social transformation ... innovation of new policy alternatives is significantly more important than selection of the relatively best from a series of easily available alternatives ...

Dror (1971:57), in discussing the concept policy analysis, singles out four particular elements. These are value exploration²⁷⁰ (compact ideologies, latent values, motives and needs, irreducible values and the meanings and dimensions of basic social values), operational code assumptions, or the prediction of behaviour under various assumptions, political feasibility²⁷¹, and policy analysis network (a morphological breakdown of a policy issue).

During the 1980s much emphasis was placed on systems analysis as a particular approach to policy analysis. Authors such as Checkland (1981), Miser and Quade (1985) and Senge (1990 and 1994) used systems which they hoped would determine causality with regard to policy options²⁷². Senge is of opinion that systems thinking is a much-neglected field in policy management that could also be applied fruitfully in South Africa²⁷³.

complex issues, institutional self-awareness and "preferisation" as the direct goal of policy analysis (also see Dror, 1971:55-57).

²⁷⁰ John Dryzek (1982:309-326), in a critique of the lack of sensitivity in the policy analysis field, introduced the concept of policy analysis as a hermeneutic activity, which he defined as the evaluation of existing conditions and the exploration of alternatives to them, in terms of criteria derived from an understanding of possible better conditions, through an interchange between the frames of reference of analysts and actors. He singled out two particular issues: ethics and normative theory and the values and interests represented in the existing regime and policy process. For a discussion of analytical roles and professional ethics, see Weimer and Vining (1989:14-91). Policy analysts such as Benveniste (1984) place a high premium on ethics in policy management and even go so far as to propose a code of ethics for policy experts. He proposes that the following areas receive attention: defining the responsibility of the policy expert, identifying unacceptable conflicts of interest, determining the experts obligations regarding secrecy and disclosure and developing standards for the process of decision making in emergencies.

²⁷¹ Dror (1971:59) defined political feasibility in relation to policy analysis in three closely interdependent ways: relating to an actor, relating to a policy alternative, and relating to a policy arena.

²⁷² Miser and Quade (1985:47) are critical of the approaches of policy analysts such as Dror who focus on political feasibility as they are of the view that it limits the freedom of choice of policymakers. For a background to the emergence of systems thinking, see Checkland (1981:3-8) and Senge (1990:68-79). Also compare Dror (1990(c):48).

²⁷³ Interview with Peter M Senge, 11 September 1994, Eskom Training Centre. Also see his recent publication of case studies in the field (Senge, 1994).

4.4.4 POLICY FORMULATION

For the purposes of this study, policy formulation is defined as the purposeful articulation or formulation of policy. Authors often regard the concept as part and parcel of policy analysis and the drafting of policy simply as the outcome of the analysis stage. Experience²⁷⁴ has shown that specific skills are involved in drafting policy and that particular attention needs to be given to the formulation of policy. Anderson (1994:84) notes in this regard that: "Policy formation denotes the total process of creating or developing and adopting a policy. Policy formulation, in contrast, refers more narrowly to the crafting of proposed alternatives or options for handling a problem".

It is surprising that the local and international literature offers relatively little on this subject. Although rarely stated, some individuals have the ability to draft policy in an open and accommodating way. Drafting (policy) drafts as a technique in policy formulation and negotiation received particular attention during political negotiations in South Africa (De Coning, 1994(c)). In what Anderson (1994:106) refers to as policy formulation as a technical²⁷⁵ process, he remarks that: "Legislation or administrative rules must be drafted that, when adopted, will appropriately carry the agreed-upon principles or statements into effect. This is a technical and rather mundane but nevertheless highly important task. The way a bill is written and the specific provisions it includes can substantially affect its administration and the actual content of public policy." The same author also points out that laws and rules have to be carefully written as people will look for loopholes or try to bend the meaning of policies to their (own) advantage. Clarity in phrasing and intent may help to protect rules and laws against unfavourable guidance to those assigned the task of implementation.

²⁷⁴ In policy-making processes such as the *MTC Urbanisation Policy* (1990) and the redrafting of the 1986 *Urbanisation White Paper* (under the leadership of Stef Coetzee) it was found that the dilemma of the formulator is often that it is difficult to be specific whilst also being general enough that the policy applies (generically) to the national context. Policies then often become vague and meaningless.

²⁷⁵ Authors such as Patton and Sawicki (1986:91–98) provide a framework for technical formulation. Issues addressed include simplicity, accuracy, fairness, using graphics to communicate, organising a report and in-person communication.

4.4.5 POLICY DECISION MAKING

Authoritative literature on the subject (Anderson, 1994:120) confirms that it is important that the legitimate (political) role player makes a decision on policy. Such an action by the decision maker also symbolises the acceptance of policy and provides the mandate for implementors to act. Such a political decision by a policy maker provides a legitimate²⁷⁶ setting for policy and also enables legislation to follow²⁷⁷. Conscious decision making about policy also enables other actions or stages, such as marketing, dialogue, implementation and monitoring to come to fruition. Anderson states that:

A policy decision involves action by some official person or body to adopt, modify, or reject a preferred policy alternative. In positive fashion it takes such forms as the enactment of legislation or issuance of an executive order ... furthermore, a policy decision is usually the culmination of various decisions, some routine and some not so routine, made during the operation of the policy process.

Anderson (1994:120) gives some indication of the process involved when he observes that as the formulation process moves toward the decision stage²⁷⁸, some provisions will be rejected, others accepted and still others modified; differences will be narrowed, bargains will be struck, until ultimately, in some instances, the final policy decision will merely be a formality. However, as is evident from Appendix C, specific decision making processes may be followed.

4.4.6 POLICY DIALOGUE

The American and European application of the concept of policy advocacy involves the use of analysis in making an argument for a particular policy. It has been stated that both the roles of the analyst as political actor and as that of a political actor as analyst are controversial. The related concepts of policy dialogue and policy marketing are perhaps more appropriate for the South African setting where, given our history of

²⁷⁶ For a discussion of legitimacy and legality in this context, see Anderson (1994:120).

²⁷⁷ For a discussion of the role of technical advisors and bureaucracies in decision making on policy, see Grindle and Thomas (1991:97-100).

²⁷⁸ For a discussion of decision criteria such as values (organisational, professional, personal, policy and ideological) political-party affiliation, constituency interests, public opinion, deference and decision rules, see Anderson (1994:126-134). For a discussion of bargaining, persuasion and command styles of decision making see Anderson (1994:137-141).

isolation and the present transitional dynamics, policy makers have a need to engage with other players and to interact on such policies for a range of reasons such as participation, review, implementation clarity, etc. In this context, Cloete (1993:95) states that the marketing of a policy could be combined with the public relations activities of the policy maker. Furthermore, those responsible for public relations could maintain an information service for policy makers to inform them about the attitudes of the public affected by such policy (Cloete, 1993:94).

In providing guidance to policy analysts during the policy dialogue stage, Weimer and Vining (1989:212–215) observe three rules: first, that recommendations should follow from the evaluation of alternatives; second, that policies are best communicated when advantages and disadvantages are singled out; and third, that a clear set of instructions for action should be provided. These authors suggest that interaction with policy clients be structured and suggest the use of preliminary drafts. Weimer and Vining (1989:214) argue that policy makers often have little time and that effective communication can be facilitated by following a few straightforward rules: provide an executive summary and a table of contents for a policy report; set priorities for information; use headings and subtitles that tell a story; and use diagrams, tables and graphs carefully. The same authors emphasise that soft issues such as professional integrity and scientific credibility are important factors for effective policy dialogue²⁷⁹.

4.4.7 POLICY IMPLEMENTATION

Together with policy analysis (section 4.4.3) and evaluation (section 4.4.8), the implementation of policy is a crucial phase. The practicability of policy options developed during the policy analysis stage have to be tested in practice and as some may put it: the proof of the pudding is in eating it.

It is today widely recognised that development management and therefore the implementation of programmes and projects is the joint responsibility of government, the private sector and NGOs. This relationship may be complex and specific actions

²⁷⁹ For a detailed exposition of do's and don'ts with regard to communicating policy analysis, see Weimer and Vining (1989:216).

for specific role players²⁸⁰ need to be identified (see development planning, section 3.2). Typically, in government, the implementation of a public policy involves first, the translation of policy into government (implementation) policy e.g. a White Paper, and second, translation into administrative policy, and then, third, monitoring and evaluating implementation (Hanekom, 1987:54). Substantial emphasis is being placed on the active management and ongoing review of the content of the above translated policy levels. In this regard it is important to point out that policy implementation most often fails²⁸¹ in developing countries because of insufficient institutional arrangements (see section 5.3). Essentially, a discussion of policy implementation would have to focus on programme and project management, an issue which is not discussed in detail in this study²⁸². In this context, elements such as planning, programming and budgeting (PPB) as well as the effective and optimal management of human, physical and financial resources are essential²⁸³.

In public policy, authors such as Rein (1983:123–128) and Hanekom (1987:60) distinguish three interdependent stages of policy implementation. The first is the development of particular implementation guidelines. This dimension includes priority determination and budgeting. Second, the translation of executive policy into administrative policies should involve issues such as human resources provision, work procedures and organisational arrangements; and third, it should include the overseeing of implementation²⁸⁴. In a formal sense this may refer to financial accounts but in contemporary management terms it not only implies control but also leadership of an enabling nature so that corrective action and review may come about during implementation (Rein, 1983:127–128).

In the light of the importance of projects and programmes in implementing policies,

²⁸⁰ Bressers and Klok (1988:9) quote several authors when they conclude that policy implementation is an interactive process involving several actors.

²⁸¹ Much has been written on project and implementation failure and this issue is not further explored in general terms. For a discussion of this theme in the context of policy instruments, see Bressers and Klok (1988:9) as well as Ingram and Schneider (1988). However, evaluation and monitoring (section 4.4.8) provides a methodology for approaching implementation failure in policy context.

²⁸² For a discussion of programme and project management issues, see DBSA (1992(a)), Paul (1990:33–42) and World Bank (1993).

²⁸³ According to Hogwood and Gunn (1984:196), policy analysts have taken a renewed interest in implementation and the role of policy making in implementation.

²⁸⁴ For a discussion of techniques of control such as inspections, contracts, expenditures and informal procedures, see Anderson (1994:213–236).

participation (also see section 3.6) is particularly important on project level as it is only at the local level that participation can be ensured and policies truly translated to the local context. Gran (1983:284–285) identified six generic difficulties for participatory development at the project level. These include either too much or too little project management which works against participation; the fact that far too much effort of the wrong sort is spent at the front end of the project cycle and almost none trying to find out what the results were or meant. Third, Guy Gran speaks of faith in rational planning which is, according to him, overemphasised. Next he points out that the needs of the project manager are significantly slighted (with effective participation), and that the cost effectiveness of the use of project resources and personnel time is (usually) very poorly considered. Sixth and last, Gran points out that the size of the average project of major donor agencies is unrelated to the scale of the immediate needs of abilities of most poor people.

4.4.8 EVALUATION AND MONITORING OF POLICY

Evaluation is correctly emphasised as one of the most important (and often neglected) phases of policy-making processes. It is both the concluding and one of the activating and initiating phases. Evaluation attempts to measure and indicate the success of policy measures taken. It also points to new directions for a repeat of the policy making process in its never ending bid to improve policy (Hogwood and Gunn, 1984:219). This study is also a plea for the evaluation of both the content of policy²⁸⁵ and the policy processes. The latter field has been much neglected as subject for evaluation and monitoring and it is argued that the very framework of phases provided for in policy management could be used to evaluate policy-making processes (see Chapter 5). However, this section seeks to establish a theoretical perspective on the evaluation phase only.

With regard to the evaluation of public policy, Hanekom (1987:88) makes an important distinction when he states that: “ ... either the effectiveness of the process of policy making itself, or the effectiveness of the policy outputs” need to be considered.

²⁸⁵ Specific techniques for systematic evaluation of policy (content) are available. These include before and after studies, modelling, the experimental method, the quasi-experimental method and retrospective cost-benefit analysis, see Hogwood and Gunn (1984:228–234)

The same author (1987:89) also provides useful clarification of the concepts of policy analysis, policy monitoring and policy evaluation. Where policy analysis is concerned with a systematic analysis of the process of policy making and with the results of policy making (see the discussion of modes, of a prescriptive and descriptive nature), policy monitoring is concerned with what happens, how and why, while the value and desirability of the results or impacts of a particular policy.

Historically, policy evaluation has often been referred to as the last stage of the policy process, where those who determined and implemented the policy and those who were affected by the policy attempt to find out if it has really worked (see Anderson et al, 1978:11 and Hanekom, 1987). It is increasingly being recognised, however, that policy evaluation does not necessarily take place only after implementation of policy, but that it could occur as a continuous activity throughout²⁸⁶ the policy process (Hogwood and Gunn, 1984:219). Policy evaluation is the shared responsibility of government, the private and non-governmental sector, who all may be monitoring (and evaluating) a particular policy at a given point in time. Specialists from particular fields may pursue very specific approaches and macro and lateral skills are often required. Consultants, who specialise in this field are often used but this may have several disadvantages such as target dates which result in over-hasty assignments or the constructing of particular outcomes (Lineberry, 1977:132). Hogwood and Gunn (1984:234) point out that whether or not evaluations are carried out by those delivering the programme can have important implications both for the technical effectiveness of the evaluation and for its utilisation²⁸⁷. An advantage of evaluation by the operating staff (insiders) is that they have the detailed knowledge of what has happened, whilst the disadvantages are that they may lack specialised evaluation skills or are subjective in their evaluation of policies (Hogwood and Gunn, 1984:234). These authors also point out that specialised evaluation staff within an organisation may not have vested interests whilst having a thorough knowledge of the subject.

²⁸⁶ Patton and Sawicki (1986:139–175) provide a framework for establishing evaluation criteria with special reference to the process, costs, benefits, externalities elasticity, equity, technical feasibility, economic and financial possibility, political viability and administrative operability.

²⁸⁷ Also compare Brewer and De Leon (1983:319–321) for a discussion of evaluation as an in-house activity. The authors makes a distinction between the terms evaluation research and evaluation analysis and note that they differ on the basis of approaches taken, observational tools used, the clients served and the standard of execution.

However, external evaluation by the delivering organisation or the funding and legislative bodies may be advisable.

Evaluation of public policies should lead to policy adjustment to determine whether the action should be continued, modified, terminated²⁸⁸ or replaced with an alternative course of action. In this context the evaluation of policy processes may improve the management of such initiatives. Policy evaluation requires and provides indicators and reliable information²⁸⁹ to the extent of which objectives are being realised and it further serves to clarify in which areas adjustments need to be made. Qualitative and quantitative information is important as statistics can only be as valuable as they are interpreted. With regard to especially softer issues, such as process evaluation, where performance areas such as participation need to be evaluated, value judgments on the level of efficiency are necessary. According to Dror (1968:25) evaluation involves two main steps, the use of a criterion to ascertain the level or quality (qualitative and quantitative) of a process, and the creation of a standard to appraise the ascertained quality. In this regard Dror (1968:31) is rather critical about methodologies employed in policy analysis. He states that: "Most of this material relies too much on quantification and rationality, or is diluted by fuzzy thinking." Erica Haines (Hill, 1993:166) argues in this context that: "While research data is often mainly gathered at either a structural or at an interactional level, sound analysis and intelligent conceptualisation requires that both levels (and their relations) should be addressed."

There are numerous frameworks for evaluating policy. This section does not deal with the evaluation of the impact, or content of policies, but the evaluation of policy-making processes. The discussion below provides a summary and some references to this area of study. Thereafter, frameworks for the evaluation of policy processes will be discussed. With regard to frameworks for evaluating the content of policies, authors such as Baker et al (1975:101–102), Hanekom (1987:91) and Rycroft (1978:91) make

²⁸⁸Termination as a component of the policy process has received particular attention in policy studies. Authors such as Brewer and De Leon (1983:383–386) have given prominent attention to the subject. Termination and replacement of alternative policies are potentially an effective technique to promote desired policies. For a comparative perspective on policy termination, succession and maintenance see Hogwood and Peters (1983:26–28).

²⁸⁹For an exposition of information requirements as part of ongoing monitoring see Hogwood and Gunn, 1984:220).

a distinction between preimplementation and post-implementation. The study field of evaluating projects and programmes is of course fully relevant and well-known frameworks exist²⁹⁰. Typically, pre-implementation evaluation includes feasibility²⁹¹ (politically, socially, economically and technologically) and forecasting²⁹². Cost-benefit analyses are often conducted²⁹³. Post-implementation typically focuses on representativeness, efficiency, equity, effectiveness, responsiveness, appropriateness, etc. Facets (Anderson, 1979:154–155 and Dye, 1978:312–315) also typically included are the impact of the policy on the problem or opportunity and society; the measure of positive and negative side-effects; short-, medium- and long-term effects; direct cost; and indirect costs.

Furthermore (Hanekom, 1987:92) to determine the above, the evaluator must know the objectives of the policy, how the objectives can potentially be realised and what has been achieved (also see Anderson, 1979:153). In this regard, Hogwood and Gunn (1984:241) observe that the studyfield of policy succession (the replacement of one or more existing policies by one or more other policies) and policy termination has become increasingly important. The assumption made is that it often requires a specific effort, following evaluation to initiate new policy processes and to terminate others.

In measuring policy impacts, several types of policy evaluation can be distinguished. Apart from evaluating by analysis and evaluating processes by specialists on particular policies, which may include a permanent capacity to monitor progress, some specific types exist (Hanekom, 1987:92). These include: hearings, workshops or citizen complaints; written testimony or submissions, questionnaires (Dye, 1978:316–317); self service evaluation (such as commissions of enquiry); fragmentary evaluation by

²⁹⁰ In this context the concept of project and programme management (also see section 3.2 for a discussion of development management) implies an evaluative element in project and programme preparation and implementation (and evaluation). For a perspective on strategic management in this context see Paul (1990:33–42). For a discussion of World Bank experience in this context see the World Bank (1993) and for a framework applicable to decision making in selecting projects for *DBSA* support, see *DBSA* (1992(a)).

²⁹¹ Hoppe, Van de Graaf and Van Dijk (1987:581–601) provide a perspective on feasibility testing in the context of implementation research and policy design.

²⁹² Patton and Sawicki (1986:205–208) provide specific techniques for forecasting including extra-polative methods, theoretical forecasting techniques such as modelling and intuitive forecasting techniques.

²⁹³ Dubnick and Bardes (1983:214) remark that cost-benefit analyses are based on scales of valuation which are subject to debate but still very useful as measuring units for policy results. For a perspective on the misuse of cost-benefit analysis as a technique in policy evaluation, see Anderson (1994:255–258).

different evaluators/parties (Anderson, 1979:151–152); honesty and efficiency evaluation; programme measures (Dye, 1978:316); pre- and post-implementation comparison; projected and actual post-implementation data comparison (Carson and Williams, 1982:429); operating and non-operating comparisons; systematic evaluation; and controlled comparison.

With regard to the above, criteria are often developed to evaluate the quality of policy outcomes (Hanekom, 1987:96). These include relevance, significance, validity of real outcomes, reliability (of information); objectivity of conclusions, timeliness and usefulness (Dunn, 1981:369). Valuable lessons about implanting participatory evaluation are to be found in Gran (1983: 314). Essentially, he states that participatory evaluation means that those involved in project design, implementation, and benefits also play the major roles in regular and continuous evaluation of the activity. Gran (1983:319) quotes Hoole to illustrate the above:

Generally, it appears that for the evaluation to be relevant, agreement on several prior issues is essential: the goals of the programme, the nature of programme service (and any variants thereof), measures that indicate the effectiveness of the programme in meeting its goals, methods of selection of participants and controls, allocation of responsibilities for participant selection, data collection, descriptions of programme input, etc., procedures for resolving disagreements between programme and evaluation personnel, and above all, the decisional purposes that evaluation is expected to serve.

The above discussion focused on evaluation regarding the impact of policy. The evaluation phase in fact represents a microcosm of the policy process as a whole. Comprehensive evaluation therefore also implies evaluating all phases, as discussed above. The evaluation of policy content (especially analysis) remains a crucial priority as the quality of policy is dependent on both content and process factors. Two specific dimensions are relevant. First, evaluating the process implies that the management of the process and institutional capacity are important areas of evaluation. Second, the policy process contains certain essential steps and evaluation of the policy-making process should focus on the extent to which essential phases and steps (as discussed above) were realised. A framework for such evaluation is suggested in the next chapter.

4.5 CONCLUSION

The discussion of theoretical frameworks for policy management showed that a critical mass of theoretical material, especially on policy processes, is available. The discussion furthermore indicated that a focus on policy process management has increasingly become evident. Furthermore, there is valuable material on the phasing of policy processes and practical insights on the elements of these phases.

This chapter focused on policy processes as a central theme of this study. The available theoretical material was assessed and particular models were compared. Especially the models of Dunn (1994), Wissink (1990) and Fox, Schwella and Wissink (1991) received attention. Following on particular South African requirements and given the gaps in these areas in existing models, an attempt was made to provide a perspective on the generic process model and key considerations in this regard. In particular, the reasons for including a design phase were given, and a user-friendly framework, specifying the key considerations during each phase, was established (see Appendix C). Subsequently, additional theoretical perspectives were given on the various phases of the process.

The following chapter will provide a perspective on the institutional arrangements for policy management, after which the case study will be presented. Both the generic process model discussed in this chapter, as well as institutional considerations in the next chapter, will be used to illustrate the evaluation of the policy process discussed in the case study.

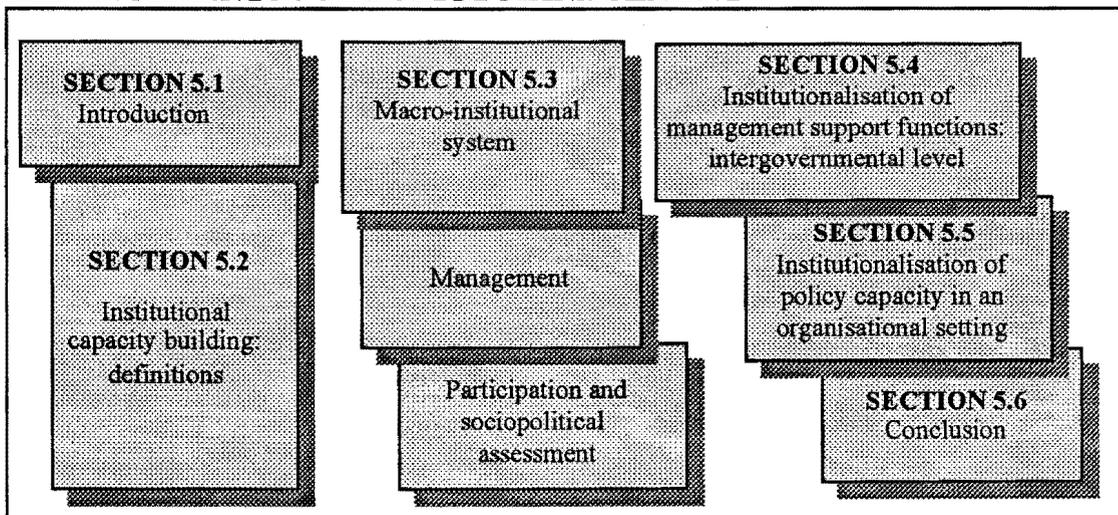
CHAPTER 5

INSTITUTIONAL ARRANGEMENTS FOR POLICY MANAGEMENT

5.1 INTRODUCTION

During the course of the theoretical discussions in the previous chapters, reference was made on an ongoing basis to the importance of institutional arrangements and the management of the policy process. This study is primarily concerned with policy management and institutional arrangements pertinent to the management of the policy process. It is the objective of this study to determine a macro approach to institutional arrangements (main dimensions of institutional capacity building) and a focus on relevant areas, namely the institutionalisation of policy capacity in an intergovernmental and organisational context. After the discussion set out below, concluding observations are made²⁹⁴ (see section 5.6).

FIGURE 5.1: COMPOSITION OF CHAPTER FIVE: INSTITUTIONAL ARRANGEMENTS FOR POLICY MANAGEMENT



This chapter comprises a general discussion of definitions of institutional capacity building, institutional development and institution in order to identify some key considerations for a discussion of institutional arrangements for policy management (see section 5.2 and Figure 5.1). Second, it provides a perspective on the main

²⁹⁴ These concluding observations are also presented in the format of a user friendly framework that may be used for planning, appraisal or evaluative purposes (see Appendix D, the objective of the study, section 1.5 and its application, Chapter 6).

dimensions of capacity building as it pertains to institutional development generally but also specifically to the institutional capacity building of policy process initiatives (section 5.3). This section gives particular attention to the impact and importance of the macro-institutional system (section 5.3.2), management (section 5.3.3) as well as people participation and sociopolitical analysis (section 5.3.4).

Given this background, the chapter under discussion focuses on two particular areas, namely the institutionalisation of management support functions on an intergovernmental level (section 5.4) and the institutionalisation of policy capacity in an organisational setting (section 5.5). A theoretical discussion of these two areas is important as the intergovernmental level and the organisational level have also been dealt with in terms of contemporary trends in South Africa (sections 2.4 and 2.5 respectively) and as these two areas will also be applied to the case study (Chapter 6). In the discussion on the institutionalisation of management support functions, such as policy on an intergovernmental level, specific attention will be given to centralised capacities (section 5.4.2), relatively independent support capacities (section 5.4.3), the ad hoc use of specific capacities (section 5.4.4) and coordination management (section 5.4.5). Lastly, some concluding observations that are relevant to policy management are made (section 5.4.6). In section 5.5, the discussion on the institutional setting will explore selected literature which specifically pertains to policy management at the organisational level.

Finally, given the theoretical perspectives on institutional arrangements for policy management as provided in this chapter and as set out above (also see Figure 5.1), an attempt is made to present a framework which could assist or facilitate efforts towards improved planning, appraisal and evaluation of the management of policy processes (section section 5.3.5, Figure 5.6 and 5.7 as well as Appendix D).

5.2 INSTITUTIONAL CAPACITY BUILDING: DEFINITIONS

Institution, institutional development and institutional capacity building are concepts that have become prominent in practical and theoretical terms in the development

debate during the last decade²⁹⁵. Generally the concepts refer to management aspects of development in an organisational context and to management aspects in the environment outside organisations²⁹⁶. For the purposes of this chapter, the working definition used for institutional development is the capacity to manage. In policy management terms, this study is concerned with essential dimensions of institutional arrangements supportive of sound policy processes and therefore, the capacity to manage policy processes.

The following discussion explores definitions of both the concepts institution and institutional development. These definitions provide a basis for an improved understanding of the above working definition and deal with some important concepts that are central to the subsequent discussion on key dimensions in institutional capacity building (section 5.3). Thereafter some concluding remarks will be made.

Bernstein (Blase, 1986:321) defines the concept of institution as “... an organised capability to perform economic, social and political functions for society”. Logically, the concepts stem from, first, the understanding that a value is internalised into the value system of an individual, that such a value is institutionalised in the value system of a group of people and that organisations are instituted to give effect to such values. This assumption is supported by Selznick (Blase, 1986:324) when he concurs that: “To institutionalise is to infuse with value ... beyond the technical requirements of the task at hand.” Esman and Siffin (1975:17) also state that the institution established by institution building is not just an organisation. They describe the institution as a set of continuing patterns of action that encompass both the organisation and its transactional valuations with its environment. Selznick (Blase, 1986:324) refers to organisations as technical instruments designed as a means to definite goals: “Institutions whether conceived as groups or practices may be partly engineered ... (but) are also products of interaction and adaptation, they become the receptacles of group idealism.”

²⁹⁵ See Blase (1986), Cernea (1989), Cornia et al (1990), De Coning (1992, 1994(a)), Jaycox (1993), Mutahaba and Balogun (1992), Osborne and Gaebler (1993), Rondinelli (1983(a)), Tobelem (1992), and World Bank (1993).

²⁹⁶ It is mainly because of a need to not only consider organisational development (OD) aspects, but also to consider broader factors, such as so-called “softer” issues (for example, leadership, violence, religion, public participation, and others) that the concept institutional development has become popular.

According to Bernstein (1975:4) institutions are particularly important in providing opportunities for development action, and also in acting as incentives to encourage individuals to react to changing conditions in a desired manner. Esman and Siffen (1975:32) hold that an institution is not defined as a set of sanctioned norms such as marriage or contract, nor as a sector of action such as business or religion, but as a change-inducing and change-protecting formal organisation. Such formal organisations symbolise, promote, sustain and protect innovations. Koster and Carstens (1988) define an institution as: “dynamic behaviour patterns and relationships that evolve around a particular organisation and its interactions with its environment and that generate the proper conditions for orderly change in a society through time”.

Esman and Bruhms (Blase, 1986:324) provide the link as to why institutional development is regarded as encompassing far more than organisational development only, when they define institution as: “... an organisation which incorporates, fosters, and protects normative relationships and action patterns and performs functions and services which are valued in the environment”. Such values transcend organisational parameters so that a range of issues outside an organisation, including the value systems of individuals making up such an organisation, or that have a direct influence over it, in fact become part of the systematic context, and logically the potential for institutional development and capacity building²⁹⁷. Uphoff (Blase, 1986:324) in this context, sheds further light on the concepts organisation and institution when he states that: “An institution is more than an organisation and more than a cultural pattern. It attracts support and legitimacy from its environment... .” This statement shows that where functions of an organisation are being valued, and such values become institutionalised by a larger group, also outside of the organisation, one can speak of an institution²⁹⁸. According to Esman (1975:8) the aim with institution building is to create viable institutions that must “not only survive, they must be able to exert influence on their environment so that the innovations they stand for are taken up and incorporated by complementary organisations and groups with which they interact”.

²⁹⁷ Such value systems have a direct effect on corporate culture and potential alignment with factors in the external environment and a rich source of literature exists on the subject. See for example Dror (1994(b)), Kabat (1983), Mohrman (1990), Rudder (1987), Senge (1990 and 1994), UNDP (1995), Walker (1992) and World Bank (1994). Interview with Philip de Kock on 22 August 1994.

²⁹⁸ In a wider sense, and in the same context as described above, other values or “institutions” are institutionalised as acceptable values by society, for example the church or marriage as an institution.

Esman (1975:7) defines institution building as the planning, structuring and guidance of new reconstituted institutions which embody changes in values, functions, physical and, or social technologies, establish, foster and protect new normative relationships and action patterns, and obtain support in the environment²⁹⁹.

A common-sense analysis of standard dictionary entries³⁰⁰ on the plain and ordinary meaning of the term and its near relations indicate that institutions come in two basic forms (or combinations thereof), namely, first, laws, customs, conventions, rules, norms, procedures and practices; and second, organisations, societies, associations, corporations and clubs, as well as individual persons who are formally appointed or long established in place, such as a cleric in a church. Moreover, it is obvious that a society's institutions will have range, overlap and depth. That is, there are various types of competing and complementary institutions, as well as institutions within institutions. Beale (1993:3) uses the example of Parliament in terms of South African constitutional law, where Parliament may enact other laws (e.g. the *Alexander Bay Development Corporation Act* or the *Companies Act*) that create or authorise the creation of other organisations (e.g. private companies) whose operations are further governed by their internal rules and procedures and carried out by their organisational subdivisions.

Koster and Carstens (1988:6) note that uncertainty exists when changes are introduced into any social system. Various unexpected consequences and unpredictable responses may therefore emanate from even well-planned experiments in social change and therefore also from institution building. Institution building is therefore a guidance and social learning process and not the implementation of prepackaged foreign ideas and models³⁰¹ (Esman, 1975:8 and Rondinelli, 1983(a):130).

Philip de Kock³⁰² states that institutional specialists should realise that they are in the

²⁹⁹ For other definitions in support of this definition during the same time-period, consult Leemans (1976) and Siffin (1977).

³⁰⁰ Consult the *Concise Oxford Dictionary* and the *Webster's New World Dictionary*.

³⁰¹ Van Arkadie (1990:156) also stresses this point. According to Van Arkadie the influence of informal factors makes the transfer of organisational models from one setting to another risky. Even the design of programmes on the basis of successful models (the author cites Kenyan and Ugandan examples) should be approached with caution.

³⁰² Interview on 22 August 1994.

software business when dealing with institutional capacity building as described above, where social technology is the essence and where the bottom line is people and their behaviour (De Kock, 1991:10). During a workshop of the *Centre for Institutional Specialists (DBSA)* on 22 August 1991, a group of institutional specialists defined institutions as:

... a consequence of societal needs, a product of society with its own identity, that rests on a social contract, implies common values and creates an organisation which is managed according to commonly agreed upon rules, objectives and actions. (De Kock, 1991:10)

Key phrases that highlight the above and which emanate from the above workshop included, that institutions arise as a consequence of a social dynamic process and that institutions are something meaningful as a consequence of social needs. Institutions are orderly (ordered) and bound by rules and values and produce outputs which are not necessarily visible. The workshops' concluding comment in this regard is most informative:

Institutions and organisations should not be confused. Institutions are socially dynamic and a formalised subset. This explains the commonality between institutions and people participation. It is obvious why participation and institutions are thrown together. It is through participation that institutions change. (De Kock, 1991:11).

Consequently, the workshop defined institutional development as: "a process and a consequence of change that should be voluntary and cannot be composed. Institutional development must, as an objective, improve the process (the transformation of resources to outputs)³⁰³.

According to Beale (1993:4) development agencies played a pivotal role in giving substance to the concept institutional development by focusing on institutional appraisal and capacity building³⁰⁴. Development agencies first took an interest in the

³⁰³ In a discussion of more salient elements, this definition was highlighted by the concluding remarks that institutional development is aimed at making institutions more effective, that institutional development is dynamic, voluntary and aimed at improving capacity and institutional development is a consequence of change and aims to maximise outputs (De Kock, 1991:11).

³⁰⁴ Interview with Thomas Beale on 22 February 1995. Also see Wolmarans (1989:3). A particular emphasis is placed on institution building as a facilitating, planning and guiding intervention in this context.

capacity of public borrowers and their political subdivisions and agencies to make good use of the money lent to them for development purposes. Thus, institutional appraisal and capacity-building efforts were initially aimed at organisations and individuals³⁰⁵. Furthermore, given the priorities and patterns of investment, donor agencies had to focus their appraisal and capacity-building efforts on public institutions responsible for or having a major impact on development, namely national and regional development agencies; departments of finance, planning and works; parastatal corporations; and public servants³⁰⁶.

In the development field, and having recognised that organisational and human capacity building is a necessary but inadequate measure to ensure success in development programmes and projects (and generally in promoting growth and development), donor agencies started paying more attention to the broader economic and political “rules of the game” within which various actors pursue their interests³⁰⁷. They were particularly concerned with government institutional interventions, e.g. regulatory regimes. Thus, the range of institutions under scrutiny was extended to include public policies, laws and systems of governance, as well as related public-sector organisations. Development agencies also began to take a greater interest in non-governmental and community-based organisations (NGO/CBOs or the “civil sector”) that were proving to be important initiators and participants in development programmes and projects, and in general community upliftment (World Bank, 1990(a); 1991(a) and 1993). Social scientists offered reflections on the role of institutions in society, and new insights into interventions that could be sponsored or promoted by development agencies to facilitate institutional reconstruction in respect of existing systems of governance, public policies and legislation. Capacity building in the public,

³⁰⁵ And to some extent community based organisations, called “beneficiary capacity building” by some practitioners, see Baum and Tolbert (1985).

³⁰⁶ For a perspective on institutional capacity analysis as conducted by the *World Bank*, see Tobelem (1992). An emphasis is placed on tracking, interpreting and measuring institutional capacity gaps. Also compare Jaycox (1993). In most cases, the institutional analysis focused primarily on systems and structures internal to the organisations and its operations. The professionals called upon to address these issues included specialists in business and public administration; systems analysts (particularly finance and information systems), specialists in organisational and human resource development and accounting and auditing firms that expanded their services into fields of organisational appraisal and management services (Beale, 1993:5).

³⁰⁷ According to Van Arkadie (1990:1) economists interpret “institutions” in at least two ways. Institutions can be the “rules of the game” (which provide the context, such as markets, in which actors make decisions), or they can be organisations (typically, systems of non-market relations).

private and civil sectors became prominent. According to Beale (1993:5) these contributions to the theory and practice of institutional development are best understood in their disciplinary context. Leading disciplines identify the subjects of enquiry (both institutions and actors),³⁰⁸ and articulates its values, goals or norms,³⁰⁹ for two purposes:

- to understand, describe and evaluate the role of institutions in the society (including their origin, their influence on the behaviour of various actors, the resulting economic, political or other social impacts, and the natural and forced dynamics of their change); and
- to prescribe the actions that need to be taken (particularly by governments) to develop institutions so that they more fully embody those values, achieve those goals or comply with those norms³¹⁰.

From the above it is clear that definitions of institution and institutional development, like policy, require an interdisciplinary approach. Furthermore, institutional arrangements will have a direct bearing on policy management. In this regard Mutahaba³¹¹ et al (1993:43) state that: "As elements that provide the base and locus of policy management functions, and also determine the direction, speed, and intensity of the policy process, organisational and institutional factors are critical in determining public policy output."

Subsequently, one can deduce from the above discussion a number key considerations for policy management:

- Institutions are part of larger systems which are more open to influence or to

³⁰⁸ By way of example, economists focused on familiar topics, e.g. markets, prices, incentives, entrepreneurs and firms, while sociologists and political scientists focused on for example, the role of women, the household, communities and various forms of non-governmental organisation or civil society.

³⁰⁹ In this process the economic discipline suggested various values, goals and norms including efficiency, redistribution, choice, welfare, equality and minimisation of transactions costs. Sociologists and political scientists concerned themselves with, for example, participation in, or the democratisation of, decision making systems and structures.

³¹⁰ According to Beale (1993:5) the neoclassical, new institutional, marxist and structuralist schools of economics all participated in the debate.

³¹¹ Mutahaba especially focuses on three critical areas in this regard, namely, organisational articulation, authority relationships, and capacity dispositions, see discussion section 5.4.

being influenced than organisations. The integrated nature of institutions is reflected in their systemic nature.

- The policy and strategy factors have an important impact on the nature of the institution. The focus of institution building is first policy and strategy and second, organisation building (form follows function).
- The culture (behaviour) of the institution as a formal or informal force should also be a focus in institutional development.
- For the purposes of policy management, the capacity to manage policy processes can be improved by institutional capacity-building efforts where institutions are involved in such processes.
- A development focus in institutional capacity building, as well as institutional development as a key component to development, are logical conclusions.

Consequently, some key dimensions of institutional capacity building are explored in order to ascertain which particular institutional elements are pertinent in the planning and evaluation of policy processes.

5.3 DIMENSIONS OF INSTITUTIONAL CAPACITY BUILDING

5.3.1 INTRODUCTION

The scope of institutional capacity building is daunting. Some key issues³¹² have arisen from the South African experience (Chapter 2) that do provide an overview of important areas for capacity building. As boundary conditions shifted as a result of progress in constitutional negotiations and the establishment of the interim government (during 1993), the general constitutional order changed with the acceptance of the *Interim Constitution* that, inter alia, determined the roles of the various levels of government³¹³. This led to a fundamental revision of powers and functions which, amongst other factors, created an environment conducive to massive constitutional

³¹² Consult various papers that were delivered at the *DBSA Macro Institutional Development and Public Sector Transformation Workshop*, Protea Hotel, Pretoria, 19-20 August 1993. Also see sections 5.4 and 5.5.

³¹³ See for example the introduction of Schedule Six functions for provinces.

change. Other factors, such as the introduction of the *RDP*, also contributed to significant institutional change in the private sector and in the NGO sector. Under these extended boundary conditions, policy options for institutional development and capacity building extended far beyond rationalisation to institutional reconstruction and transformation³¹⁴. In the South African experience, a comprehensive policy on the role of the public sector in South Africa's constitutional, administrative and economic orders must still develop and the final products will have to culminate in enabling legislation, administrative systems and structures and financial appropriateness. Obviously, at a macro-institutional level as described above, the functional and organisational dimensions of such change are paramount areas for institutional capacity building and efforts to improve policy management (Mokgoro, 1993:6). Given the above realities as contextualised in policy terms above, the following section will explore some theoretical perspectives in this regard.

Although institutional capacity building, as discussed in this section, has a wider application³¹⁵ it also directly applies to policy development³¹⁶. In this regard, Dror (1990(c):15) concludes:

A main feature of grand policy analysis should be intense concern with structures and institutions, as resources and bases for policies and constraints upon them, as objects for policies, and as influenced by policies even if not aimed at. Policy reasoning in terms of societal architecture, constitution setting, institution building, structural adjustment, macro-organisational design and redesign should be central to grand policy analysis and explicitly handled in it. Structural and institutional implication are implied in all policy making, are recognised as susceptible to unanticipated consequences and as often causing them and are often aimed at explicitly, such as in economic structural adjustment policies.

³¹⁴ See for example, Fitzgerald (1993) and Fitzgerald, McLennan and Munslow (1995). In making propositions for public sector transformation, the author refers to post-apartheid factors and needs, public management organisational reform and development considerations. Fitzgerald also warns that international models, such as the *Total Quality Management* approach should not be directly applied, but that Indian, Nigerian, Brazilian or Malaysian successes and failures may be more compatible (Fitzgerald, 1993:3).

³¹⁵ The generic dimensions of capacity building, as will be discussed in section 5.4.6, are applicable to project level as well as policy related assignments.

³¹⁶ In this context, Dror (1984:98) refers to some improvement principles and focuses on what he calls selective radicalism, breakthrough orientation, diffuse improvement, debunking and continues to stress the importance of policy near heads of government, think-tanks, and national policy colleges amongst others. See the discussion in section 5.4.

Key performance areas emanated as priority areas from a range of institutional building support efforts³¹⁷. Areas such as the policy, strategy and planning environment, the general management component and the human resource management component, are generically also key performance areas applicable to any policy management exercise. In other words, institutional capacity can be improved to better policy management exercises by heightening the standard and quality of other policies, realisable strategies and participatory planning frameworks. Second, policy exercises can be improved if they are better managed (productivity, effective management and logistical support, etc) and third, if human resources management, applicable to the particular policy exercise, is properly executed. For the purposes of this study, critical dimensions of institutional capacity building were identified by means of both practical experiences (discussion above and Chapter 2) and the theoretical material available in the field³¹⁸. For the purposes of determining these issues, a framework is used which consists of the main dimensions of institutional capacity building, which consists of, first, macro-institutional arrangements, second, the management component, and third, people participation and sociopolitical analysis and assessment³¹⁹. These are discussed in the sections which follow below.

5.3.2 MAIN DIMENSION ONE: THE MACRO-INSTITUTIONAL SYSTEM

This dimension refers to the status and impact of macro-institutional arrangements. Any institutional capacity-building exercise or policy-making endeavour is highly dependent, vulnerable and influenced by the macro-institutional environment in which it operates. This includes inter alia the full political system and its influences and issues, such as political leadership and public sector efficiency, are, amongst others, critical determinants. The quality and status of strategic planning and visionary leadership in the public sector, as well as in the private and non-governmental sectors

³¹⁷ See De Coning (1994(a) and 1994(d)) and Koster (1993 and 1994).

³¹⁸ Guidelines which may be particularly helpful in establishing a generic framework for dimensions of institutional capacity building emanated from the work of institutional specialists at DBSA. This framework was found to be relevant to project, programme and policy endeavours. See *"Policy frameworks for institutional specialists"* (De Coning, 1992).

³¹⁹ These main dimensions, together with other dimensions which are discussed (above), are used as a framework or management tool and were defined following an issue-based approach (also see Figure 5.7). See DBSA (1992(a)), DBSA (1994(a)), De Coning (1992), De Coning (1994(a) and 1994(b)), Koster (1993) and Koster (1994). Also compare the African Capacity Building Foundation (1992), ANC (1994), Balogun (1991), Benington and Hartley (1993), Bernstein (1989), and Grindle and Thomas (1991).

have a profound effect on policy endeavours³²⁰ (Koster, 1995). Strategic planning in this context is an important prerequisite for policies in all three these sectors, as policies are shaped to give effect to such strategic objectives (Fitzgerald, 1993:4).

Strategic management functions that are at the centre of the success of the country require that standards of professional excellence be set right from the start and the required capacity be developed³²¹. South Africa has experienced many years of decline in professional excellence and capacity in the public sector. The successful and effective management of a programme can be achieved only if it is underpinned by a systematic system of monitoring and evaluation of progress and feedback into the policy and planning processes. This requires especially designed information systems and a culture of willingness to share information³²². Policy and planning should not merely be concerned with allocation and utilisation of resources, but also with mobilisation of resources. Capacity should be created for strategic management and coordination of programme activities³²³. Institutions should therefore reflect a paradigm shift away from the traditional administration and control to the management of development and process facilitation (Benington and Hartley, 1993:19).

Development depends on the capacity of society to analyse, adapt, initiate and manage change. One of the root causes of the political and economic crisis facing Africa has been the lack of capacity in governments to respond quickly and decisively to the rapidly changing global environment. Critical policy issues are also too often inadequately analysed, they are of little relevance and no timely research is done. Within a society in transition, such as South Africa, the public sector's ability to base effective policy making on sound policy analysis is vital to the very success of what is

³²⁰ See for example Fitzgerald (1993:4) who places an emphasis on an integral developmental vision. According to the author, a vital set of capacity-building issues in regard to both public sector transformation and macro-institutional development need to be addressed. Also consult Benington and Hartley (1993:10).

³²¹ For definitions of strategic management, reasons for using strategic management and perspectives on the strategic management process, see Fox et al (1991:220–229). A comparative international perspective which may interest the reader is that of *The rise and fall of strategic planning* by Mintzberg (1994). Also compare Huger and Wheeler (1993), Rowe et al (1994), Thompson and Strickland (1993) and Thompson (1994).

³²² See the discussion on the interorganisational and intergovernmental institutionalisation of such capacities in the South African setting (section 2.4). Also compare theoretical perspectives on the institutionalisation of management support functions on an intergovernmental level (section 5.4).

³²³ Although this issue will be dealt with in greater detail in sections 5.4 and 5.5, Dror's (1988(a)) views on visionary political leadership are of interest in this regard. Also see Dror, 1987(c).

to be achieved by the *RDP*. The capacity to analyse and synthesise, and then to decide on desired courses of action is inseparably linked to the conception and implementation of such a programme. Van Arkadie (1990:171) notes in this regard that:

The most telling case against many institutions is not that they are technically inefficient or poorly managed (although they may be) but that, in the political and administrative reality in which they operate, they end up pursuing objectives inconsistent with development.

In the above context, therefore, it is clear that policy management is a key variable in the strategic management of the public sector. A large amount of relevant literature exists on the subject³²⁴. A recent focus has been the management of change in this context³²⁵ (De Coning, 1994(a)).

The status of policy arrangements and the quality of available policy frameworks on macro, sectoral, provincial, local and other levels have a direct impact on any institutional capacity-building endeavour in policy making processes. By way of example: If the aims of the *RDP White Paper* is to be realised, such a policy framework is very dependent on the status and quality of sectoral policies, as ultimately, such sectoral components form part of its framework. If such policies are effective and applied successfully to the strategy level, the *RDP White Paper* would be established in an environment conducive to macro coordination. On the other hand, if such sectoral policies were missing or of a poor quality, the establishment of a macro-policy framework would be far more problematic. This assumption also applies to projects of the public sector or similar initiatives of the private sector or NGO community.

Planning arrangements are critical and the macro-institutional system has a direct

³²⁴ See for example the perspective by Benington and Hartley (1993) on strategic management of change in the organisation and culture of local government in South Africa. Special attention is given to strategic vision and leadership within the community, the implications for the political process and alternative organisational models for local government. Also consult Moore (1982 and 1993), with specific reference to public management. As an example classical account is given of the changing roles of a librarian. Interview with Christene Letts, Harvard University, during July 1994.

³²⁵ For a perspective on institutional capacity building in this context, see Hilderbrand and Grindle (1994). Interview with Merilee Grindle, Harvard University, July 1994.

impact on institutional capacity-building initiatives and policy-making exercises³²⁶. South Africa has a particular history of exclusive and fragmented planning. Participatory planning arrangements, as discussed in Chapter 3 (section 3.6) are a critical element of policy endeavours. Representative forums, *RDP* councils or commissions are important vehicles to ensure joint policy ventures. Planning arrangements at central, provincial and local levels should ensure bottom-up and top-down planning. In the present (1995) circumstances in South Africa, the establishment of a sound macro-institutional system, inclusive of effective coordination and cooperation agreements, or otherwise known as intergovernmental relations, is critical. Tobelem (1992:19) refers to intergovernmental relations as interinstitutional relationships and places an emphasis on an understanding of how networks and relationships work³²⁷. Intergovernmental relations, on horizontal and vertical levels, are of obvious importance if it is considered that coordination and cooperation agreements at these levels have a direct relationship with the policy process³²⁸. In the case of Nigeria, a *National Council on Intergovernmental relations* has been instituted to facilitate and assist with such relations. Such a facilitating mechanism can be especially employed to resolve conflict on policy matters³²⁹. During a presentation by the author to the *Commission for Provincial Government (CPG)*³³⁰ it was concluded that the key issues to be addressed in this area include strategic planning of key government units, also to ensure alignment, policy, strategy and management coordination, information management (with reference to the *Financial and Fiscal Commission*, the use of mobile teams for human resource management, public sector transformation and change, powers and functions, fiscal relations and *RDP*

³²⁶ Public management approaches towards planning are fully relevant in this regard. Consult Fox et al (1991:46–61).

³²⁷ Intergovernmental relations are not dealt with in any detail. For further perspectives, see De Coning (1994(a):7).

³²⁸ De Villiers (1993:1) notes that sound intergovernmental relations in South Africa and other countries are needed for a variety of reasons, including the complexity of modern governmental procedures, the increase in the number of concurrent matters, the interrelatedness of many government functions, spillovers in services, competition between levels of government and scarcity of resources and economic constraints. Interview, Bertus de Villiers, Head, *Centre for Constitutional Analysis, Human Sciences Research Council (HSRC)*, and Douglas Irvine, Head, Technical Support, *Commission for Provincial Government (CPG)*, 16 March 1995.

³²⁹ Interview with Isawa Elaigwu, Director General of the *Nigerian National Council on Intergovernmental Relations*, 19 and 20 January 1995.

³³⁰ A perspective on intergovernmental relations was requested and subsequently presented to the *CPG* on 28 November 1994. Also see De Coning (1994(a)).

coordination).

Realistic strategies are dependent on the ability to translate policies to the operational level, and, as discussed in Chapter 3, are the final test in policy making. If institutional capacity-building exercises or policy-making endeavours take place in an environment in which the delivery mechanisms exist to give effect to policies, such a situation has a direct impact also on the quality of policy exercises as lessons of actual practical experience can be incorporated and policies executed. Where such operational capacities are poor, or even missing, policies are experimental and devoted attention needs to be given to this dimension (Mokgoro, 1993:5).

The legal and statutory framework may have direct impact on institutional capacity-building exercises and policy-making endeavours. As proved in the South African situation by numerous examples, legislation can be of an enabling or inhibitive nature. Lastly, specific issues may arise. Typically areas such as information management³³¹, monitoring and evaluation, the constitutional context, availability of technical expertise to address the above issues and others may arise in particular circumstances.

It is important to note that although the above dimensions refer to institutional dimensions that have a critical impact on institutional capacity-building efforts or policy initiatives at the macro level, these dimensions equally apply to policy management exercises at the project or micro level, in the public, non-governmental and private sectors alike³³².

5.3.3 MAIN DIMENSION TWO: MANAGEMENT

The general management of institutions, institutional capacity-building exercises and policy initiatives is an essential main dimension. Typically, this main dimension includes management generally, the quality of leadership at executive (and political)³³³

³³¹ For an exposition of the importance of information analysis in this context, see Mokgoro (1993:16).

³³² Mokgoro (1993:6) provides a perspective on institutional arrangements on the micro-institutional (internal) environment and especially refers to internal organisation, personnel policies and beneficiaries as important areas of intervention. Also see World Bank (1990(c):x). Also consult Blase (1986:385) for specific perspectives on micro and macro aspects of institution building.

³³³ Political development and impact are important and are typically dealt with under main dimension one (macro-institutional arrangements), also compare section 2.4, sections 5.4 and 5.5. For a general overview of political systems see Ranney (1966).

levels, human resource management, administrative efficiency, organisational development and other specific issues. With the exception of political levels, these are briefly discussed below.

Public sector management³³⁴, i.e. executive management implementing through departments, statutory bodies and public corporations, should be required to critically measure output by applying private sector business principles in terms of their capacity to plan, to execute such planning, to merge operations and maintenance, procurement as well as to manage the provision of services or products. Public managers are furthermore accountable and responsible for ongoing evaluation of their effectiveness and efficiency (Jaycox, 1993:74).

Although technically a part of public management, the area of human resource management is of utmost importance and the total human resource management concept is fully relevant to change in the public sector. Areas that should receive attention include, among others, reforming key human resource policies, hiring policies and conditions of service. Such an approach also implies that personnel output performance appraisals will have to be performed and training and development requirements determined. In the South African experience, the formulation of a policy regarding optimal public sector size in relation to functions and needs will have to receive urgent attention. Public sector transformation³³⁵ (see section 2.4) and structural adjustment have had a unfortunate experience in especially Africa and *World Bank* and *IMF* initiatives in this regard are viewed rather critically. Such initiatives often focused almost exclusively on macroeconomic policy and financial adjustment, and largely ignored institutional capacity building³³⁶ (Balogun, 1991:27–31).

The general quality of political and executive leadership will have a profound effect on

³³⁴ For a discussion of public-sector management in this context, see De Coning (1994(a), Koster, 1994 and 1995) as well as the discussion on management support functions on an intergovernmental and organisational level (sections 5.4 and 5.5 respectively). Also see section 2.4 on the South African experience regarding macro-institutional change, public sector transformation and policy management. Compare Thornhill and Hanekom (1995), Bayat and Meyer (1994) as well as Gildenhuys, Fox and Wissink (1991).

³³⁵ See Koster (1993) and De Coning (1994(a)).

³³⁶ In a discussion of institutional capacity building in the African context, Balogun (1991:31) points out that in addition to revitalising implementation agencies, entrepreneurial development, improved economic and financial management, improved debt, revenue management and aid coordination, special attention should be given to redynamising institutions for policy analysis and formation.

institutional capacity both at the macro level in say, the case of a central government line department, as well as at the micro level in say, a one-person business enterprise. Much has been written about such leadership and particular attention should, for the purposes of policy management, be given to executive management³³⁷. The classical approach to public management functions such as policy making, planning, organising, leadership and motivation, as well as control and evaluation, are fully relevant³³⁸ (see Fox et al, 1991:5)³³⁹. A significant development focus has also been forthcoming from Development Studies, Development Administration, and of late, Development and Public Management contributions³⁴⁰. As discussed in Chapter 1, the *Public and Development Management Graduate Schools* have contributed significantly in applying private and development management principles and practices to the public sector. Hughes (1994:58), for example, refers to the “New Public Management” approach and emphasises a reviewed relationship between the role of government and other role players (Hughes, 1994:88–118). This approach also emphasises public policy and policy analysis, internal components and external constituencies (Balogun, 1991; Fox et al, 1991; Hughes, 1994 and Kotter, 1990). South African initiatives in the field of public and development management are of importance and address essential issues in the local management and development debate (see for example, Fox, Schwella and Wissink, 1991; Fitzgerald, McLennan and Munslow, 1995; Meyer, Theron and Van Rooyen, 1995; and Schütte, Schwella and Fitzgerald, 1995). At the recent *Fifth Winelands Conference* in Stellenbosch (27–29 September 1995), titled *Challenges in change*, several important focus areas were highlighted including challenges in change, societal transformation as a shared national vision and the basic programmes and implications of change (see conference programme and papers to be made available in 1996).

The mere formulation of the *RDP* per se will not automatically imply achievement of

³³⁷ Van Arkadie (1990:172) notes that if leaders are more secure and enjoy some autonomy in decision making, they will be much freer to make choices without reference to the short-term interests of pressure groups. Also see Kotter (1990). For a perspective on the manager as negotiator in this context and with particular reference to organisational strategy, see Lax and Sebenius (1990:51).

³³⁸ This source (Fox et al, 1991) also deals with these functions in detail, see Chapters 4 to 8 of this document. Also compare Christie et al (1993), Van der Merwe (1991 and 1993:223) and Botes et al (1992:240–245).

³³⁹ For a typical public administration approach to managerial functions with reference to organising, staffing, financing, work methods and procedures as well as controlling, see Cloete (1993:202–218).

³⁴⁰ See section 1.3 on the relationship between Development Studies and Development Administration.

its goals and objectives. A good but rudderless strategy will achieve nothing. In this context leadership refers to both political leadership and the leadership that needs to be exercised by the management cadre in the public sector. Effective leadership provides commitment and motivation to development and change and provides for innovative and creative leadership qualities³⁴¹ (Culligan et al, 1990:85).

In a generic sense, Kotter (1990:4) notes that in the past century, literally thousands of managers, consultants and lecturers or researchers have developed and refined the processes which make up the core of modern management which involves:

- Planning and budgeting or setting targets or goals for the future, (typically for the next month or year), establishing detailed steps for achieving these targets – steps that might include timetables and guidelines – and then allocating resources to accomplish those plans.
- Organising and staffing, i.e. establishing an organisational structure and set of jobs for accomplishing plan requirements, staffing the jobs with qualified individuals, communicating the plan to those people, delegating responsibility for carrying out the plan, and establishing systems to monitor implementation.
- Controlling and problem solving typically includes monitoring results in some detail, both formally and informally, by means of reports, meetings, etc.; identifying deviations, which are usually called “problems”; and then planning and organising to solve the problems (Kotter, 1990:4).

Subsequently, the abovementioned author, in addition to what he calls the primary functions of management, acknowledges the quest for demands of the 1990s. In this regard Kotter (1990:5) identifies leadership and management components that are critical within complex organisations and very relevant to subprocesses³⁴². They include:

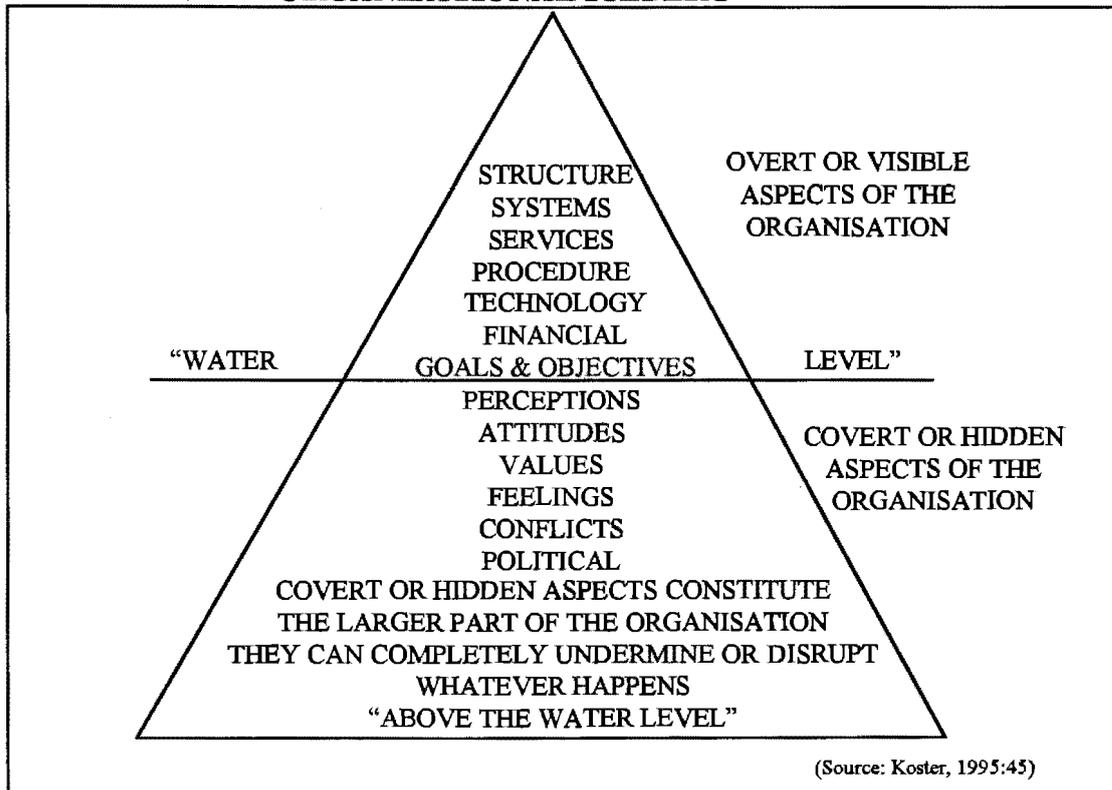
³⁴¹ This section does not warrant a detailed perspective on leadership. For definitions of power and authority and situation factors, see Fox et al (1991:90–106). For an exposition of crises decision making in policy-making context, see Dror (1990(c):83).

³⁴² In an interview with Fanie Cloete on 24 February 1995, on the management of policy processes, he placed a special emphasis on the importance of a subset of smaller policy processes which often have a direct impact on the outcome of (macro) policy processes.

- Establishing direction through developing a vision of the future, often the distant future, along with strategies for producing the changes needed to achieve that vision.
- Aligning people by communicating the direction to those whose coordination may be needed so as to create coalitions that understand the vision and that are committed to its achievement.
- Motivating and inspiring – which involves keeping people moving in the right direction despite major political, bureaucratic, and resource barriers to change – by appealing to very basic, but often untapped, human needs, values, and emotions (also see Mintzberg, 1990).

Human resource theorists and practitioners have, in the last few decades, increasingly focused on the softer side of human resource management at the organisational level. This dimension received attention whilst still acknowledging the visible (or more structural) dimensions of organisational development. The classical iceberg model is known in this regard (see Figure 5.2 below)³⁴³.

FIGURE 5.2: THE ORGANISATIONAL ICEBERG



³⁴³ See Mintzberg (1983, 1989 and 1990) and Koster (1995).

In this model, the central idea is that it is fairly easy to change, even through unwanted intervention, the overt or visible aspects of the organisation such as structures, systems, services, procedure, technology and financial resources. It is far more difficult though to effect true change, namely to address the above by attending to covert or hidden factors “underneath the water level”. These hidden aspects of the organisation, such as perceptions, attitudes, values, feelings, conflict and political agendas, can inhibit or stimulate whatever happens “above the water level”.

Authoritative³⁴⁴ recent literature on the subject (see for example Cascio (1993), Gerber, Nel and Van Dyk (1995), Mohrman (1990), Senge (1990), Smit (1992) and Walker (1992)) shows that increasing attention has been given to the human factor in the organisation. The emphasis has been placed on human resource management and strategies within organisational context. Walker (1992:1) quotes Richard Pascale as saying that “strategy is defined as all the things necessary for the successful functioning of an organisation as an adaptive mechanism”. With regard to the private sector, Walker (1992:4) states that: “*IBM* reorganises only for a good business reason. If the organisation hasn’t changed in two years, that’s a good business reason.”

Trends and tendencies in the 1990s show that companies³⁴⁵ are minimising the levels and complexity of the organisation structure and are encouraging delegation of initiative, and innovation. Flexibility and innovativeness in how work is performed and measured to fit business needs and employee interests have come to the fore with a redefinition of the role of managers³⁴⁶. To be more flexible, many companies are therefore promoting informal, direct contacts across organisations (multiple, changing matrices of relationships). Renewed business strategies require organisational structure to follow and implement. This requires reviewing and planning of formal organisational structures (e.g. roles, responsibilities and relationships) and the process by which work is performed (e.g. delegation, decision making, teamwork and others)

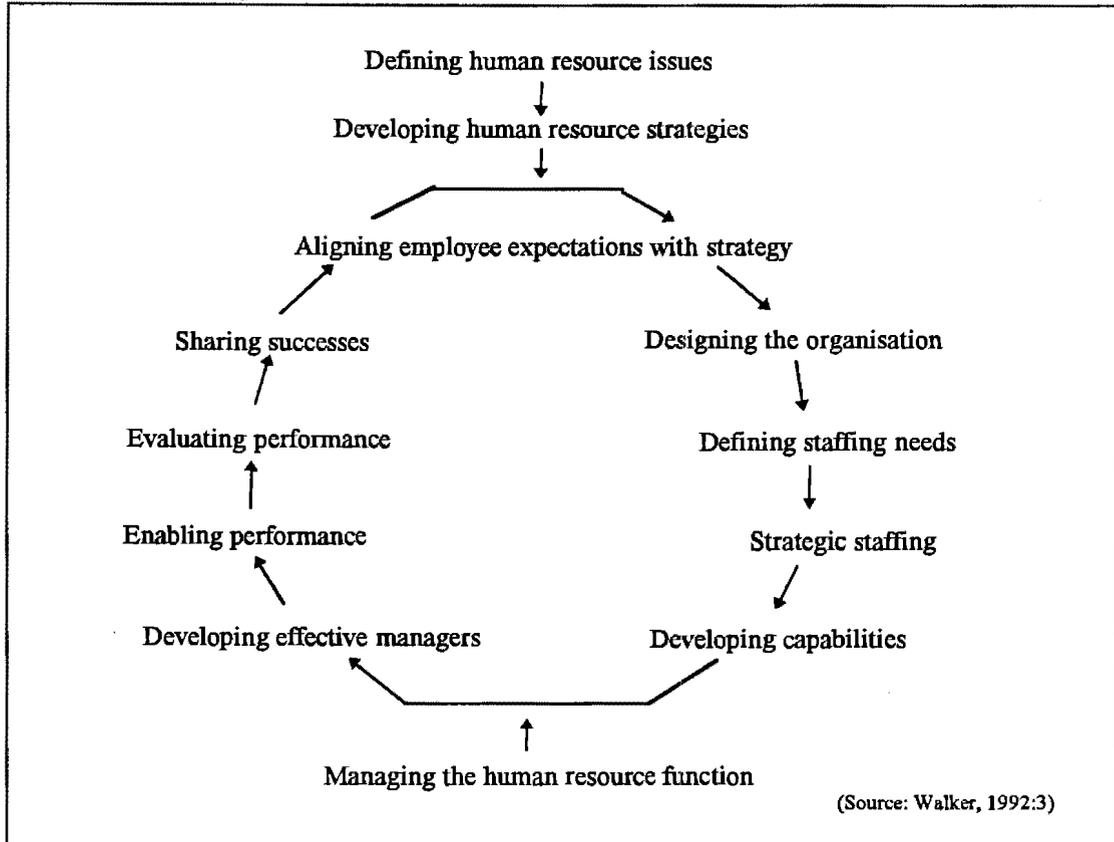
³⁴⁴ For a perspective on the change of corporate culture in this context, see Trompenaars (1993). Also compare Dror (1990(c):42) for a perspective on values in this regard.

³⁴⁵ For a perspective on the building of an organisation with regard to redesign, defining staffing needs, strategic staffing and developing capabilities such as employee capabilities and developing effective managers, see Walker (1992:129–221). Also see Kabat (1983:174–187).

³⁴⁶ See the discussion on the next page and Figure 5.4.

(Walker, 1992:4 and Mohrman: 1990). Aligning the management of human resources with business strategy as discussed above often requires a set of interactive human resource management interventions (see Figure 5.3).

FIGURE 5.3: ALIGNING THE MANAGEMENT OF HUMAN RESOURCES WITH STRATEGY



The private-sector focus on managing performance also contains lessons that may be fully relevant to the public sector. In managing performance, private sector companies often emphasise an enabling environment for high performance through work design³⁴⁷, empowerment³⁴⁸, coaching, participatory evaluation of performance and sharing successes³⁴⁹.

Although this section does not allow for a detailed discussion on types of organisation, or organisational (structural) options³⁵⁰, a perspective by Walker does provide a bird's-

³⁴⁷ See for example Weisbord (1984) for a perspective on participatory work design.

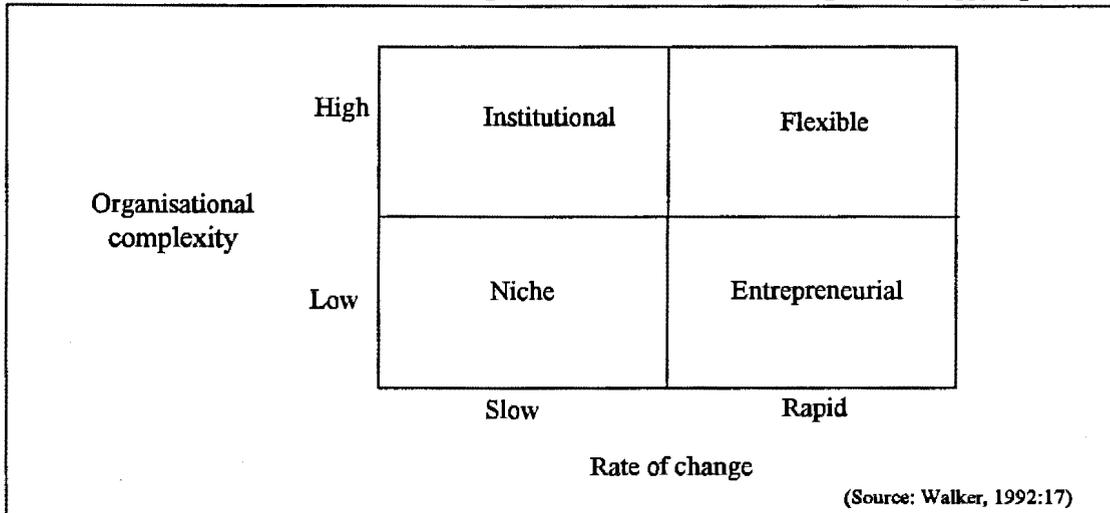
³⁴⁸ For a discussion of empowerment in this context, see Walker (1992:265–268).

³⁴⁹ Sharing successes have proved to be important to ensure good performance. In this regard linking reward to human resource strategy, variable pay, incentive rewards, base salary and benefits and other forms of recognition have proved successful areas of intervention (Walker, 1992:291–309).

³⁵⁰ For a discussion of hierarchical and matrix type organisations, pertinent to policy management, see section 5.5.3.

eye view on private sector types, which are of increasing interest to the public sector³⁵¹. Walker (1992:17), when discussing flexible organisations, refers to four alternative situations that call for alignment with the complexity and rate of change of the business, namely institutional, flexible, entrepreneurial and niche-type organisations (see Figure 5.4).

FIGURE 5.4: FOCUS ON MANAGING THE FLEXIBLE ORGANISATON



Institutional organisations are seen as companies with strategies calling for slow change that promote stability, caution, risk avoidance, and careful management action. Institutional enterprises, typically those operating in regulated environments – such as electric utility companies or industrial manufacturing companies, emphasise the management of control, consistency and certainty. The organisational structure is usually hierarchical, with single lines of authority and accountability³⁵². Information flows are vertical, with well-defined interactions among units intending to “go through channels” (Walker, 1992:18; Kabat, 1983:174–186 and Mohrman, 1990).

Entrepreneurial-type organisations are perhaps at the other extreme. They are fast-growing and changing but high-risk organisations. Small businesses start on small scale, and develop into other types. In private-sector literature, *Hewlett-Packard's* humble beginnings in a garage and *Apple Computer's* gigantic leap into the business world are often cited as examples of this type of organisation³⁵³. Entrepreneurial

³⁵¹ See for example *Reinventing government* by Osborne and Gaebler (1993).

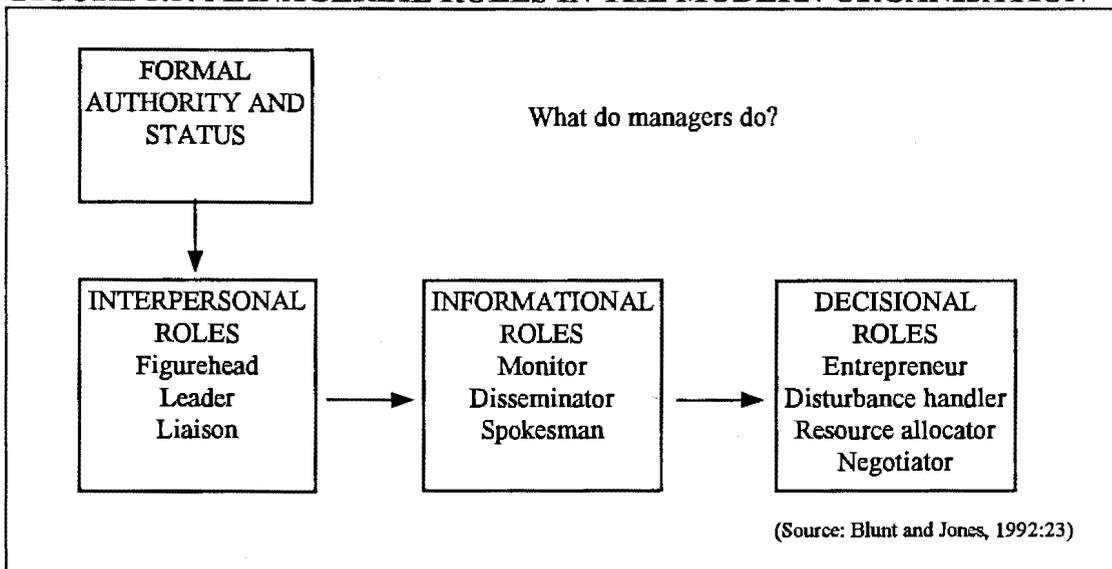
³⁵² Even though a discussion of Max Weber's *The ideal bureaucracy* as a classical work in this regard is not warranted here, the author would recommend interested readers to consult Weber (1947).

³⁵³ For a case study of the *Amherst Wilder Foundation*, which started off as a family business, see Bryson et al (1986).

enterprises are typically managed directly and informally; action is taken on immediate needs and tasks. Managers fill various roles and functions and companies attract talented staff through the excitement of entrepreneurship, and profit objectives. Spans of management are wide, relationships are fluid and levels and direct accountabilities are not particularly relevant (Walker, 1992:19).

Niche organisations are those that do not necessarily grow as described above, but specialise in specific areas such as small but mature manufacturers and service firms, and although literature refers to especially the American experience, the informal sector experience mainly falls into this category (Walker, 1992:19). The author therefore describes the flexible organisation as an adaptable form for a complex enterprise. Human resource strategists often quote *Hewlett-Packard*, *Pepsico*, and *Digital Equipment* as examples of entrepreneurial ventures which grew into large, complex but flexible organisations. Walker (1992:20) states in this regard that “there are no flexible organisations, only flexible people” and notes that flexible structures are flat, lean and changing and are, essentially, always in transition.

FIGURE 5.5: MANAGERIAL ROLES IN THE MODERN ORGANISATION



Leadership and managerial competence in organisational context is also of particular interest³⁵⁴. In a discussion on managerial responsibilities for example, Blunt and Jones

³⁵⁴ Compare the discussion on the *Centre for Policy and Information (DBSA)* (section 2.5) and the discussion on the institutionalisation of policy capacity in an organisational setting (section 5.5). In both instances managerial competencies and leadership is an important element of effective and efficient policy

(1992:19–41) identify the various roles of managers in the modern organisation³⁵⁵. Although these authors support the classical understanding of managerial functions, such as planning, coordinating and motivating, they argue that a renewed understanding of softer issues in organisations, also with regard to public policy (Blunt and Jones, 1992:37), necessitates the consideration of roles as depicted in Figure 5.5.

Blunt and Jones stress (1992:38) that leadership and management have emerged as one of the key issues of effective organisation. However, they (Blunt and Jones, 1992:109) quote Dennis Rondinelli in this regard as saying that: “An appropriate organisational structure ... is a crucial variable in its success, but there are no universally applicable arrangements.” A rich source of literature has become available, which illustrates that significant attention has of late been given to inter alia values, perceptions and human resource management in this context (see Mohrman, 1990, Senge, 1990 and Walker, 1992).

Paradigm shifts have occurred in the field of human resource management. This field is closely linked to new understandings of management (above) and the management of human resources has been recognised as a resource in its own right. At the heart of the performance of the public sector lies issues concerning the efficiency, competence, motivation and morale of its workforce³⁵⁶. The efficient and effective mobilisation and utilisation of its own human resources is a pre-condition of a successful overall human development strategy. The human resources, in most African countries, are regarded merely as administrative in nature. They are not viewed as resources that, if properly managed, can make a major contribution to the achievement of social and economic goals. A similar situation currently exists in South Africa: there are very few in-depth research, policy guidelines and action orientated strategies on the mobilisation and utilisation of human resources in the public sector (at all levels of government).

management. In policy context, Dror's work on leadership is of note, see Dror (1987(a)). Also consult Mutahaba and Balogun (1992:25–27).

³⁵⁵ For a detailed exposition of these roles, see Blunt and Jones (1992:23–30 and 1993).

³⁵⁶ Van Arkadie (1990:168) states that especially two factors are decisive in explaining institutional performance in practice, namely specificity and competition. The author defines specificity as (the) concreteness of objectives, means and rewards, and the immediacy and transparency of the effects of an activity. Competition is described by the author as covering the influences that motivate an organisation to improve its performance.

A particular emphasis has of late been placed on training³⁵⁷ and capacity building. Innovative approaches earmark the field with initiatives including techniques such as distance learning, on-the-job training and orientation courses for all levels of management. Massive constitutional change in the South African environment has led to a situation where every category and level of employment is affected and needs to change. The focus of training should be to establish a capable public sector, which responds to the needs of the community through effective and efficient service delivery³⁵⁸ (World Bank, 1990(c):iv and Hughes, 1994:200). It should aim at addressing the fears of public servants, preparing current outsiders for inclusion into the public sector, leadership development, orientation of existing public servants, rationalising curriculum reforms of training institutions and linking that to the public sector.

Organisational development has historically been seen as an important area of intervention to improve institutional capacity³⁵⁹. Typically, visionary alignment, the role of various organisations (also vis-à-vis each other), functions and task (product) orientation as well as corporate culture are typically key areas for intervention. In the South African setting, affirmative action and black empowerment have become important areas of intervention (Fitzgerald, 1993:2 and Klitgaard, 1994:41). This study does not focus on organisational development. However, some perspectives are given on relevant organisational structures as it has particular implications for policy management (see section 5.5.3).

³⁵⁷ See Hilderbrand and Grindle (1994:16). According to Merilee Grindle (interview July 1994) training and recruiting skilled human resources is meaningless if public sector organisations do not effectively utilise and retain this talent over time. The organisational structure, process, resources and management styles have a direct impact on such talents and skills (also see Paul, 1983 and Hughes, 1994:200).

³⁵⁸ Compare Jaycox (1993:74) for a World Bank perspective on the importance of training and capacity building in this context.

³⁵⁹ A detailed perspective on organisational development is not provided here. Important issues include the organisation development process and organisation development in the public sector (see Fox et al, 1991:244–251). For a detailed perspective on theoretical literature on the subject of organisational change with specific reference to flexibility, see Benington and Hartley (1993:24–26). Of late, organisational development approaches, such as those of the learning organisation and systems thinking, have contributed significantly to the understanding of capacity building in this context (Senge, 1990). Also compare *What is a learning organisation?* by Rudder (1987). For a detailed discussion of managing organisations in Africa, see Blunt and Jones (1992:7–17). Louis van der Merwe, has given particular attention to the learning organisation concept and a systems approach to change management in the South African context (Van der Merwe, 1991). Interview with Peter Senge and Louis van der Merwe, 11 September 1994.

Lastly, administrative support and logistical arrangements have proven to be important basic requirements for institutional efficiency. Public sector transformation initiatives in South Africa during 1994 showed that, even when the structuring of *Premiers' Offices* was embarked upon, basic administrative support was often lacking³⁶⁰. Much attention has been given in the new South African order to the main dimension of financial management. This is so because a macro-financial system of resource mobilisation and allocation pertains to the full spectrum of institutional relations, especially in a three-tier system of government. It also provides the backbone to critical areas such as powers and functions. In this process, decision-making and implementation capacities are vital to ensure efficient planning, programming and budgeting. Furthermore, it is important that systems and procedures be put to place that will ensure effective financial control and management.

Financial performance has become a critical success factor for policy-making processes and good governance. Mokgoro (1993:7) describes some of the generic conditions for good governance as the "tradition of rule", societal coalition for development, constructive business-labour relations, building political majority and building an effective civil service³⁶¹. In a public administration sense, financial management implies control, with emphasis on internal control, inspection and investigation and auditing³⁶² (Cloete, 1993:188–191). This area of financial administration in the public sector has received significant attention in public administration and public management literature³⁶³. Mutahaba et al (1993:67) points out that apart from human resource management in an organisational context (previous section), the other key element is the strengthening of the functional elements of planning and budgeting. The above authors therefore emphasise the objective of "financial viability" in organisations of a state enterprise nature³⁶⁴.

³⁶⁰ For a perspective on techniques for public management in this context, see Fox et al (1991:292).

³⁶¹ Mokgoro provides a brief perspective on the civil service of the previous dispensation (see Mokgoro, 1993:10).

³⁶² For a perspective on auditing, cost accounting, cost comparisons and cost analysis in this context, see Cloete (1993:191).

³⁶³ See for example Botes et al (1992:200–207).

³⁶⁴ *International Monetary Fund (IMF)* measures that indirectly had an impact on organisational structures involved those conditions that called for a restructuring of public finances (Mutahaba et al, 1993:66). Similarly, the *World Bank's Public Sector Management Improvement Scheme* provides for staff reduction

These issues also apply to particular policy endeavours. It is often neglected to thoroughly plan, programme and budget policy initiatives. The planning and consequent programming of the policy process is a critical requirement for the effective management of a policy process and for project management of a policy nature.

5.3.4 MAIN DIMENSION THREE: PARTICIPATION AND SOCIOPOLITICAL ASSESSMENT

The level of participation achieved on macro and micro (e.g. project) levels in institutional capacity building exercises have proven to be a determining success factor. The importance of participatory arrangements have been stressed in Chapter 3 and have shown to contain a particular dynamic in the South African transition (Chapter 2). In a generic sense, participation is a critical element that can hardly be engineered. A participatory culture, underlying the institutional fibre, and in which direct involvement, decision making and consultation is institutionalised, is often the only means to ensure effective participation in institutional capacity-building exercises and policy-making endeavours. The current emphasis on people-centered development supports institutional development being viewed as a broad multidisciplinary field of study and practice. It further aims to not merely sustain or improve existing institutional arrangements but to fundamentally transform them and to create new institutional arrangements that will empower people to participate fully and decisively in the creation of a better life for themselves.

Van Arkadie (1990:156) refers to the influence of “informal factors” which make the transfer of organisational models from one setting to another risky and provides an excellent example when he states that: “In a system with little or no corruption, it will be equally difficult to ask for or offer a bribe; in one where corruption is the norm it becomes routine to ask for a bribe and impossible to conduct business without offering one.”

Although both institutional capacity-building and policy-making exercises should be

aligned to such an environment in the sense of strategic objectives (already discussed) and the nature of participatory processes followed, an awareness of changes in the sociopolitical environment may often require quick decisions on contextual issues. Policy monitoring and evaluation often also target the sociopolitical sphere to ascertain the impact of policies and likely consequences.

The role of civil society in a new government has received much attention in recent times (see sections 2.2 and 2.3). In this context, the concept of governance³⁶⁵ has prominently come to the fore. Also internationally, scholars such as Rondinelli (1983(a)), Korten (1987), Gran (1983) and Max-Neef (1982) have redefined our understanding of participation and development.

At the community level, it is essential that communities are fully involved in the full ambit of activities. In both physical projects and policy exercises (such as strategic and business planning)³⁶⁶ it is important that communities take part in the identification of needs, problems and priorities to be addressed. Full participation in (political) decision making on all facets of a project should be achieved. Lastly, it has increasingly been recognised that communities themselves should be involved in both implementation and evaluation (Swilling, 1990(a):31 and Benington and Hartley, 1993:7).

In order to enlarge people's choices as well as their ability to choose, to create wealth and income and facilitate its distribution, to support the creation of people's capabilities and empower them to use such capabilities to enable them to participate fully and decisively in the creation of a better life for themselves, a human development approach towards participation is important. Such an approach implies a more active voice for the powerless in society, while these groups were in the past largely excluded from decision-making processes. Institutions have to provide for civil society to have a voice in the decision-making process. Institutions should be effective, efficient and

³⁶⁵ See for example the module on governance lectured by Chris Heymans at the *Graduate School of Public and Development Management*, at the University of the Witwatersrand during 1994. Also consult Haysom, Cachalia and Molahlehi (1993) and Schwella (1991).

³⁶⁶ In an interview with Norman Mathebe on 21 November 1994 in KwaMhlanga, Kwandebele and in facilitating subsequent strategic and business planning for this particular NGO, it was found that a keen interest existed at community level for the understanding of policy issues. Ordinary members of the community were well informed about actual policy processes and its involvement on a practical level e.g. forum activity and grassroots consultation for the then *ANC RDP*.

responsive and accountable to the people. Decision making should be participatory and transparent and occurring within a decentralised framework. The process should be supported by a professional and “independent” macro policy and an information capacity that should as far as possible be institutionally separated from delivery systems.

The appropriateness of development objectives and the success of development programmes and projects in South Africa largely depend on the development of financial and institutional capacity to ensure effective urban and rural management systems and social networks which would enable people to gain access to development resources more easily. NGOs and CBOs can complement the public and private market sectors by serving as articulators of needs and interests which are relevant to development. Some NGOs do assume an important responsibility for the implementation of development programmes and projects. These organisations can help regional and local communities manage their own development, and bring a much needed balance to public, private and voluntary participation.

Thus, a key policy issue is the public sector’s working relationship at central, provincial and local government level³⁶⁷, with NGOs, CBOs and other institutions of civil society. From the external perspective, the main issue is the elimination of constraints imposed by the public sector, particularly legal constraints. In addition, a policy regarding the promotion of popular participation by NGOs and CBOs in public sector decision making should be formulated and embodied in procedural requirements laid down in administrative law. Internally, the main issues for NGOs and CBOs are capacity building and obtaining funding for set-up and recurrent costs. Like private sector organisations, their contribution is dependent on a clearly articulated policy guiding public and private sector support for capacity building. It should be noted that the capacity building that is needed is often of the most fundamental nature: e.g. bookkeeping, keeping minutes of meetings, communications with constituencies and the like. However, there is also a need for capacity building in respect of more sophisticated functional know-how, which varies from management principles and

³⁶⁷ The relationship between local government and civil society is not further explored here, consult CDCS (1994) and Cochrane (1983).

practices to information about administrative, financial and technical aspects of local (as well as regional and central) government, development management, the processing of project applications to development agencies, and other areas.

With specific regard to policy endeavours, it has already been shown in the previous chapter that participation in all the major phases of the policy cycle by all role players and responsibilities would vary depending on the particular policy task at hand. All three categories of main role players, namely the public, private and non-governmental sectors have a critical role to play (see Figure 5.6). It is typically the role of government to implement public policy and to play the leading role in all phases of public policy. In this process the private and non-governmental sectors have an important role to play, not only as implementing partners, but to influence the nature of such policies and to take part in the debate on how such policies are realised. An important product of policy processes is indeed the establishment of the roles and responsibilities of various key role players in such processes (Van Arkadie, 1990:165). The establishment of such roles and responsibilities has been exploratory in the South African experience which makes the participation of such players and the taking of ownership of certain key policy areas, all the more important.

Although not often regarded as an interventionist area, sociopolitical scanning has become a critically important area in policy management and institutional capacity building³⁶⁸. This assumption is based on the fact that both institutional capacity building projects as well as policy exercises take place under circumstances where such initiatives are influenced by, and dependent upon, the sociopolitical environment. Party political activity, the morale of the public service and the general perceptions of the public regarding particular events or organisations all have a direct impact on such endeavours.

³⁶⁸ The function of sociopolitical scanning is not well developed in South Africa. Although the *DBSA* embarked on such scanning for some time (particularly KwaZulu-Natal, the Free State, the Eastern Cape and Gauteng), a devoted permanent capacity has not emerged. Interview with Chris Heymans on 20 February 1995.

FIGURE 5.6: DIMENSIONS OF INSTITUTIONAL CAPACITY BUILDING AND KEY ROLE PLAYERS

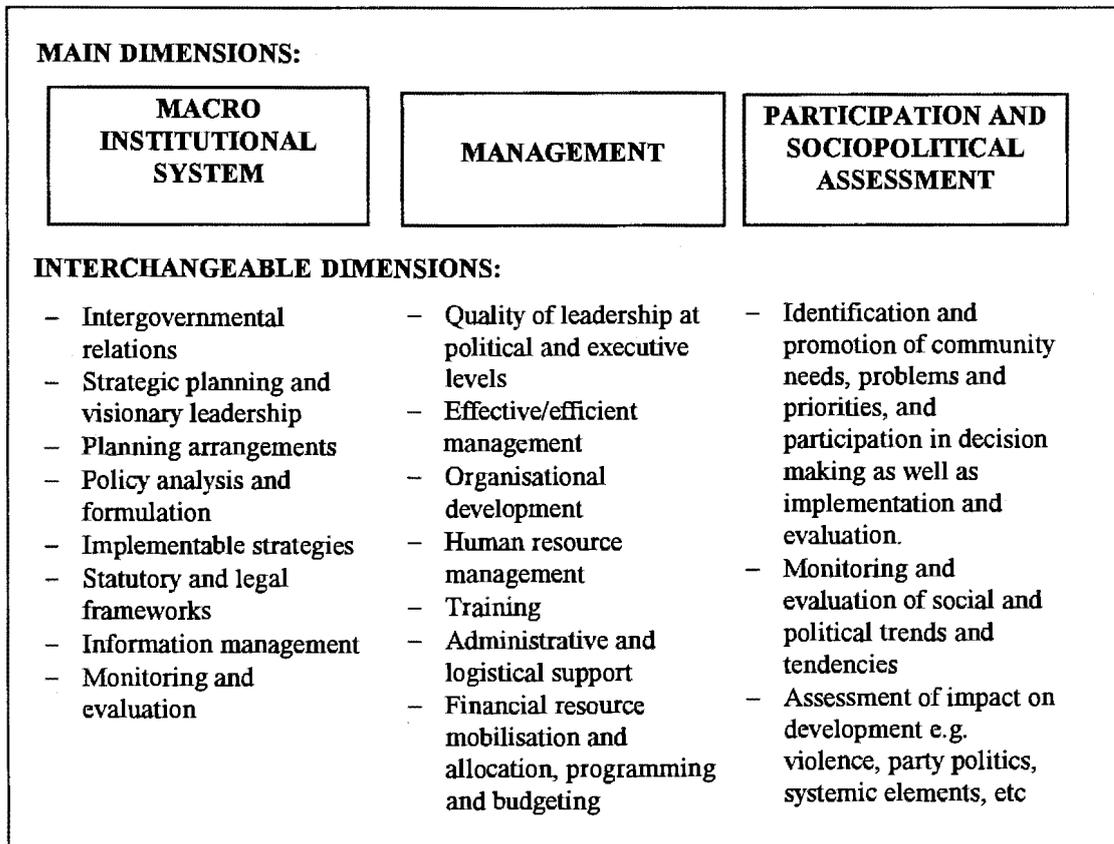
	DIMENSIONS KEY ROLE PLAYERS E.G.	MACRO-INSTITUTIONAL SYSTEM	MANAGEMENT	PARTICIPATION AND SOCIOPOLITICAL ASSESSMENT
INTERNATIONAL & SOUTHERN AFRICAN LEVEL	United Nations, World Bank, Southern African Development Conference (SADEC), etc.			
CENTRAL GOVERNMENT	RSA government departments, commissions, etc.			
REGIONAL GOVERNMENT	Provincial governments			
LOCAL GOVERNMENT	Urban and rural local authorities, Regional services councils, etc.			
PARASTATALS/ DEVELOPMENT AGENCIES	e.g. National and provincial corporations, housing trusts, SBDA, DBSA, etc.			
NGOs / CIVIL SOCIETY	Non-governmental organisations such as Operation Hunger, smaller NGOs. Civic associations, residents associations, etc., political parties, research institutions and universities.			
PRIVATE SECTOR	Organised business and labour, National Business Initiative (NBI), etc.			

In addition to the broad overview of the main dimensions of institutional capacity building, which largely relates to policy management, a number of pertinent issues have emerged that are also relevant to the evaluation of the demarcation process as will be discussed in Chapter 6. Observations on the above section will also be made in the conclusion (section 5.6) of this chapter. Given the above, two particular areas warrant more detailed attention as they pertain to the contemporary policy crises in South Africa (see strategic perspective section 1.2, and the South African perspective, Chapter 2). In addition, these two areas, namely the institutionalisation of policy capacity first, on an intergovernmental level and second, in an organisational setting, are also of particular importance with regard to the demarcation process (Chapter 6).

5.3.5 TOWARDS A GENERIC FRAMEWORK

The objective of this section was to establish a generic, macro framework for institutional planning, appraisal and evaluation. For this reason, prominent areas were discussed and critical areas identified, especially those pertaining to capacity-building in a developmental context. These experiences are also applicable to institutional capacity-building exercises of a policy nature (see section 5.5 and Appendix D).

FIGURE 5.7: DIMENSIONS OF INSTITUTIONAL CAPACITY BUILDING



By way of summary, the main dimensions of institutional development and capacity building, as discussed (section 5.3) in the previous section, are given in Figure 5.7 above. The macro nature of this framework emphasises the fact that the danger exists that in considering the main dimensions of institutional development as is relevant to policy management, a selection and justifiable specialisation on specific dimensions only may distort the significance of the total institutional effect on policy processes.

To therefore focus on the public management or organisational development areas exclusively, will limit the importance of certain other institutional realities. Although

such specialisation is necessary (as will be illustrated in Chapter 6) this study concludes that macro-institutional approaches are vital for consideration in planning and evaluation endeavours for policy management³⁶⁹.

It is critical that these main dimensions be approached as interchangeable with other main dimensions, as discussed below and as illustrated in Figure 5.7. By way of example, although legislation or information management are regarded as important dimensions, these are listed as subdimensions to the main dimension: macro-institutional system. It may well happen that with a particular institutional capacity-building exercise, either legislation or information management may be more important dimensions or even constitute the total focus.

In such instances the proposed institutional framework (Figure 5.7) should be regarded as flexible and interchangeable so that any of these dimensions could be regarded as main dimensions. The above institutional dimensions are generically applicable to any institutional capacity-building exercise at the project, organisational, and macro level. Section 5.5 will address the relevance to policy organisations. The objective of this framework is to identify the main dimensions of institutional capacity building relevant to any policy process. These main dimensions and constituting interchangeable dimensions will then be discussed in greater detail.

Given the above macro context, the following sections will focus on two particular areas: first, the support for policy management at the macro level (intergovernmental); and second, the institutionalisation of policy capacities in an organisational setting.

³⁶⁹ This framework has been employed for the purposes of institutional planning, appraisal and evaluation. See De Coning (1992, 1994(a)), Hilderbrand and Grindle (1994), Koster (1993, 1994 and 1995), Mokgoro (1993), Olivier et al (1989), World Bank (1991(b) and 1990(c)). Of particular interest in this regard is the work by Roberts (1990) on management development institutions in Africa where he outlines dimensions of institutional performance evaluation that closely resemble the South African experience. He places an emphasis on strong internal management, effective relationships with clients, an entrepreneurial approach, effective financial analysis, management and control, positive climate and high morale, information systems, effective administrative systems, and maintenance of infrastructure (Roberts, 1990:34,35).

5.4 THE INSTITUTIONALISATION OF MANAGEMENT SUPPORT FUNCTIONS AT THE INTERGOVERNMENTAL LEVEL

5.4.1 INTRODUCTION

Government, who are responsible for strategic planning, macroeconomic management, the delivery of public goods and services and the planning, programming and budgeting thereof, are politically responsible for policy decisions. Given that the policy process is multifaceted and requires specialist support, special attention needs to be given to the institutionalisation of management support functions on an intergovernmental level to support strategic planning and management in government³⁷⁰.

In the South African experience, it is important to consider the establishment of a professional support capacity for the strategic management process to facilitate essential tasks of government³⁷¹. In this process and to achieve formulation and implementation of an overall strategy, as well as to achieve coordination, it is essential that priority attention be given to the support functions of the strategic management process, namely: policy analysis, planning, programming, budgeting, information management as well as monitoring and evaluation (see Figure 5.8). These support functions to the strategic management process should be mobilised and managed to facilitate *RDP* objectives and special attention will have to be given to the design of such functions and subsequent capacities. This includes institutional capacity building and technical support.

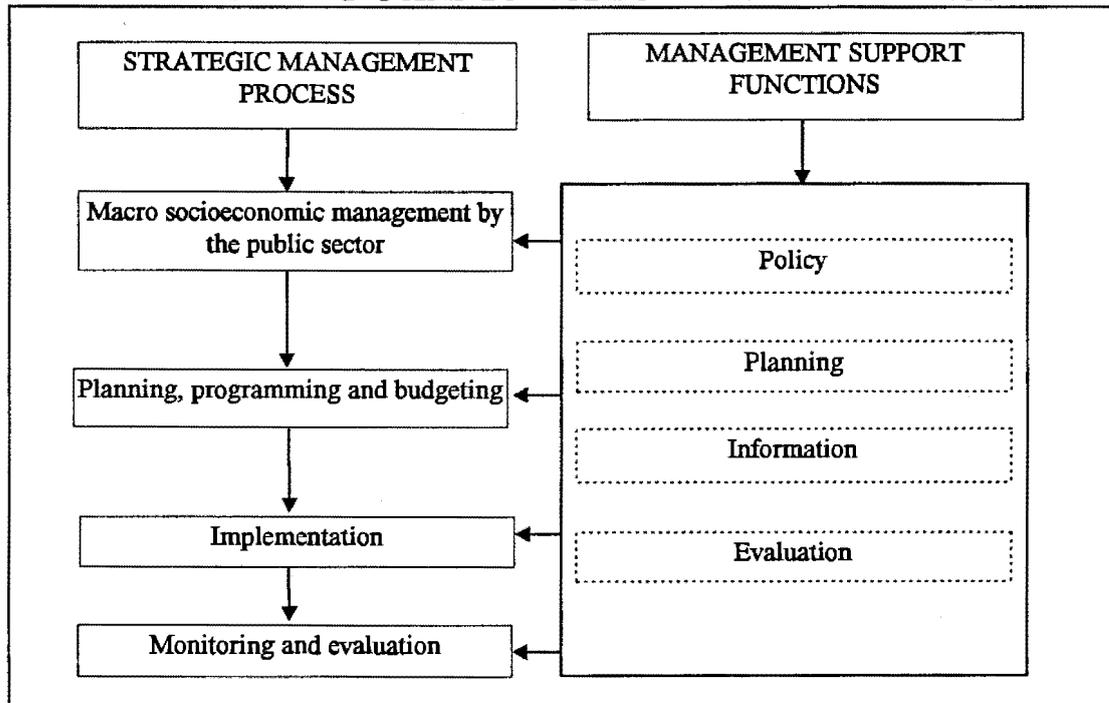
The mobilisation and management of such support capacities in a number of spheres are important. This section focuses on relevant functions and subfunctions to be performed and explores African, Latin American, Southeast Asian, United States and

³⁷⁰ For a perspective on the role of government in macroeconomic management, which is not dealt with above, with special reference to management and control and organisational factors in management, see Cairncross (1990:33–44). Also see Balogun and Mutahaba (1989:95–103).

³⁷¹ By way of example, the provincial Premiers have a key role in the strategic management process. In terms of section 114 of the *Interim Constitution*, the executive authority in the province resides with the premier. The premier and his office is therefore vital in providing strategic leadership and direction, mobilising support and alignment behind a strategic vision for the Province, building and maintaining coalitions and coordination between the legislative and executive authorities, the public sector, private sector and community and initiating and designing strategic policy and planning on a macro level.

other Western experiences. In this process special emphasis is placed on the various options with regard to the centralised, decentralised or other positions of such capacities in an intergovernmental system and the numerous advantages and disadvantages of each respectively.

FIGURE 5.8: STRATEGIC AND SUPPORT MANAGEMENT FUNCTIONS



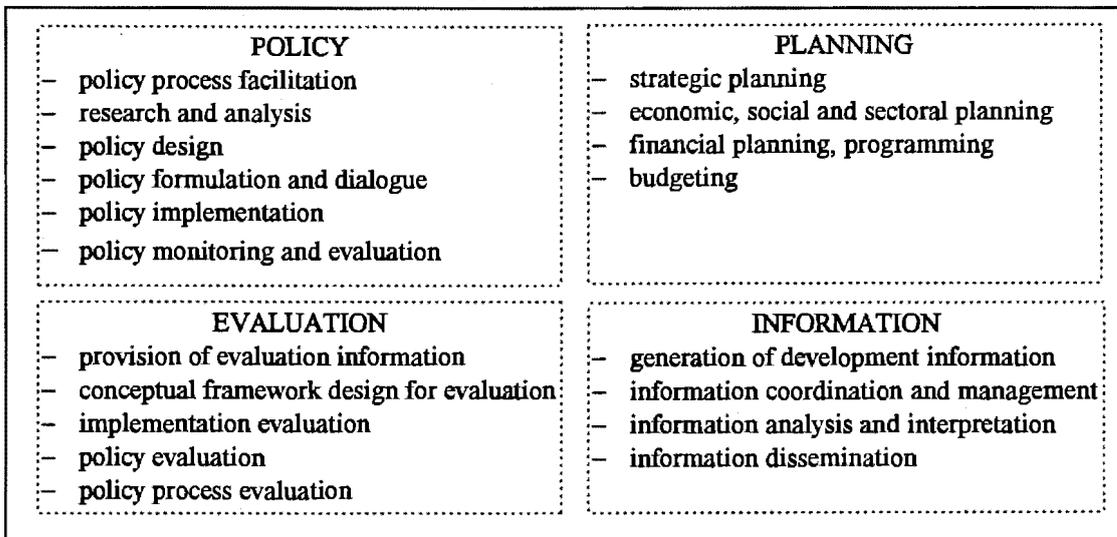
Before attempting a perspective on the institutionalisation of management support functions on an intergovernmental level, attention will be given to the content and meaning of management support functions as depicted above. As stated above, an array of support functions are necessary to assist government in its primary task of macro socioeconomic management³⁷². The nature of these functions is highly dependent on the nature of the political and governmental system. Functions may be dealt with elsewhere in government or political leaders may choose to make use of informal networks (see examples section 5.4.3), nevertheless, it is worthwhile to briefly reflect on the nature of the functions of such players. Furthermore it is worth observing that such support functions not only pertain to the intergovernmental level, but also to the organisational level, in the governmental and non-governmental sectors. To govern effectively, well-focused strategic guidance is necessary to establish the

³⁷² See Mutahaba and Balogun (1992:64–68) for a particular perspective on support functions in the context of national level, macro policies and operational policies.

broad framework and objectives to be pursued. In this regard, policy choices need to be made and translated to the executive level. Government departments, the private sector and non-governmental organisations are jointly responsible for development management and implementing and giving effect to such policies and related planning, programming and budgeting. Lastly, such performance requires monitoring and evaluation to improve them in future. A range of specific subfunctions result in order to give effect to the above (see Figure 5.9).

Subfunctions which emerge under the umbrella support function³⁷³ of policy are policy process facilitation, research and analysis, design, formulation and dialogue, implementation and monitoring and evaluation (see the detailed perspectives on these areas, Chapter 4, also consult Dror (1971:96–98; 1984 and 1989). Similarly, other support functions, such as planning, evaluation and information, which are of secondary importance to this study but important when viewed as a comprehensive support package to government, also include subfunctions³⁷⁴ (see Figure 5.9).

FIGURE 5.9: FUNCTIONS AND SUBFUNCTIONS IN SUPPORT OF STRATEGIC MANAGEMENT: A NON-LINEAR FRAMEWORK



Heymans (1995:15) points out that one apparent difference between the major, developed and newly industrialised countries on the one hand and the less developed

³⁷³ In a technical assistance exercise for the RDP Office, DBSA specialists provided government with an unpublished discussion document called *Key considerations in the strategic management of the RDP* and proposed inter alia that special attention be given to these support functions (DBSA, 1994(b)). Interviews with C Olver, T Abramse and H Gabriels on 24 March 1995.

³⁷⁴ Also see Desai (1988), Dror (1971:96–98), Lee and Sampson (1990), Mutahaba et al (1993:50), Mutahaba and Balogun (1992:101), Moharir (1986 and 1990), Mokgoro (1993:16) Pancer and Westhues (1989) and Smith (1985).

ones on the other lies in the former's ability to access specific specialist policy and information skills in support of strategic management and the latter's inability to do so (African Capacity Building Foundation, 1992:6-7; Boeninger, 1992:6-7; Dror, 1984:97; Grindle and Thomas, 1991:45 and 57).

With regard to evaluation, Dror (1990(c):92) observes that: "To assure implementation and achieve policy learning, which is in particular a must for policy development dealing with very dynamic and long-range national grand-policies, the evaluation of outcomes is all the more important." Dror (1990(c):92) continues by saying that such evaluation definitely requires independent policy evaluation bodies which report directly to top-level decision makers and emphasise policy improvement and learning.

In this context, the following sections will focus on centralised, decentralised and other institutional options with specific regard to lessons from the international experience.

5.4.2 CENTRALISED SUPPORT CAPACITIES

Centralised and decentralised options are perhaps an oversimplification of describing two relative positions whilst an array of institutional options, on horizontal and vertical levels, in government, non-governmental society and the private sector, are to be found³⁷⁵. However, centralised and decentralised options in this context, and in particular with regard to the public sector, provide a framework by which various options, principles and key considerations can be explored. In this process there is no preference for strategic management, monitoring and evaluation or policy analysis, but rather an optimal combination of such capacities in the macro socioeconomic management system³⁷⁶. In total though, the emphasis on the mobilisation and structuring of technical capacities to support macro socioeconomic management is called for, especially given the relevance of these considerations to the present South African public sector transformation process (see section 2.4).

³⁷⁵ See Lamb and Weaving (1994:14). The authors specifically discuss the importance of independent policy support, close links with dominant policy-making institutions and the role of advisors. Also consult Mutahaba and Balogun (1992:95-97) for a perspective on central reform in this regard.

³⁷⁶ Dror (1990(c):96) refers to central policy analysis units, policy research and development organisations, advanced professional public policy training programmes and national policy colleges.

Central management and control is a well-explored field in many disciplines. In the context of policy management, scholars such as Eschel Dror and Gelase Mutahaba have contributed significantly to our understanding of such systems. In particular, contributions by the first-mentioned author, such as *Retrofitting central minds of governments* (1987(b)), *Visionary political leadership: On improving a risky requisite* (1988(a)), *Memo for system-reforming rulers* (1989) and *Upgrading the capacity of central government to guide overarching societal self-transformation* (1990(d)), are indicative in this regard.

Specialist strategic units are often found near the heads of government. Such specialists are often multidisciplinary and are responsible for establishing networks with other players and monitoring the policy environment on an ongoing basis. It is often argued that such a capacity, also because of its political ownership and authority, is best placed centrally to advise government and to monitor and evaluate performance (Dror, 1990(c):97 and Porter, 1980:235–241). Dror (1984:101) notes that the objective of such centralised capacities is “to build up islands of professional excellence near main decision loci to provide ... analysis as an aid to top-level decision making.” Dror states that such a unit should study main decision items reaching the top-level from a coherent and long range national perspective with the help of policy analysis tools. Such a unit can also:

... serve as a crises staff, look after policy process management, and should constitute a main liaison with policy research and development organisations. If operating effectively, such a unit will add to decision quality, but it will not be able to engage in deep study of complex issues, being overloaded. Also, as it is located near the hot corridors of power, it cannot engage in much iconoclasm and policy paradigm innovation. (Dror, 1990(c):97).

In some of his earlier work, Dror (1984:101) notes that planning units near heads of government are no substitute for any function fulfilled by regular departments, but that they should consider agenda setting, provide secondary views, review options for longer-term options, pay special attention to interfaces between different decisions and initiate in-depth studies as needed.

Central capacities, close to government, have inter alia the responsibility to collect and

interpret information and policy options relevant to the business of government at that level. This includes both macro perspectives and sectoral-specific advice (as often managed within particular government departments). A variety of government-related organisations are usually active in different policy arenas and government often sees this as important. Development finance institutions, such as parastatals, development corporations and utility companies, also have dedicated policy capacities, usually employed for analysis in specific fields (Heymans, 1995:3). In this regard, Dror (1990(c), 1987(b) and 1984) likewise refers to the need to provide government access to debate and the exploration of data, issues, options and priorities.

Coordination³⁷⁷ of such initiatives by the various players, as discussed above, is an obvious concern. In such conditions, central policy units are often tasked to facilitate compatible agendas amongst such players. The advantage of such a unit is that specialist tasks such as policy analysis, information generation and evaluation capacity can be contracted out (Hogwood and Gunn, 1984:85–87). In some instances the danger exists that such a unit may assume tasks which reside elsewhere so that it acts as a substitute³⁷⁸.

In considering various disadvantages of centralised capacities, Heymans (1995:4) argues that a centralised policy unit could easily develop adversarial relations with other departments. A central policy unit can be justified only if it operates close to the main shaft of decision making with political ownership. If not, such a unit could perform a detached role more effectively if it is placed outside of government, and thus allowed to play a fairly independent role.

Political ownership, as mentioned above, together with professional ownership are key requirements for such a central policy unit. In the case of the *British Central Policy Review Unit*, Prime Minister Thatcher did not tolerate open debate close to the executive and therefore abolished the unit. Thatcher replaced this unit with some capacity in her office, notably a *Political Policy Unit* and a *Multidisciplinary Policy and Advisory Unit*. The latter had the responsibility of providing government with a

³⁷⁷ Also see the discussion on capacities specifically tasked to attend to coordination and cooperation, section 5.4.5.

³⁷⁸ Compare Dror (1984:101). The author notes that such a unit could provide second views and longer-term perspectives and could facilitate in-depth studies when and where required.

comprehensive and professional perspective on government priorities in relation to budgeting, agenda setting, review of options as well as coordination³⁷⁹ (Heymans, 1995:2).

Professional excellence is essential and in most African countries, where policy capacities are often placed near the heads of government, sufficient excellence to effectively drive policy through is simply not in place or of a sufficient standard (Saasa, 1985). On the other hand, there are examples of the meaningful role that such units can play in this regard. The *Economic Planning Bureau (EPB)* in Korea introduced trade liberalisation policies in the 1980s with much success after mobilising presidential support and usurping the *Budget Bureau*. The *EPB* finally won the battle within government with the technical and moral support of other agencies such as the *Korean Development Institute* and the *Bank of Korea* (Boeninger, 1992:17–19 and Suk, 1992:90–92).

Interestingly, a major experiment involving a centralised policy unit was launched in South Africa during the “total strategy” attempt by P W Botha. He created a centralised capacity in his office by appointing a minister without portfolio. This minister established a policy and information capacity of a comprehensive and multidisciplinary nature. This unit experienced problems from the outset, mainly with regard to mandate issues because other departments regarded the unit as having no line-management authority. With its legitimacy undermined and its operation eventually being stopped, this centralised model collapsed in 1987, with the military filling the policy vacuum which was created³⁸⁰.

As mentioned above, whereas central policy units have multisectoral integrative and coordinating responsibilities, specific government departments have the need for internal sectorally focused policy capacity. These capacities also typically include evaluation and monitoring capacities, although many Western countries still lack capacities in this regard (Heymans, 1995:5 and Hogwood and Gunn, 1984:234).

³⁷⁹ Heymans (1995:3) also points out that these units should be seen in the context of numerous university-based and other think-tanks and particular agencies such as the *Information Service* and the *Civil Service College*. Each government department also has a small specialised support capacity.

³⁸⁰ Interview with Koster on 14 November 1994 and 28 February 1995. A similar discussion was held with Fanie Cloete in Stellenbosch on 24 February 1995 where this example, as described above, was highlighted.

These authors mention that such skills are often lacking and are often so thinly spread that they are almost ineffective.

In the African experience, Botswana is an example that is worth noting. Systematic steps were taken to engage a growing number of specialists in policy analysis in government departments. By utilising economists on an ongoing basis within government departments, Botswana succeeded in engaging technocratic skills in the budgetary process and the formulation of economic policy (World Bank, 1991(b):15). There is, however, the danger that sectoral capacities within various government departments may pull in different directions, resulting in uncoordinated, fragmented policies. An example in this regard is the rice reform policies in Thailand where bureaucratic rivalry prevented the implementation of planned changes (Boeninger, 1992:18).

Also in the African context, Mutahaba et al (1993:50) point out that:

... the organisational system for information management and policy analysis tended to be weak in many African countries. Neither the central guidance cluster nor the sectoral ministries had well established organisational systems that ensured smooth flow, storage, and retrieval of policy oriented data. The existing statistical bureaus in many cases processed data from a range of sectoral trends, whose aggregated utility was of a limited policy making value.

Most strikingly, the authors observe that the absence of policy analysis units presented decision making as an optionless exercise, since the capacities for defining different policy choices were completely lacking³⁸¹.

5.4.3 RELATIVELY INDEPENDENT SUPPORT CAPACITIES

It is generally accepted that think-tanks or policy capacities which are at an arm's length from government and somewhat removed from the normal machinery of

³⁸¹ According to Mutahaba et al (1993:50), policy analysis units existed in only a few countries during the 1980s, such as Nigeria (*Nigerian National Policy Development Centre*) and Ghana (*Policy Review and Development Committee*). Semi-autonomous policy research institutions included the *Institute of Policy Development Research* (University of Addis Ababa), the *Economic Research Bureau* (University of Dar es Salaam), the *Centre for Applied Social Sciences* (Zimbabwe), the *Nigerian Institute of Social and Economic Research* (Abidjan), the *Centre Ivoirien de Recherches économique et sociale* (Côte d'Ivoire), and the *Institute of Development Studies* (Nairobi).

government could meaningfully add value to the standard of policies and the independence needed for capturing the integrity of information available to all stakeholders (Heymans, 1995:5). Various models exist and in some instances think-tanks are still fairly close to government, whilst in other instances such think-tanks or agencies are almost completely divorced from government. Dror (1987(b):96) notes that where a multiplicity of think-tanks are active, a country is likely to experience high-quality technical support encompassing a variety of views and options in the policy-making process. Strikingly, Grindle and Thomas (1991:97) note that relatively independent capacities could make politicians less vulnerable to receiving unchallenged and appropriate advice from insulated policy advisors³⁸².

An example of relatively independent capacities worth noting is that of the *Korean Development Institute (KDI)* which is managed independently from government but has a significant number of research contracts with government. The *KDI* is known for identifying priorities of a longer-term nature which may not have been identified by government (Heymans, 1995:5). There is emphasis within *KDI* on pro-active research and analysis and staff contend that this also equips them well to respond to short-term requests. At the same time, a longer-term approach, based on systematic and rational analysis, also prevails. It should be noted that the *KDI* has a close relationship with the *Economic Planning Bureau*, which positions it to influence public policy directly. In the above context, *KDI* has to competitively tender for contracts, which stimulates a performance-orientated culture within the *Institute*.

Support services are often rendered by agencies, as in the case of the British (restructured) *Information Service* and the *Civil Service College*³⁸³. These agencies operate on a semi-autonomous basis, after performing information, training and policy analysis services on behalf of government. The relationship between government and agencies is typically formalised in terms of a charter document, addressing roles, key performance areas, delegation, accountability and other issues. In the case of the examples cited above, the agencies report to Parliament on an annual basis in the

³⁸² For a discussion of the role of technical advice in this context, see Grindle and Thomas (1991:97–100). Also consult Dror (1990(c):98).

³⁸³ During a visit to the *Civil Service College* near Sunningdale in July 1994, it became clear that although the College did not formally render such support services, a close and trusted working relationship existed between staff and the *Prime Minister's Office*.

context of the relevant ministry, board and chief executive³⁸⁴.

Agencies close to government should attempt not only to provide applied policy options in the correct strategic context, but also to communicate complicated technical considerations. In some instances, the failure to do so may result in government taking the wrong options. Grindle and Thomas (1991:98) provide an excellent example when citing Ghana's untimely currency devaluation in 1971.

The *African Capacity Building Initiative*³⁸⁵ (ACBI) showed that although African countries are aware of the necessity of policy analysis, few countries actually trust capacities outside government. Furthermore, given that sufficient professional capacity does not exist in Africa, the ACBI proposed that existing capacity be sufficiently utilised and developed, that local consultants should be better used, that grants be made available for research and analysis and that policy evaluation components be introduced as incentives to encourage African governments to place more emphasis on policy analysis. The ACBI cites as an example the *University of Dar es Salaam* as having made major strides in the development of local capacity in recent years (African Capacity Building Foundation, 1992 and World Bank, 1991(b):16). Wai and Rice (African Capacity Building Foundation, 1992:6-7) specifically point out that the inability of many African countries to mobilise and organise policy expertise constitutes one of the major reasons why development in Africa has failed during the 1970s and 1980s. They point out that:

Too often in Africa critical public policy issues are inadequately analysed; little relevant and timely research is done by African universities and other centres of policy research; African data sources are generally inadequate or unreliable; and high level African officials in key economic ministries are sometimes poorly trained and equipped.

Externally located capacities are usually better placed to attend to evaluation. Western Countries typically make significant use of academics, and management consultants to conduct external evaluation of government activities (Hogwood and Gunn, 1984:236-

³⁸⁴ Interview with Rob Behrens and Stephen Hickey, July 1994 and 3 March 1995.

³⁸⁵ See the African Capacity Building Foundation (1992) and World Bank (1991(b)) for a detailed account of the project terms of reference and their indicative work programme. Also see Mutahaba and Balogun (1992:66).

237). It should be noted that such an approach instills greater public confidence in the integrity of evaluations and that research staff prefer independent opinions (Heymans, 1995:8).

Relatively independent capacities become important in federal and other systems where subnational sentiments are strong. In the case of Australia there is, among others, a *Fiscal Commission*, which recommends grant transfers to provinces. Similarly, in the German experience several capacities exist to ensure relatively independent output (De Coning, 1993(a)). This is of particular relevance in South Africa where policy and information capacities at the provincial level are limited and where such capacities will have to be developed in future to ensure independent indicators for application by the *Financial and Fiscal Commission*³⁸⁶. Governments also make use of commissions to conduct fairly independent analyses. Such commissions may operate on a full-time basis, such as the *Australian Industry Commission (AIC)* or in an ad hoc manner, such as the key commissions in the South African experience (see the discussion in the next section). In the case of the *AIC (Australian Industry Commission Annual Report, 1993–1994)* it is clear that although the *AIC* has no formal political powers, it is tasked by government to investigate a range of policy issues. The *AIC* performs many tasks on commission, but also undertakes pro-active research and analysis.

5.4.4 THE AD HOC USE OF SPECIFIC SUPPORT CAPACITIES

It has been noted in the previous discussion (section 5.4.3) that those governments which do not institutionalise technical policy and information capacities in central government, would be well advised to ensure that it can access different capacities when and where necessary (Boeninger, 1992:19). The use of ad hoc capacities is particularly important in this regard and some considerations and examples are given in the section below. This section is of particular importance in terms of the institutionalisation of management support functions on an intergovernmental level (section 5.4) because of the fact that the activities of the *CDDR*, which will be used as a case study in Chapter 6, is regarded as such an example.

³⁸⁶ Interviews, Deon Richter, 23 February 1995, Dave Arkwright and Renosi Mokate, member of the *Financial and Fiscal Commission (FFC)*, 1 March 1995.

Commissions of inquiry are a well-known form of ad hoc capacities. Although this type of capacity has advantages, such as that specialists could be mobilised on a short-term basis for a specific assignment, commissions of inquiry are often perceived as merely legitimising government positions. Government leaders also make significant use of more informal arrangements such as using experts within or outside administrations.

The use of commissions is common practice in South Africa and apart from the three commissions provided for in the *Interim Constitution* that are well known³⁸⁷, ad hoc commissions such as the *Independent Electoral Commission (IEC)* and the *Commission for the Demarcation and Delimitation of Regions (CDDR)* played a particularly vital role during the South African transition (De Coning, 1994(a) and De Villiers, 1994). The latter example is of particular importance in this context as the demarcation process followed by the *CDDR* will be used as a case study in Chapter 6³⁸⁸.

Widespread use has been made of informal ad hoc capacities by especially United States Presidents and these experiences are well documented³⁸⁹. Informal capacities are normally used by them when assuming office, and such a style of management is often continued (Porter, 1980:231–235). Dror (1990(c):98) notes that the most difficult problem of policy research and development organisations or think-tanks is the correct sense of squaring a circle: "... on one hand they need independence in thinking and freedom of iconoclasm, while on the other hand they should be acceptable to top decision-makers and enjoy good access to them. This is a difficult demand in all countries, all the more so in many of the developing countries." In some of his earlier work, Dror (1971:92) in the above context, notes that confidential relations with policy makers are essential in order to permit access to necessary data, to permit

³⁸⁷ The *Financial and Fiscal Commission (FFC)*, the *Public Service Commission (PSC)* and the *Commission for Provincial Government (CPG)*. See also De Coning 1994(a).

³⁸⁸ Apart from theoretical issues pertinent to the *CDDR* as an example of ad hoc use of a specific capacity, as discussed in this section (5.4.4), it should be noted that an array of theoretical issues, as discussed under the heading central support capacities (section 5.4.2), relatively independent capacities (section 5.4.3) and coordination management (section 5.4.5.), are relevant to the experiences of the *CDDR* as a case study (Chapter 6).

³⁸⁹ A classical account of approaches such as adhocacy, central management and multiple advocacy are provided by Porter (1980). See also Fisher and Forester (1993) on adhocacy.

constant interface during ongoing research, to improve the research and to educate policy scientists and policy makers. Dror (1971:92) moreover mentions that such relations are necessary to permit communication of research findings, with some probability of impact on real policy making. The closeness of contacts with policy makers and the freedom of access depends on the location of a particular policy research organisation within the societal direction system.

Universities, independent policy think-tanks, and governmental science and research agencies are generally also mobilised to provide ad hoc advice. In United States widespread use is made of such capacities (see discussion in section 3.4). As far as Africa is concerned, the African Capacity Building Foundation (1992:16) notes that this should be a focus area for African governments and cites the Tanzanian experience as an example³⁹⁰. The ad hoc usage of such informal capacities may however lead to political favouritism (see Heymans, 1995:9) and may tend to elevate individual leaders (Porter, 1980:233–235).

In the context of universities, independent policy think-tanks and research agencies providing ad hoc advice as mentioned above, potential university contributions to policy warrant some attention. Dror (1988(b)), in particular, focuses on the subject and calls for universities to view their functions in a broader context and to contribute to public policy making in developing countries³⁹¹. This author's views will receive particular attention in the discussion which follows. In essence he pleads for crash upgrading of top decision makers, special training for senior servants, training of policy analysts, policy-oriented, applied social science research, think-tank functions and general courses for students to improve their understanding of development issues and policy matters³⁹².

³⁹⁰ For a perspective on the relationship between government advisors and independent capacities, compare Dror (1987(b):99) and Boeninger (1992:14).

³⁹¹ According to Dror (1988(b):13) contributions of universities should go beyond aid, research and development, cultural elite production, social critique and human capital resource training. He notes that most universities involved in development, focus, rightfully so, on local projects, but that central government policy making is equally important.

³⁹² The well-known *Kennedy School of Government at Harvard University* is a good example of a university that has successfully developed in this regard. Note the extensive case study exercises at its disposal (Harvard University, 1994(b)); International student programmes and executive programmes in policy and management (see Harvard University 1994(b):31,35). Interview with Dutch Leonard, Dean, on 21 July 1994 and Howard Husock, specialist on case studies, Harvard University, 21 July 1994.

With regard to crash upgrading, Dror (1988(b):16) proposes inter alia the use of special institutions in the form of national development policy colleges³⁹³. He also proposes special training senior civil servants³⁹⁴, and identifies an interesting set of requirements for the effective functioning of senior civil servants in policy development, namely that they must be familiar with social change processes, be innovative and entrepreneurial, understand the need for economic as well as historic perspectives, acquire “uncertainty-sophistication”, combine managerial skills with “policy-planning knowledge”, and establish the ability to move between top-levels of government and grassroots projects. In addition, a strong commitment to development goals and political understanding is required (Dror, 1988(b):17). In this context, Dror also refers to the need for “preferable senior civil service characteristics” in selection³⁹⁵. With the training of civil servants, Dror (1988(b):18) notes that other critical elements include a national school of public administration, crash programmes and mid-career retraining of senior civil servants who already have extensive experience³⁹⁶.

Dror (1988(b):19) stresses the importance of training “development policy analysts or planners”³⁹⁷. In this context he emphasises the integration of different disciplines into a coherent understanding of complex realities, such as operations research, modelling and decision analysis which are to be used with applied history, multiple approaches

³⁹³ For a discussion of such policy colleges and various advantages and disadvantages regarding organisational location, see Dror (1988(b):16).

³⁹⁴ It needs to be noted that the curricula of this *College* and the style in which it is presented, addresses to a large degree the issues raised by Dror. Also see Civil Service College 1994(a) and (b). Interview by author with the Chief Executive, Stephen Hickey in July 1994 and on 4 March 1995 during which the appropriateness of such an institution, South African involvement and nature of courses were discussed. In particular, the senior induction programme focuses on policy skills, government and policy making, and links between social research and policy management (respectively Civil Service College, 1994(a): 29; 150 and 280). The *Civil Service College* also offers a special course, *The Policy Programme for Managers*, for senior civil servants (Civil Service College (1994(b))). Also see the *Mason Fellows Seminar* material of Harvard University (1994(a) and (b)).

³⁹⁵ It is of interest to note that similar skills profiles have been employed in the selection and appointment process of civil servants in the restructuring of the South African civil service. In developing a skills profile, Jan Koster has found such a management tool particularly useful at the provincial level, the offices of Premier's and strategic planning units (several interviews, including 14 November 1994, 15,16 March 1995).

³⁹⁶ See for example the *Harvard University* experiences with mid-career courses (Harvard University, 1994(a) and (b)).

³⁹⁷ The author notes in this regard that connotations and annotations of these verbal symbols in different languages and political cultures can be quite misleading. Most interestingly, he points out that attention should be paid to significant differences between the needed features of development policy analysts and those of American type policy analysts (Dror, 1988(b):19).

and value analysis. He notes that the handling of uncertainty is unsatisfactory and that new approaches are necessary, such as decision psychology, novel risk handling methods, experimental approaches to policies, policy paradigm reconsideration, iconoclasm, grand policy thinking, momentous choices and national planning strategies. Dror (1988(b):20), in this regard, finally notes that one of the main tasks facing development policy analysts, is the shaping of appropriate curricula and learning modes to address issues such as the above and those at attempting to instill a sense for social macro processes and evaluating options in terms of longer range macro impacts. Finally, Dror (1988(b):24) moves from the university to a macro-institutional level when he notes that a country (thus also on an intergovernmental level) could disperse various structures and activities among various universities referring to national development policy colleges and national schools of public administration already mentioned, but also public administration programmes, institutes, centres for applied social research, development public policy schools, policy workshops, development policy study institutes and policy enlightenment programmes³⁹⁸.

In the South African experience the work of De Waal (1993) on ad hoc capacities should be noted. Although De Waal (1993:30–33) focuses on development management at the community level, his work has wider implications. Sketching the need for an adaptable and effective structure to ensure effective development management, the author notes that: “The frequent need for decentralisation requires structural configurations that can fuse experts from various specialties into smoothly functioning ad hoc project teams.” De Waal (1993:32), attempts to define adhocracy as:

a task-oriented organic structure within which an adaptive, evolutionary and cohesive group works in a highly dynamic environment, coordinating various professionals into action groups to develop innovative solutions to specified problems.

The relevance to policy support capacities is obvious, specific teams with a relevant composition can be quickly mobilised to assist and facilitate (in a very mobile manner)

³⁹⁸ For a discussion of these elements as an integrated package and the necessity of applying it in the local context, see Dror (1988(b):24,25). Also see the *African Capacity Building Foundation* (1992) for a discussion of national and regional institutions, policy units, fellowships, in-service training, local consulting firms and the role of an *ACB Fund*.

restructuring or policy endeavours³⁹⁹. South African experiences have shown that applications of adhocracy have been forthcoming especially during constitutional negotiations and subsequent public sector transformation initiatives, especially in the form of commissions. Adhocracy, as discussed by De Waal also applies to the *Commission for the Demarcation and Delimitation of Regions* in the above context and some particular issues are of note⁴⁰⁰. These include strengths and weaknesses such as that conflict is a natural part of an adhocracy not only because of the nature of this function but also because of the often unclear roles and responsibilities of participants (note the relationship between the *Technical Task Team* and the *CDDR* in the case of the demarcation process, see Chapter 6), high competition levels, the frequency and mobility of adhocracy allocations, the inefficiency of such teams regarding administration and logistics and the fact that strategy formulation in the adhocracy is a much more interactive process⁴⁰¹ (De Waal, 1993:39).

It is important to note that various forms of adhocracy can, and should, be used in combination with central or relatively independent capacities. What is critical, however, is the way in which such relationships are managed and coordinated. This issue will receive more attention in the section which follows.

5.4.5 COORDINATION MANAGEMENT

Increasingly, intergovernmental coordination of policy and related capacities are emphasised as an essential area of public sector management. The coordination of such capacities, as a function to be performed, also becomes important to manage and specific capacities have been put into place to ensure access to expertise as discussed in the previous sections. Because of the importance of this area some attention will be given in the following discussion on institutional options in this regard⁴⁰². Such options usually consist of the permutation of interactive coordinating mechanisms and

³⁹⁹ For an exposition of the characteristics of adhocracy, with regard to job specialisation, flexibility, decentralisation, adaptable structures, coordination and administration, see De Waal (1993:33–35). Also see Fischer and Forester (1993:8).

⁴⁰⁰ For a discussion of types of adhocracy, such as the operating and administration adhocracy, see De Waal (1993:36).

⁴⁰¹ De Waal's references to Rondinelli and Mintzberg should be noted. The reader may also wish to consult Mintzberg (1983, 1989) and Mintzberg and McHugh (1985). Also see Rondinelli (1983(a)).

⁴⁰² For a comparative perspective on the importance of the coordination of policy support and related functions see Boeninger (1992:19–20), and Hogwood and Gunn (1984:22–23; 205–206 and 217).

specialised coordinating responsibilities amidst different departments and other units or agencies (Baum and Tolbert, 1985:26).

Interactive coordinating mechanisms, such as coordinating committees at the political executive level⁴⁰³ have been widely used by governments. Forums (see discussion section 2.3) also fulfilled this function prior to the April 1994 elections in the South African experience⁴⁰⁴.

Other use of such ad hoc coordinating mechanisms is also commonly used for shorter-term or specific tasks. Task teams, steering committees or coordinating committees are often constituted for such purposes. An example in this regard well worth noting is that of Indonesian tax reform where a team of foreign technical experts assisted an interdepartmental steering committee to streamline the tax system. After receiving technical inputs from the foreign experts and various government departments a further process was embarked upon to elicit public opinion (Mansury and Tamsir, 1992:75–76).

Specialised coordinating responsibilities in different institutional departments, units or agencies have become necessary because of the proliferation of specialised agencies as discussed in the previous section. In the British experience, the increasing focus on agencies, necessitated specific central government capacities to ensure effective engagement and coordination. In the case of *Pacific Rim* countries, such coordinating capacities also assisted in coordinating the relationship between macro perspectives and more detailed and complex analysis (Boeninger, 1992:19 and Heymans, 1995:10).

Mutahaba points out that with regard to the problem of coordinating policy management activities in African countries, institutional arrangements have not guaranteed an effective synchronisation of functions (Mutahaba et al, 1993:51). The authors substantiate their claim describing a dispersion of coordinating centres such as took place in Tanzania, a clustering of ministries as was found under the coordination

⁴⁰³ Of late, the *RDP Office* issued guidelines to provinces that provide for a coordinating mechanism at the *MEC* level as well as at the executive level (called the *Interdepartmental Coordinating Committee (ICC)*).

⁴⁰⁴ These have ever since to some extent been replaced by *NEDLAC (National Economic, Development and Labour Council)* and *PEDLACS (Provincial Economic, Development and Labour Councils)* at the provincial level.

of deputy prime ministers as in Angola, and the concentration of guidance and coordination functions at the *Chief Executive Office (Zaire)*⁴⁰⁵.

5.4.6 CONCLUDING COMMENTS

Concluding observations on the institutionalisation of management support functions on an intergovernmental level (with reference to the whole of section 5.4) are necessary. Some key issues are of importance:

- The international experience suggests that strategic planning and macro socioeconomic management requires the support of key capacities related to research and policy analysis, planning, programming and budgeting, available information and evaluation. In this process some specific subfunctions are important (see section 5.4.1).
- The centralised or decentralised positioning of such capacities is often not a choice, but an optimal combination depending on the nature of the macro-institutional system.
- With regard to the latter issue, the predominant political philosophy and nature of political leadership of a particular government has a profound influence on the choice of institutional options.
- Effective policy management requires a number of essential skills. These include the ability to make and enforce policy decisions and to ensure coordination, to base such decisions on sound information and analysis and to monitor and evaluate the implementation and continued appropriateness of policies and programmes.
- From the above it is also clear that it is necessary for government to assess the availability of analytical policy skills, and to consider the placement of such

⁴⁰⁵ For an example of sectoral ministries which sought external project support in Uganda and similar trends in Sierra Leone, see Mutahaba et al (1993:51). Other problems typically experienced include that channels of communication are not structured in a manner that ensures quick, precise, and extensive delivery of decision inputs and outputs (Mutahaba et al, 1993:53), inadequate capacity for exercising authority (Mutahaba et al, 1993:55) and inhibitive relationships with parastatals in the African experience (Mutahaba et al, 1993:56–58).

skills. In this process it should be considered whether to centralise or decentralise such capacities and whether their placement in particular organisations would strengthen or weaken the policy impact and integrity of professional efforts. This choice impacts on the degree of independence one wishes to accord information and analytical processes as well as the credibility of such efforts.

- It is clear that public policy making and strategic management should not be viewed as isolated, single acts that can be centrally managed but rather as a dynamic process which is likely to transpire through numerous smaller decisions and processes⁴⁰⁶.
- It is important to consider the relationship between the policy, information, planning and evaluation process and to relate these in an operational manner so that they become truly symbiotic and mutually inclusive.
- In developing countries especially, the need to give special attention to information accuracy is essential⁴⁰⁷ as inadequate data and the lack of analytical skills are often critical.
- Given the latter point, it is important to specifically develop appropriate policy and information skills to support policy endeavours. In this regard, multidisciplinary capacities should be developed. Heymans (1995:13) as well as Grindle and Thomas (1991:148) contend that policy support should go beyond economic skills to include systematic political and social science analysis⁴⁰⁸.
- Lastly, it is essential to view these areas of strategic support (policy, information, planning and information management) in the context of macroeconomic budgeting for the particular government as a whole.

⁴⁰⁶ Also confirmed during an interview with Fanie Cloete, University of Stellenbosch, 24 February 1995.

⁴⁰⁷ See Grindle and Thomas (1991:45).

⁴⁰⁸ Also compare Boeninger (1992:12) for examples of experiences in Sri Lanka, Pakistan, Korea and Bangladesh. Also compare the African Capacity Building Foundation (1992:6) and Hogwood and Gunn (1984:119).

It is clear from the above discussion and concluding comments that few, if any, policy initiatives are not influenced by and dependent on the entire intergovernmental support system. Specific policy initiatives, such as the *RDP White Paper* or the *CDDR* initiative are highly dependent on representative, credible and scientific research and analysis. The above also particularly applies to the *CDDR* initiative as an ad hoc type exercise. This issue will be dealt with in Chapter 6. Consequently some specific issues, relevant to the organisational level, will be dealt with.

5.5 THE INSTITUTIONALISATION OF POLICY CAPACITY IN AN ORGANISATIONAL SETTING

5.5.1 INTRODUCTION

This discussion on the institutionalisation of policy capacity in an organisational setting focuses almost exclusively on policy-support organisations and organisations with related functions. It is therefore essential that key institutional dimensions and issues discussed in the section on dimensions of institutional capacity building (section 5.3) be seen as the context in which issues are dealt with. It is most striking to note that many issues related to the institutionalisation of management support functions on an intergovernmental level (as discussed in section 5.4) also pertain to the organisational level. This is so because the organisational level represents a microcosm of such arrangements at the national level. The concluding observations, also regarding intergovernmental relations, made in the previous section, thus also pertain here. This section shows that issues pertinent to policy management in an organisational setting include the fact that policy organisations are severely impacted upon by the existence or non-existence and nature of structuring of the rest of the policy community and other key players. This fibre of intergovernmental relations and its style of operation directly influences the respective role and responsibilities of a particular policy organisation.

Some theoretical perspectives apply to policy management in an organisational setting. In the context of the discussion on dimensions of institutional capacity (section 5.3) acknowledgment has been given to the importance of organisational development. Attention has also been given to the concept of an institution and its meaning as going

beyond that of an organisation (section 5.2). This section however focuses on the institutionalisation of policy capacity in an organisational setting and identifies issues relevant to policy management specifically. Apart from policy capacity in a governmental setting, policy management can also be institutionalised in an organisation as a service to clients⁴⁰⁹. Scholars such as Dror, Mutahaba and Balogun have specialised in the area of institutional arrangements for policy management⁴¹⁰ and specific attention is given to their contributions. Weiss (1989:1) observes that:

... in the 20th century a new organisational form emerged: the specialised analytical agency, staffed by experts, whose primary task was to provide policy information and advice. These analytic units were expected to mobilise intellectual resources in the service of social problem solving and, in effect, help government think.

Some specific institutional dimensions have received attention from the above scholars and those approaches will be further explored in the subsequent discussions. This section, following the perspective on the institutionalisation of management support functions on an intergovernmental level (section 5.4), focuses on policy-support organisations; and their institutional environment (section 5.5.2), policy-support organisations; functions and structure (section 5.5.3), and policy-support organisations; human resource management (section 5.5.4). Finally, some conclusionary observations are made.

5.5.2 POLICY-SUPPORT ORGANISATIONS AND THEIR INSTITUTIONAL ENVIRONMENT

Organisations specialising in support functions operate, owing to the very nature of the service they provide, in a very particular sociopolitical and macro-institutional environment. Policy analysis and information and quality evaluation are services that, if well performed, become the very supporting instruments of political leadership and government performance. As such, politicians and senior bureaucrats, just like the key

⁴⁰⁹ See the discussion section 2.5 where *DBSA* is cited as an example. Dror (1971:90) refers to “special policy research organisations” with the mission to contribute to the improvement of policy making, by direct contributions to concrete policy problems, by contributions to longer range policy issues and by the building up of policy sciences.

⁴¹⁰ In a classical analysis of functions and consequences of policy analysis organisations in the United States experience, Carol Weiss gives account of these experiences in her book, *Organisations for policy analysis*. For a perspective on the reasons for their growth and popularity, consult Weiss (1989:1–8).

figures in the private or non-governmental sectors, have primary concerns and interests regarding their placement, access to, control over and management of these organisations⁴¹¹. The political system in which a policy-support organisation operates, as well as strategic planning, visionary leadership and public sector management generally, have a direct impact on the operation of such an organisation. Furthermore, intergovernmental arrangements and the presence of other support capacities, such as information and evaluation capacities and their relationship with the development community (governmental and non-governmental) have a profound effect on the effectiveness, efficiency and general performance of a particular policy support organisation, in or outside government.

In Africa, the macro-institutional system has had a direct impact on policy efforts in numerous ways. The multitude of needs unleashed with independence in Africa presented the newly independent administrations with gigantic tasks. The difficulties of African public administration community were exacerbated by the fact that the private sector, and non-governmental agencies were weak and undeveloped (Mutahaba et al, 1993:47). Political systems also proved unstable and powerful social pressure groups pushed through their interests even in conflict with prevailing government policy. In Africa, the politicisation of the administrative system (including organisations) and the militarisation of governance further impacted on the quality and integrity of policy management (Mutahaba et al, 1993:48).

In macro-institutional context, Weiss (1989:6–8) argues that policy analysis organisations thrive in the United States because they fill certain gaps in the American political structure. Subsequently, the fragmentation of the governmental system and the policy issues of government that have become increasingly complex, resulted in a need for quality policy options and coordinating mechanisms: "... to overcome fragmentation, to aggregate interests, to cope with complexity and to take longer and

⁴¹¹ In an interview with Peter Zimmerman at Harvard University on 17 July 1994, Zimmerman's observations on issues regarding the institutionalisation of policy capacity in an organisational context confirmed that the major dimensions have been identified in this study. In particular, the themes identified by him are strikingly relevant. These included the necessity for a policy organisation to have access to multiple sources of information, to have the ability to give early warning, be able to provide multiple perspectives and the willingness to consider the full range of policy alternatives. In organisational design terms he emphasised open *versus* closed systems, formal *versus* ad hoc systems, centralised *versus* decentralised points of focus and staff *versus* line primacy.

broader perspectives on issues.”

The discussion on participation and sociopolitical analysis and assessment (section 5.3.4) showed that special demands will be put to policy-support organisations in the 1990s. With regard to the content of their policy work, their style of (participatory) operation as well as their own organisational development internally, policy support is by its very nature, participatory. Furthermore, it is the responsibility of policy process facilitators to ensure that support is given to public, private and non-governmental organisations on an equitable basis as development management is a shared responsibility. In this process, the various (different) roles and responsibilities of key players in institutional development, but also in policy support, are critical (see Figure 5.6).

Mutahaba et al (1993:43), with reference to policy management in Africa, state that present institutional and organisational structures need to be reconstituted for the public administration system in Africa to make an effective contribution to recovery and development efforts. He states in this regard that: “The anomalies in institutions and organisations that permeate almost every stage of the policy process have led to deficient and suboptimal policy outputs.” In macro-institutional context, these authors (Mutahaba et al, 1993:43) also note that the difficult socioeconomic conditions prevailing in the continent compound the gravity of the above defects and may even partially contribute to their genesis:

More critical, however, is the internal configurations of the organisational and institutional elements that generate and sustain the dysfunctions. As elements that provide the base and locus of policy management functions, and also determine the direction, speed and intensity of the policy process, organisational and institutional factors are critical in determining public policy output.

Mutahaba et al (1993:44) note that in the context of poor strategic guidance and policy development, the prevalence of an acutely impaired public administrative system is reflected in the nature of the policy management system: “A casual survey of this issue in terms of policy formulation and articulation, implementation, and evaluation reveals a number of deficiencies. At the formulation stage, for example, there is a tendency to pronounce policies that are vague and unclear.” Mutahaba et al (1993:44) furthermore

point out that the implications are that broad, general statements are usually pronounced in the name of policy, making it extremely difficult to pursue the subsequent stages of the policy process, namely implementation and evaluation.

The functioning of a policy support organisation is highly dependent on the status of policy arrangements and the quality of available policy frameworks on macro, sectoral, provincial, local and other levels (including that of the private and non-governmental sector) as well as in the international arena⁴¹². Roberts (1990:7) points out that most African governments have taken steps to ensure that there is some policy framework within which policy-support organisations operate: "... if there are a few weak links in the chain at critical points, the process cannot be saved by the stronger links." Roberts (1990:7) subsequently identifies such essential links as the establishment of an agency within government with the responsibility to ensure that the policy is carried out, to set standards, to effectively use management training, to provide resources, etc. The functioning of the *Centre for Policy Analysis* (discussed in section 2.5) is highly dependent on the status of the above types of policies and their management. Similarly (see Chapter 6) the *Commission for Demarcation and Delimitation of Regions (CDDR)* was highly dependent, as an ad hoc capacity, on engaging with other capacities for its human and financial resources, information as well as research and analysis.

Policy-support organisations are also highly dependent on their participation in, and support for, the macro planning framework of a given country. Planning arrangements at central, provincial and local levels that ensure bottom-up and top-down planning and that effectively involve the private and non-governmental sectors in planning endeavours are important. It is furthermore essential to establish long-term support relationships and understandings with clients in order to be able to plan effectively and to embark on pro-active policy analysis and research.

In general terms, Mutahaba et al (1993:45) note that a lack of strategic⁴¹³ and business planning in the organisational context have led to a generation of contradictory policies

⁴¹² Also see the discussion section 2.2 for the example of the *RDP* in this context.

⁴¹³ For a comparative perspective on strategic management in Africa directly related to this context, see Blunt and Jones (1992:59–70). Also see Dror (1990(c):31–37), Huger and Wheeler (1993), Rowe et al (1994), Thompson and Strickland (1993), and Thompson (1994).

which overloaded the organisational system with goals and objectives. At the management level, organisational shortcomings have resulted in frequent delays in implementing projects, cost overruns, suboptimal outcomes and even a complete failure to execute.

Policy-support organisations are dependent on the delivery capacity and implementation potential of the environment in which they operate (Mokgoro, 1993:5). Strategic foresight to institutionalise, at the organisational level, and capacities to monitor and evaluate policy implementation are almost totally missing in Africa⁴¹⁴. “The monitoring and evaluation of policy management is ridden with the problems of incomprehensiveness ... there is no country in Africa that has instituted a machinery to monitor the impact of the various measures taken to ameliorate the negative effects of the crises.” (Mutahaba et al, 1993:45). Dror (1990(c):93) notes in this regard that policy-process management upgrading is essential for better policy. He states that: “This requires a special function of ‘meta policy making’, that is policy making on policy making, which takes a comprehensive view of the policy process, evaluates it and is in charge of improving it. This function should usually be located in the office of the head of government. It should be staffed by professionals in policy development and organisational design.”

In a study of institutions such as of the policy support type of organisation, Roberts (1990:13–15) notes that with experiences such as that of Ghana, the organisation should focus on important factors to produce a collaborative relationship with government or other stakeholders. This involves a clear mandate and reporting relationship to reduce confusion or ambiguity, the overall style and image of the organisation (appropriate styles are listed as respectable, sensitive and responsive, a flexible posture, cost conscious and partners with government in the management improvement process), and the nature of the portfolio of a particular organisation. Roberts (1990:14) also emphasises that such a policy support organisation should focus on the needs of all their key clients and move away from their traditional sole focus on the civil service. The author also stresses the quality of leadership as perhaps

⁴¹⁴ Also compare a detailed exposition on African policy capacities as provided by the African Capacity Building Foundation (1992).

the most important element, and also emphasise an understanding of, and respect for, the limits of autonomy, and an open process of self assessment.

5.5.3 POLICY-SUPPORT ORGANISATIONS: FUNCTIONS AND STRUCTURE

Mutahaba et al (1993:49) point out that a viable organisational (and macro) system of policy management should include a series of interlinked activities constituting the functions of policy formulation, implementation, and evaluation, performed through an elaborate institutional and organisational framework. Such an organisational framework should provide for the locus of actions, coordination and communication of functions and transmission of inputs, output and feedback⁴¹⁵. They point out that in this regard, the effectiveness of the policy-management process is highly dependent upon the interrelationship between functions and units within an organisation⁴¹⁶. In this regard he emphasises the importance of coordination in organisational context.

The system has to promote vertical and horizontal interaction among its constituent units and agencies, promote the development and deployment of knowledge, skills and competencies for management, and maintain a high degree of openness in receiving demands, feedback, support and resources from the public (Mutahaba et al, 1993:49).

Most organisations⁴¹⁷ in African public administrations have not sufficiently mobilised the requisite knowledge, skills and competence for policy management: "A number of countries experienced a severe shortage of analytical skills, communication skills, systems analysis skills and social as well as behavioural skills" (Mutahaba et al, 1993:63). Furthermore, the result of skills deficiency in the system of public administration is the perpetuation of poor policy analysis, inefficient implementation, and rampant absence of monitoring and evaluation (Mutahaba et al, 1993:64). These

⁴¹⁵ It should be noted that the models of adhococracy, central management and multiple advocacy (Porter, 1980) which were discussed in intergovernmental context, also pertain here. Organisations have the choice of managing the policy function centrally or by making wide use of other capacities.

⁴¹⁶ This discussion does not allow for a detailed account of theoretical approaches to relationships between such units. However, the interested reader should consult Blunt and Jones (1992:109–131). Also see Thompson and Strickland (1980:209–241).

⁴¹⁷ Mutahaba points out that all the missions sent to selected African countries by the *United Nations Development Programme (UNDP)* under the *Special Programme of Action for Administration and Management (SAPAM)* identified a shortage of skilled and experienced human resources as a serious problem. For a more detailed account of this trend as well as a Malawian example, consult Mutahaba et al (1993:63–65).

authors also subsequently point out that an additional problem is the development and accentuation of parallel organisational systems alongside the formally established administrative system. Informal networks illegally undertook or disrupted the major functions of governance.

In terms of the functions and structure of policy-support organisations, the discussion on the main dimensions of institutional capacity building (see section 5.3) showed that trends and tendencies in the 1990s showed that organisations, and this is especially true of policy-support type organisations, tend to simplify functions whilst allowing specialist functions to develop on a needs basis, to minimise management levels and to simplify the complexity of the organisational structure. This is especially relevant to policy-support organisations because of the multidisciplinary nature of policy analysis and the variety of clients. The discussion on the *Centre for Policy and Information* showed that even though *DBSA* operates on the basis of a matrix type structure, a programme management approach is necessary (see section 2.5).

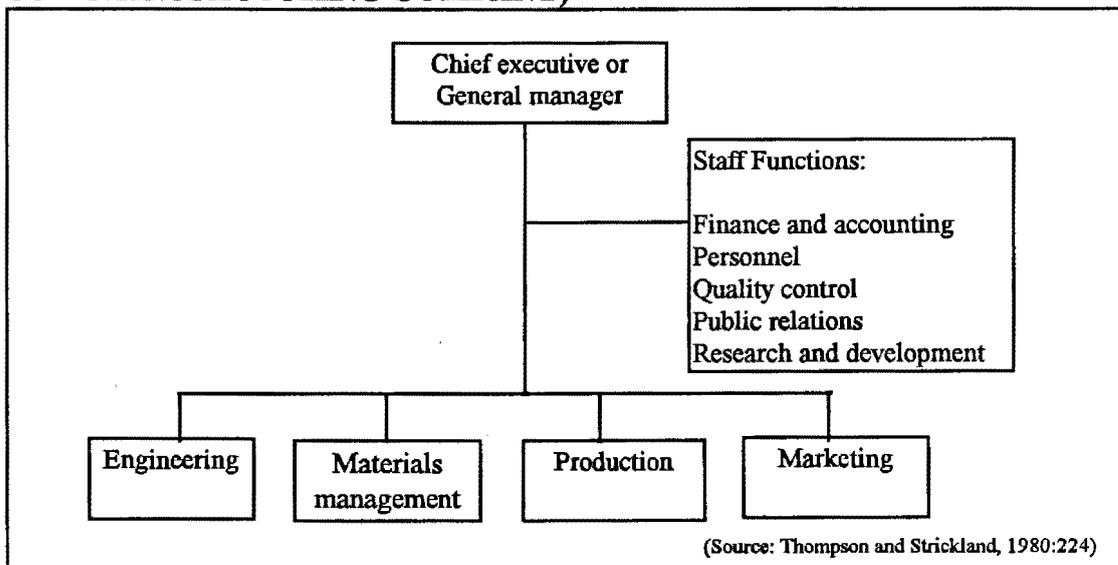
Walker (1992:4) and Mohrman (1990) show that minimum levels and complexity in organisations encourage delegation of initiative and innovation (qualities which, according to Dror (1988(b):23), are essential in policy work). Demands for flexibility and innovativeness have also impacted on the role of managers, and policy managers will have to adapt to the new challenge in policy context (see Figure 5.5 and Blunt and Jones (1992:23). In essence, policy managers, will have to, given their formal authority and mandate, attend to interpersonal roles (leader and liaison), their informational role (monitor, disseminate, spokesperson) and decisional roles (that of entrepreneur, conflict facilitator, resource allocator and negotiator).

Because of their relevance to policy management, it is necessary to briefly reflect on two basic forms of organisational function and structure⁴¹⁸. Although many permutations exist, the two basic forms of organisational structure and function are the functional organisation structure and the matrix organisation (Thompson and Strickland, 1980:223–235). The functional organisation structure divides key activities

⁴¹⁸ Also see the discussion in section 5.3.3. The above perspective is also necessary because of the emphasis on functional and matrix organisational options as became clear from the discussion on the *Centre for Policy and Information (DBSA)*, section 2.5.

according to functional specialisation and is particularly relevant to organisations that depend upon a single product line and that are vertically integrated. Such organisations tend to be organised in a centralised, functionally departmentalised structure (Thompson and Strickland, 1980:223, see Figure 5.10). These authors also point out that the way an organisation chooses to segment their major functions depends on their strategy and the nature of the work activities involved. By way of example, a large, technically oriented manufacturing firm may be organised around research and development, engineering, materials management, production, quality control, marketing, personnel, finance and public relations (a further division of line and staff functions may also occur). A municipal government, on the other hand, may be departmentalised according to purposeful function such as health services, public safety, water and sewerage (Thompson and Strickland, 1980:223). The authors describe the Achilles' heel of a functional structure as proper coordination of the separated functional units and observe that functional specialists, partly because of their training and the technical nature of their jobs, tend to develop characteristic patterns of behaviour and goal-orientation (Thompson and Strickland, 1980:225 and Blunt and Jones, 1992:109–120).

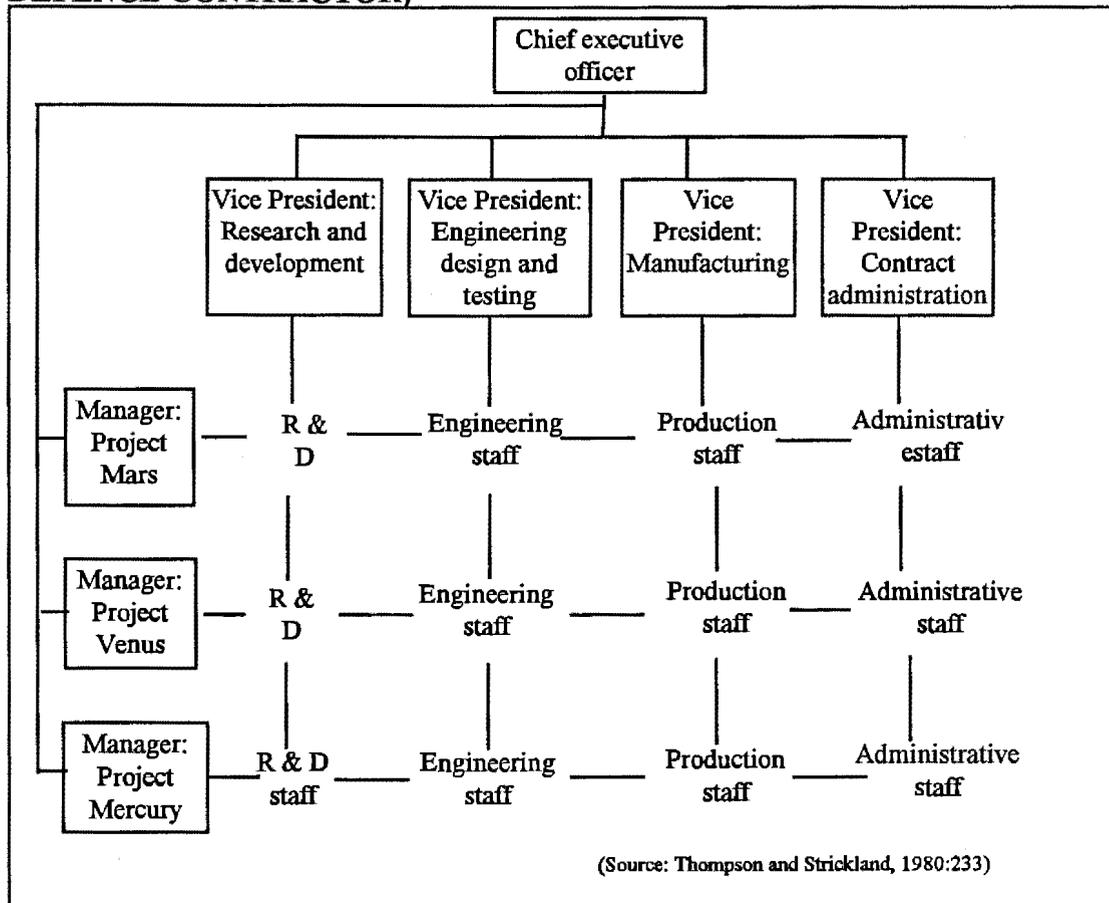
FIGURE 5.10: A FUNCTIONAL ORGANISATION STRUCTURE (EXAMPLE OF A MANUFACTURING COMPANY)



On the other hand, a matrix form of organisation is a structure with two (or more) lines of authority, two or more systems for budgeting, and so forth. The key feature of the matrix is that product and functional lines of authority are overlaid to form a matrix

or grid and managerial authority over the employees in each unit is shared between the product and functional manager (see Figure 5.11). In a matrix structure, subordinates have a continuing dual assignment, to the produce and to the base function (Thompson and Strickland, 1980:231). These authors also point out that a matrix type of organisation is a genuinely different structural form that presents a “new way of life” and that the unity of the command principle is broken. Two (or more) reporting channels, managers and shared authority create a new kind of organisational climate⁴¹⁹. Thompson and Strickland (1980:231) state that: “In essence, the matrix is a conflict resolution system through which priorities are negotiated, power is shared and resources are allocated internally on a ‘strongest-case-for-what-is-best-overall-for-the-unit’ type basis.”

FIGURE 5.11: MATRIX ORGANISATION STRUCTURE (EXAMPLE OF A DEFENCE CONTRACTOR)



Matrix type structures are particularly appropriate for organisations that perform a

⁴¹⁹ For examples of successful matrix type organisations in the United States, see Thompson and Strickland (1980:232).

policy analysis and research function as it accommodates multidisciplinary efforts. It furthermore facilitates the different responsibilities and roles that specialists and resource managers are responsible for. As was discussed in section 2.5, these two skills types do not usually go together and good specialists are not necessarily (usually) good financial and human resource managers. Furthermore, the matrix type organisation allows functional specialisation (for example, conceptual framework development on institutional appraisal among institutional specialists) whilst also being able to provide specialist input to projects or research assignments (products).

A further refinement of the organisational nature of policy-support organisations as a matrix structure, is that of a programme management approach. Such an approach and organisational design can be institutionalised within a hierarchical or matrix-type organisation to ensure integration, specialisation, strategic alignment and multidisciplinary involvement⁴²⁰. A programme approach basically consists of organising strategic and business planning (and therefore financial and human resources) according to a set of related programmes, structured on the basis of strategic issues (not functions) and which has a separate management structure to manage the content of work. Such programmes are still located within line departments under the supervision of financial and human resource managers who are fully accountable. The *Centre for Policy and Information* (section 2.5) is managed on this basis.

Dror (1990(c):96) states that with regard to policy development units, “adequate policy analysis requires organisational innovations and that redesigned organisations are needed for better policy development”. He specifically stresses the importance of focusing on organisational redesigns, taking the above kind of considerations into account. When the institutionalisation of policy support capacity in the *World Bank* is considered, it is of interest to note that policy capacities are both centralised in the vice-presidency of *Development Economics* (three departments exist, namely, the *Development Institute*, *Policy Research* and *Research Administration Departments*) and decentralised in the country-specific vice-presidencies⁴²¹. In an interview with

⁴²⁰ Interview, Nick Vink on 16 March 1995.

⁴²¹ Interview, Hans Binswanger on 19 July 1994, Ed Campos on 18 July 1994 and interview with Anwar Shah on 18 July 1994.

Dunstan Wai⁴²² it also became apparent that the World Bank gives specific attention to the development of policy capacities and outreach programmes in Africa through the *African Capacity Building Initiative*.

Dror (1971:92) mentions that administrative facilities are often too mundane for specific mentioning, were it not for the frequent neglect of this requirement. Given that the time of high quality staff is the scarcest of all resources for policy research, it is essential that administrative facilities and services be made essentially a “free good” so as to permit maximum utilisation of that scarcest resource. To permit exclusive attention by the professional staff to policy research under conditions of maximum convenience, computer time, secretarial facilities, research assistants, communication and travel facilities, libraries and a collection of working papers should be available up to a saturation point (Dror, 1971:92).

5.5.4 POLICY-SUPPORT ORGANISATIONS: HUMAN RESOURCE MANAGEMENT

As discussed in section 5.3.3, the quality of management, leadership, human resource management, administrative efficiency and organisational development will have a profound effect on the institutional arrangements of any policy support organisation.

In a generic sense, the management of public policy is subject to the development of contemporary management practices and institutional arrangements at the organisational level can therefore be improved by applying the classical management processes of planning and budgeting, organising and staffing and controlling (Kotter, 1990:4) as well as more contemporary developments⁴²³ such as an emphasis on management of change, vision, alignment and motivation (Cloete, 1993 (202–218), Fox et al (1991:5), Senge (1990) and Walker (1992)). Theoretical approaches to public sector transformation and change (De Coning (1994(a), Hughes (1994), and

⁴²² Senior advisor to Edward Jaycox, Vice President for Africa, *World Bank*, Washington, 18 July 1994. This study does not focus on the World Bank as an example of how policy capacities are institutionalised. However, the *World Bank* does have recorded experiences in restructuring in this regard, see the publication: *Strengthening the Bank's thematic and sectoral capabilities: the why, what and how of the 1992 reorganisation* (World Bank, 1992). Interview with Ian Scott on 18 July 1994.

⁴²³ See the discussion on these approaches in section 5.3.3. Also compare Walker (1992:3), Smit (1992), Cascio (1993) as well as Gerber, Nel and Van Dyk (1995); and for perspectives on strategic management in this context, see Huger and Wheeler (1993), Rowe et al (1994), Thompson (1994) and Thompson and Strickland (1993).

Koster (1994) and (1995)) and an emphasis on the management of change, leadership, strategic support capacities and human resources support is fully relevant to policy-support organisations which find themselves in a rapidly changing environment.

The discussion on management (section 5.3.3) also highlighted developments in the human resources field. The discussion of institutional, niche and entrepreneurial type organisations is of direct consequence to policy-support organisations. In some instances, small consultancy firms, active in the policy field, often act as entrepreneurial type organisations which can, because of their small size and adaptability, quickly adapt to serve the needs of a client. Policy organisations of an institutional type are well known for their bureaucratic and control-type functions. Government departments and multilateral donor-type policy-support organisations often subscribe to the characteristics of the institutional-type organisation (see discussion section 5.3.3). Policy-support organisations such as the *Centre for Policy and Information* (section 2.5) and the *Commission for Demarcation and Delimitation of Regions* (see Chapters 6) to a more or lesser extent, have to function in such organisational environments.

Mutahaba et al (1993:49) point out that together with the organisational attributes (see section 5.3.3), public administration "... needs to have the requisite capacities, including finances, technology, values and skills to formulate well". In this regard these authors (Mutahaba et al, 1993:49) point out that:

While the first two can be acquired, the human related capacities have to be nurtured and developed. Effective policy management requires skills that are not only competent but in the right dimensions at every level of the policy process. In the course of harnessing these skills there has to be procedures, rules and regulations that promote the efficiency of the system as a whole, while at the same time maintaining flexibility, openness and service to the society.

Dror (1983(c):21) also notes in this regard that despite serious efforts in a number of countries to build up adequate staff support for rulers, in most countries such staff are

virtually non-existent⁴²⁴. Furthermore, Dror observes that: “ ... in the short run, providing top politicians with superior professional advisory support is the single most effective possibility for upgrading their performance ...”. To improve such capacities through training, Dror’s (1990(c):98) recommendations include advanced professional public policy training programmes and national policy colleges⁴²⁵. In this regard, an example worth noting is that of the *Civil Service College* near Sunningdale in the United Kingdom⁴²⁶. Policy-support organisations need to focus on training and capacity building given the high demands by the policy community. In this process indigenous training capacities and community-sensitive orientation are essential (African Capacity Building Foundation (1992) and World Bank (1990(c):iv)).

The perspective on the *Centre for Policy and Information* (see section 2.5) was presented as a case study emanating from the present South African experience of a policy support organisation. This section was dealt with as part of the discussion on contemporary trends in South Africa as it is merely a comparative example and would have distracted from the generic discussion as depicted in this chapter. Furthermore, given the attempt to develop a theoretical approach to institutional arrangements for policy management (see section 5.3 and the concluding section 5.3.5) that would apply generically, these considerations will be illustrated in the *CDDR* case study (Chapter 6). However, some experiences have emanated from the *CPI* discussion (section 2.5) that are of generic value to policy support-organisations. These include:

- A policy function in an organisation such as the *DBSA* takes time to evolve as an effective service to clients and its evolving relationship with evaluation and information components, even if situated elsewhere in the organisation is important.

⁴²⁴ The availability of policy capacities in the private sector are of obvious interest. Moore (1982:413) notes that such analytical activities in support of management typically coincide with basic management functions and are not generally called policy analysis in the private sector.

⁴²⁵ For an example of such a training module, see Dror (1990(c)). This particular module has been developed for the *United Nations Development Administration Division* (May 1990) and covers areas such as a trainers perspective, policy environments, expected global environments, goal setting, systems perspectives, uncertainty mapping, policy learning, option innovation, policy process management and grand-policy reasoning.

⁴²⁶ See the reference on the curricula of the *Civil Service College*, Sunningdale, United Kingdom and the curricula of the *Kennedy School of Government*, Harvard University, section 5.4.

- Regular internal functional and organisational restructuring may be necessary if the organisation is involved in a rapidly changing environment where the management of change is warranted.
- In this context, frequent self-evaluation and adjustment of focus, products, skills and resources may be necessary.
- Management experience has shown that a matrix structure, combined with a programme management approach may be necessary for multidisciplinary policy and information analysis and research.
- Performance-orientated strategic and business planning and subsequent practical policy outputs are essential.
- The evaluation function, both of the policy-support organisation's own operations and externally, i.e. how clients perceive performance, should be a priority.

Dror (1971:91) notes that because of the multidisciplinary bases of policy sciences, and because of the complex nature of real policy issues, policy research organisations must be interdisciplinary in their composition and that core staff should come from different disciplines of origin⁴²⁷. He (1971:91) makes some interesting observations on the critical size of a special policy research organisation. The author then notes that the professional staff of a policy research organisation must be large enough to permit intense study of significant problems, application of different disciplines of knowledge and diversity in approaches.

The staff should also be large enough for simultaneous study of a number of problems, to permit efficient study scheduling, provide cross fertilisation between different studies, assure significant contributions to policy making, and hedge against the unavoidable

⁴²⁷ Apart from approaches such as behavioural sciences and management sciences, physical and life sciences, as well as history, law and philosophy, Dror (1971:91) specifically mentions practical experience in policy making (process management) as essential. In the South African context (see Chapter 2), reference has been made to Koster (1994), where the structuring of the Premier's Offices were discussed. Koster focuses on main functions for such a strategic unit and specifically identifies disciplinary areas, namely macroeconomic planning, development planning, strategic management information, monitoring and evaluation, policy research, liaison and community participation and financial mobilisation and utilisation (Koster, 1994:13). Interview, 15 March 1995.

abortion of some studies (Dror (1971:91)).

Although highly circumstantial, Dror goes so far as to argue that on the basis of relevant experience, a full-time staff of twenty to twenty-five highly qualified multidisciplinary professionals is the minimum required critical mass⁴²⁸.

In the context of the requirements of a special policy research organisation, as discussed above, Dror (1971:91,92) also notes that staff characteristics are important and that over and above high academic quality, senior staff should be supported by younger staff who are often more open-minded. Dror contends that high-quality staff is not sufficient; constant steps to develop staff are essential. Continuing learning activities and exposure to new ideas should be sought to avoid “getting stale in policy research” (Dror (1971:92 and Hilderbrand and Grindle, 1994:13–16). In his later work he indicates some minimum specifications of a development policy study institute, and also mentions the need for a minimum critical number of quality professionals, multidisciplinary composition, advanced methodologies for handling uncertainty and complexity, special attention to the handling of value issues and freedom in thinking and design⁴²⁹ (Dror, 1988(b):23).

The sociopolitical environment in which a policy support organisation operates has a direct impact on its performance. This also applies to its internal organisational (corporate) culture and the ability to align and motivate human resources (Van Arkadie, 1990:156). Dror (1990(c):91) states that with regard to policy development in organisational context, for example, the value context, is essential:

Policy development requires values, half operationalised in the form of realistic visions, grand designs, umbrella conceptions of the desirable and feasible futures, etc. Without such value-goal guidance, policy development lacks a compass and will become too ad hoc. In addition, realistic visions serve to increase coherence of policies and are also useful for giving policy making and policy implementation a sense of purpose, in addition to serving essential educational and support mobilising functions.

⁴²⁸ For a perspective on staff selection in this context, see Quade (1982:81). He focuses on project leaders, teams and the use of consultants.

⁴²⁹ For a more detailed perspective on quasi-think-tank functions in respect to development policies, see Dror (1988(b):22–24). Also see Dror (1984:101–103).

Dror (1971:94) in his earlier work, notes that the organisational climate is important for specialised policy organisations to operate effectively.

The organisational climate and work patterns of policy research organisations must encourage frank mutual criticism, uninhibited creativity, breakdown of disciplinary boundaries, continuous learning by staff, and constant freshness of approach (Dror, 1971:94).

He furthermore stresses that policy research organisations are different from advocacy groups, social prophets, and utopia writers in that they aim at improving policy making through contributing systematic knowledge, structured rationality and organised creativity⁴³⁰.

5.6 CONCLUSION

This chapter aims to achieve a balance in identifying institutional arrangements relevant to policy management at a macro-institutional level as well as at the intergovernmental and organisational level. Some important conclusions are made in the section. A more detailed discussion on its application with regard to key issues and the context in which it was discussed in this chapter will be attended to in Chapter 6 with the application to the demarcation exercises as a case study. The following conclusions are important:

- From the discussion of definitions it is clear that institutional capacity building is a concept that forms a pivotal part in development (see section 5.2). For the purposes of policy management, the capacity to manage policy processes (as discussed in Chapter 4) are critical. It also transpired from the discussion on the definition of institutional development, institutional capacity building and institutions that the integrated and systemic nature of institutions is important. The policy and strategy factors of an organisation itself is important and in this regard, form follows function, i.e. organisation building should follow strategic and functional repositioning.
- The perspective on the main dimensions of institutional capacity building

⁴³⁰ For a detailed exposition of the specialised policy research organisation in a university setting and the advantages and disadvantages of such an organisational setting in the above context, consult Dror (1971:94–97).

clearly shows that even though a vast array of relevant issues exist, certain key issues, at a macro level are generically applicable to any institutional capacity-building exercise, also to policy initiatives, in the external environment as well as for policy-support organisations, internally (see section 5.3). For the purposes of the discussion, a generic framework was developed (see section 5.3.5 and Figure 5.7). The point of departure is that such a framework should be seen as flexible and interactive. The need for specialisation with regard to any particular institutional dimension or issue, depending on the particular planning, appraisal or evaluative exercise at hand, has been acknowledged. It is argued that the main dimensions identified represent important considerations in any policy exercise. This framework laid the basis for application to the *CDDR* case study (Chapter 6), as well as providing a framework for specific perspectives on intergovernmental and organisational levels.

- The discussion of the institutionalisation of management support functions on an intergovernmental level showed that strategic planning and macro socioeconomic management requires the support of key policy and other support capacities (see section 5.4). In this regard, key subfunctions which make up such support have been identified and these are generically applicable as an integrated package to almost any policy process. The centralised or decentralised positioning of such capacities in an intergovernmental system is often not a choice, but an optimal combination of utilisation, depending on the nature of the macro-institutional system on which the dominant political philosophy has a profound influence. Placement considerations are often influenced by realities such as the availability of skills and the extent to which professional analytical skills and independence are sought. Lastly, it is clear from the intergovernmental discussion that such a system will impact upon the efforts of policy-support organisations within the system and vice versa. The discussion on ad hoc capacities has been particularly relevant for application to the *CDDR* case study (see Chapter 6);
- The perspective on the institutionalisation of policy capacity in an organisational setting has shown that some special considerations exist with

regard to policy-support organisations (see section 5.5). Although the discussion of the main dimensions of institutional capacity building (section 5.3) is relevant in broad terms, it is clear from the discussion that the macro-institutional context will directly influence policy-support organisations. Political influence, relative independence and its location positioning in the broader system is important. Because of the nature of the services rendered by policy-support organisations, special care needs to be taken with regard to the structure and functions of policy-support organisations as well as their human resource management. The policy and planning environment and its management also directly impacts on the performance of policy-support organisations and authors such as Mutahaba and Roberts have shown that especially in Africa, poor administrative performance and organisation will directly impact on policy-support organisations.

Some key issues relevant to policy-support organisations include:

- Strategic foresight to institutionalise, at the organisational level, capacities to monitor and evaluate policy implementation (section 5.5.2).
- Effective leadership and management of the policy function within a policy-support organisation is critical. New management roles are expected from policy managers in the 1990s. Strategic and business planning, together with programming and budgeting are critical areas for policy managers (section 5.5.2).
- Policy process management upgrading as an essential element for better policy (Dror, section 5.5.3).
- Policy management should include a series of interlinked functions such as policy formulation, analysis, implementation, information management and evaluation (section 5.5.3).
- Coordination, on horizontal and vertical levels of policy support in and outside the organisation is critical (section 5.5.3).

- Flatter management structures, namely a matrix rather than a hierarchical structure, with possible further actions, such as a programme management approach, are usually warranted for policy-support organisations (section 5.5.3).
- Human resources management of policy-support organisations is a special area of focus. Knowledge workers with scarce skills must be optimally utilised. Dror, Mutahaba and Walker emphasise characteristics such as multidisciplinary composition, sociopolitically sensitive staff, openness, high quality skills, training, value sensitivity and financial effectiveness and efficiency (section 5.5.4).

It is concluded that institutional arrangements for policy management is an essential area for the improvement of policy processes. Macro-institutional perspectives show that a generic framework consisting of main dimensions and key issues for institutional capacity-building efforts are fully relevant to policy endeavours (see Appendix D). Particular theoretical approaches are relevant to the management of policy processes on intergovernmental and organisational levels. These considerations will be applied to the evaluation of the *CDDR* case study in Chapter 6.

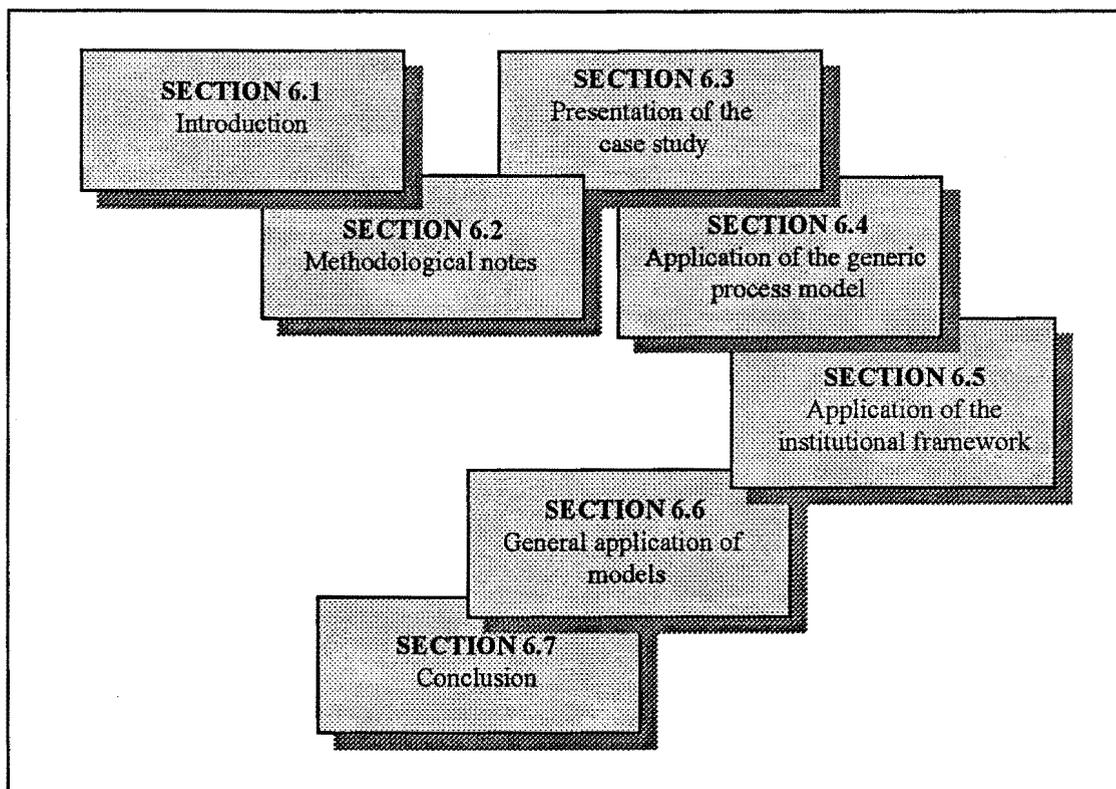
CHAPTER 6

ILLUSTRATIVE APPLICATION OF THE GENERIC PROCESS MODEL TO THE CASE STUDY OF THE *CDDR*

6.1 INTRODUCTION

The objective of this chapter is to apply the frameworks developed in this study, namely the generic process model and the framework for institutional capacity building, to an actual case study.

FIGURE 6.1: ILLUSTRATIVE APPLICATION OF THE GENERIC PROCESS MODEL TO THE CASE STUDY OF THE *CDDR*



For this purpose, the case study of the *Commission for Demarcation and Delimitation of SPRs*⁴³¹ will be used. The *CDDR* was appointed by the *Multi-Party Negotiating Forum (MPNF)* to make recommendations on regional demarcation. This process

⁴³¹Also referred to as the *Commission for Demarcation and Delimitation of Regions* or as the *CDDR* or *Commission* (see Appendix E for a list of *Commission* members). *SPRs* refer to states, provinces and regions, the lastmentioned is preferred for the purposes of this study. Although initiatives prior to and after the *Commission* are discussed, this case study focuses on the working period of the *CDDR* (28 April to 2 August 1993).

formed part of the negotiated political settlement in South Africa (see section 6.3). This chapter consists of a section on methodological notes (section 6.2), background information to the case study of the *CDDR* process (section 6.3), notes on the application of the generic process model (section 6.4), application of the institutional framework (section 6.5) and general application of models (section 6.6). The concluding comments are given in section 6.7. For an exposition of the composition of Chapter 6, see Figure 6.1.

6.2 METHODOLOGICAL NOTES

Further to the methodological perspective provided in section 1.7 (see also Figure 1.8 for the programming of the study), this section deals with the methodology followed during the recording of the case study and provides a summary of the primary sources used in the following sections.

It is important to observe that international centres of excellence in the policy field have at their disposal a significant range of case study exercises⁴³², whilst local practitioners have not yet documented, in any comprehensive way, South African policy management experiences in the form of academic case studies⁴³³. During the course of the study two particular case studies, namely the *Fisheries Policy* exercise already referred to in Chapter 4, and the demarcation exercise were developed for teaching and learning purposes⁴³⁴.

Reference is made several times to the value of case studies as a teaching (and learning) method in this study (see for example section 4.3). Until fairly recently⁴³⁵, local development practitioners, especially those in the fields of policy management and public and development management, had very limited access to properly recorded South African cases. The very useful notes by Lauren Blythe Schütte (Schütte,

⁴³²See for example *Harvard University* (1994(b)). Also see the discussion in section 5.4.4 and in section 4.3. Interview with Howard Husock.

⁴³³Individuals such as Swilling, already referred to, are an exception in this regard. Numerous simulation exercises and other applications have been developed. The publication of Schütte, Schwella and Fitzgerald (1995) is also an exception in this regard. This contribution is discussed above.

⁴³⁴Although simulation exercises were also developed, these are not discussed here. See section 4.3.

⁴³⁵An exciting new development in this field was the launching of the new book entitled *Changing public and development management: South African cases* (Schütte, Schwella and Fitzgerald, 1995) on 29 September 1995 at the *Winelands Conference* in Stellenbosch. The book contains some 28 case studies and useful notes on how to use case studies for teaching.

Schwella and Fitzgerald, 1995) on the use of case studies are well worth considering. Schütte remarks that “what really makes a case a case is that it is not a story written for entertainment purposes alone, but is designed to achieve specific learning objectives, requiring independent, critical, problem-solving thinking patterns on the part of the students” (Schütte, Schwella and Fitzgerald, 1995:2). The author also observes that case studies promote learning about the subject matter as well as process dynamics. It is also worth noting Schütte’s remarks that the role of the lecturer in this methodology shifts dramatically away from expert telling, to one which facilitates learning and encourages discussion. In this regard Schütte states (Schütte, Schwella and Fitzgerald, 1995:3) that:

Cases represent a break with traditional, conventional lecture and textbook instruction which sets the instructor or lecturer up as an expert prescribing answers to a group of avid disciples. They represent instead an extensively utilised tool in discussion pedagogy where interactive, experimental learning is encouraged.

Although this case study is not presented here for teaching and learning purposes, it has been employed as such. Typically, such facilitation focused on options for improving the process and the institutional arrangements of the *CDDR* exercise. For practical hints regarding teaching cases, see Schütte, Schwella and Fitzgerald (1995:5–10).

As discussed in the background to the study (section 1.4), the opportunity to develop a case study of the *CDDR* initiative arose when the author was asked to participate in the provincial demarcation exercise. Observation⁴³⁶ and operational participation were therefore primary sources of research. Care was taken to record all official documentation and other sources, such as minutes and discussion documents. These recordings were included in a base document. In addition to this document (specified as the fourth source, below), the primary sources of research material available for the purposes of the recording of the case study, include:

- The only *Report* of the *CDDR*, namely *Report of the Commission on the Demarcation and Delimitation of SPRs* (*CDDR*, 1993). This *Report* was

⁴³⁶The disadvantages of observation as research method have already been discussed in section 1.4 and are therefore not discussed here.

published on 31 July 1993 and served as the basis for further discussions with the *Multi-Party Negotiating Forum (MPNF)*. The demarcation proposals contained in this report were largely accepted in subsequent processes. The processes followed by the *CDDR*, as described in this document, are directly relevant for this study.

- Following the publication of the above *Report*, the *Task Force* (appointed after the *CDDR* completed its work) compiled a document, titled *Report on further work on the demarcation and delimitation of states, provinces and regions (SPRs)* (Nomvete and Du Plessis, 1993), which motivated the rationale of the proposals in the *Report* of the *CDDR*. As stated in the above *Report* (Nomvete and Du Plessis, 1993), the Task Force did not have the mandate to review any proposals.
- The third primary source is the publication by the author (De Coning, 1994(c)) titled *The territorial imperative: towards an evaluation of the provincial demarcation process*, which was published as a chapter of the book, *Birth of a constitution* (see De Villiers, 1994). This document has been used as a source in teaching the case study as a learning methodology (see section 4.3).
- Another source is an unpublished research document, entitled *Recordings and preliminary analysis of the CDDR exercise: towards an evaluation of policy processes* (De Coning, 1993(b)). This document was compiled as a resource document during and before the case study. Official documentation, such as minutes and discussion documents developed during the actual process, are recorded and contextualised in this document.
- The only other known evaluation of the *CDDR* process⁴³⁷, namely the unpublished *Report* by Meshack Khosa and Yvonne Muthien (a member of the *CDDR*), titled, *The expert, the public and the politician: regional demarcation in South Africa* (Khosa and Muthien, 1994). The report is especially valuable

⁴³⁷ The chapter titled *The provincial boundary demarcation process* by David Welsh (De Villiers, 1994:223) is not regarded as a primary source, as expressed by Welsh himself (De Villiers, 1994:229). However, reference to relevant discussion points will be made in this chapter.

in contextualising the *CDDR* process and in analysing the composition (by race, gender and academic background) of the *TST* and *CDDR*.

The case study material discussed in the following section was also discussed and confirmed with several of the important players of the *CDDR* process during and after the process. These included the two chairpersons, Bax Nomvete, Flip Smit and the Executive Officer of the *TST*⁴³⁸, Renosi Mokate. Follow-up comment on the subsequent *CDDR* case study and the findings of the research contained in this study were obtained from Mokate and another key player in the design of the process, Bertus de Villiers⁴³⁹. Both research documents (De Coning, 1993(b) and 1994(c)) were discussed with them, and their comments incorporated, prior to this study being started. The case study period involved three months of full-time participation; and the six months after the exercise taken up with recording the exercise accurately and publishing the preliminary findings (the author did not participate in the follow-up actions on demarcation, such as that of the Task Force⁴⁴⁰). Detailed analyses, for the purposes of this study, were subsequently pursued during 1994 and 1995. The following section focuses on the case study and the presentation of background information.

6.3 PRESENTATION OF THE CASE STUDY: BACKGROUND INFORMATION ON THE *CDDR* PROCESS

This section deals with the case study in terms of the constitutional quest for demarcation (section 6.3.1), demarcation initiatives prior to the *MPNF* initiative (section 6.3.2) and initiatives after the demarcation process (section 6.3.3). Thereafter, a background perspective to the *CDDR* process is given (section 6.3.4). Specific attention will also be given to the work programme and process followed (section 6.3.5), as well as to institutional arrangements (section 6.3.6).

⁴³⁸The *Technical Support Team* will also be referred to as the *TST*. See Appendix F for a namelist of *TST* members.

⁴³⁹Head of the *Centre for Constitutional Analysis, Human Sciences Research Council (HSRC)* and member of the *TST*.

⁴⁴⁰However, a perspective on this period is given in section 6.3.3.

6.3.1 CASE STUDY CONTEXT: THE CONSTITUTIONAL QUEST FOR DEMARCATION

Demarcation, globally, and especially in Africa, is an emotional issue characterised by political demands rather than socioeconomic rationale. South African demarcation initiatives during the latter part of 1993 showed that the territorial imperative in South Africa is alive and well. The new regions rationalise fragmented homeland boundaries, determined new electoral regions and identify the territorial building blocks for new regional government.

The regional demarcation initiative of the *MPNF* was regarded by the participating parties as a critical component for reaching agreement on a new dispensation and defining the regions. At the time (towards the end of May 1993), most parties viewed the acceptance of certain principles regarding central-regional relations as a breakthrough. The *Consultative Business Movement* initiative of February 1993 (CBM, 1993(a)) was inter alia used as a basis for discussion. Important frameworks accepted from this document included the guiding principles regarding powers and functions, regional representation in a second chamber, overriding powers and criteria for demarcation. These developments and others (such as the agreement on a constitution and elections by April 1994) made a regional demarcation necessary.

A new demarcation was needed for mainly two purposes. First, for the purposes of an election, where the need for future regional representation in the first and second chamber as well as the establishment of future provincial governments and legislatures was paramount⁴⁴¹. The second reason that a new regional demarcation was necessary, was to determine geographical units for future regional governments. It is interesting that the demarcation exercise created unintended reactions, such as a renewed identity in certain regions and a flare-up of historical conflicts in other regions. In addition to the above, parties acknowledged the importance of a demarcation exercise which

⁴⁴¹ The need for demarcation as a necessary component of the negotiating process and as part of a draft constitution is illustrated well by the debate in the Second Special Report on Confederation from the *Technical Committee on Constitutional Issues* to the *Negotiating Forum* (26 July 1993). This debate, amongst others, confirmed the concrete elements which constitute statehood and determine the nature of the state. These concrete elements are the territory and boundaries of the state; the creation and establishment of the state, whether through partition or secession; the population of the state, which implies a clear and legal definition of citizenship and the legal status of non-citizens; and the governance and legal system of the state.

would accommodate the territorial reincorporation of the *TBVC states* and the regionalisation of the then *Self-governing territories* (De Coning, 1994(c):190).

For the reasons stated above, the *MPNF* needed to initiate a process that would facilitate multi-party agreement on a future demarcation. Any process involving the revision of borders was expected to elicit emotional reactions, especially given the volatile political environment at the time. It was therefore important that the process should have the necessary legitimacy, that its recommendations would be seen to emanate from an independent body and that it would allow for ongoing amendments of boundaries, where necessary. The *MPNF* established a *Commission on the Delimitation/Demarcation of SPRs*, on the recommendation of the *Planning Committee* on Friday, 28 May 1993. The terms of reference and the names of the 15-member *Commission* were agreed upon at this meeting. The *Commission* was to report back within six weeks. The timeframe within which the *Commission* was to complete and table the report was from 8 June to 31 July 1993 (De Coning, 1994(c):189–191).

6.3.2 PERSPECTIVE ON THE DEMARCATION DEBATE PRIOR TO THE MULTI-PARTY INITIATIVE

Some trends and tendencies have come to the fore that have had a profound effect on the regionalism debate. It is apparent that the single most important trend was the influence that national negotiations had on the regionalism debate. This debate really only took off during the latter part of 1992 and moved up high on the agenda of negotiators during 1993. Although the reincorporation of the homelands was on the agenda and discussed in detail at *CODESA I and II (Working Groups 2 and 4)*, the regionalism debate really became prominent during renewed negotiations with *Multi-Party* talks early in March 1993⁴⁴².

Political parties developed regional proposals in anticipation of the demarcation process, especially during 1992. Most notably, the *National Party* proposals for seven regions (September 1992), and the *African National Congress (ANC)* proposals for 10

⁴⁴² These constitutional processes are not dealt with here in any detail, see De Villiers (1994), Friedman (1994) and Friedman and Atkinson (1994).

and 16 regions (October 1992), attracted a great deal of attention and was followed by proposals such as the *Democratic Party* discussion paper on constitutional proposals (October 1992), the draft Kwazulu constitution (December 1992) and proposals by *SATSWA* (March 1993). Of special significance was the *Consultative Business Movement (CBM)* initiative that took place during February 1993 when they facilitated a workshop and technical report on regionalism and the role of levels of government in the unfolding constitutional dispensation. The objective of the workshop was to make available to political parties and movements a report on possible options, which could serve as a common framework for national negotiations (De Coning, 1994(c):191).

Two particular factors from the pre-*Commission for Demarcation* stage that had a direct bearing on the process of the *CDDR* were the level of preparation by political parties and the prominence of regional negotiating forums. The extent to which political parties developed policy documents for the demarcation and regionalism debate, significantly stimulated and refined the debate. For example, the *ANC* policy documents showed that it had made a significant effort to elicit comment from constituents. Notably, disputes about specific areas that surfaced later, such as e.g. whether the *Free State Province* should remain a separate entity or amalgamate with the *North West Province*, and whether Pretoria should be excluded from *Gauteng*, were issues that had not featured prominently in party political debates until the process of the *Commission for Demarcation* had started. Of particular importance is the extent to which the invitation for submissions mobilised a reaction on a regional forum level and the extent to which a renewed regional identity emerged.

Comprehensive studies often preceded the preparation of submissions and this had the additional advantage of generating data and policy perspectives that could potentially be used by the forums in their development strategy initiatives. More important, perhaps, is the fact that the demarcation debate prompted the different players to agree on priorities and objectives regarding socioeconomic development in general. This often led to further research and analysis on topics such as expected public-sector transformation and change. The case study discussed in this chapter focuses on the activities of the *CDDR* (28 April to 2 August 1993). However, before discussing the case study, it will be placed in context by examining the initiatives that were embarked

upon after the demarcation process (De Coning, 1994(c):192).

6.3.3 INITIATIVES TAKEN AFTER THE DEMARCATION PROCESS

Following the debate of the *Multi-Party Negotiating Forum* on 9 August 1993, a resolution was taken mandating the two co-chairpersons, with the assistance of members of the *Commission and TST*, hereafter referred to as the *Task Force (TF)*, to carry out further work on "sensitive" areas⁴⁴³. The *TF* was in operation from 11 September 1993 (first meeting) until 15 October 1993 when the *Report* was finished and tabled at the *Multi-Party Negotiating Forum* on 18 October 1993. The *Multi-Party Negotiating Forum* debated the report on 22 October 1993 and made its final decisions on 4 November 1993⁴⁴⁴ (Nomvete and Du Plessis, 1993:1).

As was the case with the *Commission* exercise, and in line with the mandate given to the *Task Force*, the *TF* again invited various groups in the country – including political parties, trade unions and civic associations – to submit proposals in writing or orally. In addition, the *TF* collated further information and data to supplement submissions⁴⁴⁵. As discussed above, the second process (undertaken by the *Task Force*) of inviting submissions and drafting a detailed technical report, could not have been done in the first exercise – mainly because of the time constraints. The *post-Commission* exercise elicited important public reaction on the first report. In addition, it improved the range and quality of technical options available⁴⁴⁶ (Nomvete and Du Plessis, 1993:1–5).

The *Interim Constitution*, which was agreed upon on 18 November 1993, contained first, the nine newly demarcated regions as specified in *Article 124 (1) (Chapter 9)*, the boundaries of which are defined in *Schedule 1*. Secondly, it stipulated that the

⁴⁴³ Flip Smit did not make himself available as chairperson to the *Task Force*. Du Plessis was appointed as co-chairperson with Bax Nomvete.

⁴⁴⁴ The activities of the *TF* should be seen as follow-up work to the report of the *Commission* as "the purpose of this report is not to redraw boundaries flowing from the *Commission's* report but to provide further information ..." (Nomvete and Du Plessis, 1993).

⁴⁴⁵ In the light of the time constraints under which the *Commission* conducted its work, it is surprising that these circumstances were repeated by the *Task Force*. Although the resolution was taken on 9 August 1993, the *TF* met for the first time only on 11 September 1993, more than a month later. A total of 467 written submissions and 177 oral hearings had to be handled, analysed and evaluated in addition to the large volume of oral and written submissions that had already been handled by the *Commission*.

⁴⁴⁶ The hearings were to take place from 21 September to 2 October 1993 and were held in Welkom, Kokstad, East London, Vredendal, Calvinia, Hartswater, Klerksdorp, KwaNdebele, Pretoria and in Kempton Park, at the World Trade Centre (see Nomvete and Du Plessis (1993) for further details).

Commission on Provincial Government was to submit recommendations to the *Constitutional Assembly* on the finalisation of the number and the boundaries of the *Provinces of the Republic* (Article 164, section 2 (a)). Thirdly, it was specified that the future amendment of boundaries would require a two-thirds majority in the *Senate* (Article 73 (2)). Fourthly, the criteria for demarcation were specified (Article 164, section (3)), and fifthly, it specified that identified areas would hold referenda to ensure popular legitimacy (Article 124) (De Coning, 1994(c):219). Important demarcation issues not included in the *Interim Constitution* were that an exercise to ensure popular legitimacy was not envisaged, and that the composition of future demarcation commissions or similar bodies were not included in the *Interim Constitution*. Specific timescales by when amendments were to be finalised were also not included in the *Interim Constitution*.

6.3.4 APPOINTMENT, WORKING PERIOD AND TERMS OF REFERENCE OF THE CDDR

The *Commission for Demarcation and Delimitation of Regions* (CDDR) was appointed by the *Multi-Party Negotiating Forum* on 28 May 1993, held its first meeting at the *World Trade Centre, Kempton Park* on 8 June 1993, and officially met five times during its working programme (see Figure 6.2). The *Technical Support Team* (TST) was appointed by the *Commission* on 24 June 1993, met for four official working sessions (subgroup activities excluded) and functioned for the remaining period of the *Commission* until 2 August 1993 (De Coning, 1994(c):193; and CDDR, 1993:1-3).

Apart from the two co-chairpersons, 13 members were appointed from an original nomination list of 150⁴⁴⁷. Given the technical nature of the *Commission's* work, it was decided that a distinction should be made between two categories of support staff; administrative and secretarial support staff provided by the Administration of the *MPNF*; and technical support staff with expertise required to support the *Commission* in its task. The *TST* assisted the *Commission* until the final report was finalised (31

⁴⁴⁷ See Appendix E for a list of the CDDR members. Quite an extensive debate took place at the *MPNF* on the selection of *Commission* members (see Welsh, 1994:225).

July 1993). The appointment of both the *Commission* and the *TST* members⁴⁴⁸ followed lengthy and yet necessary debates on who should serve.

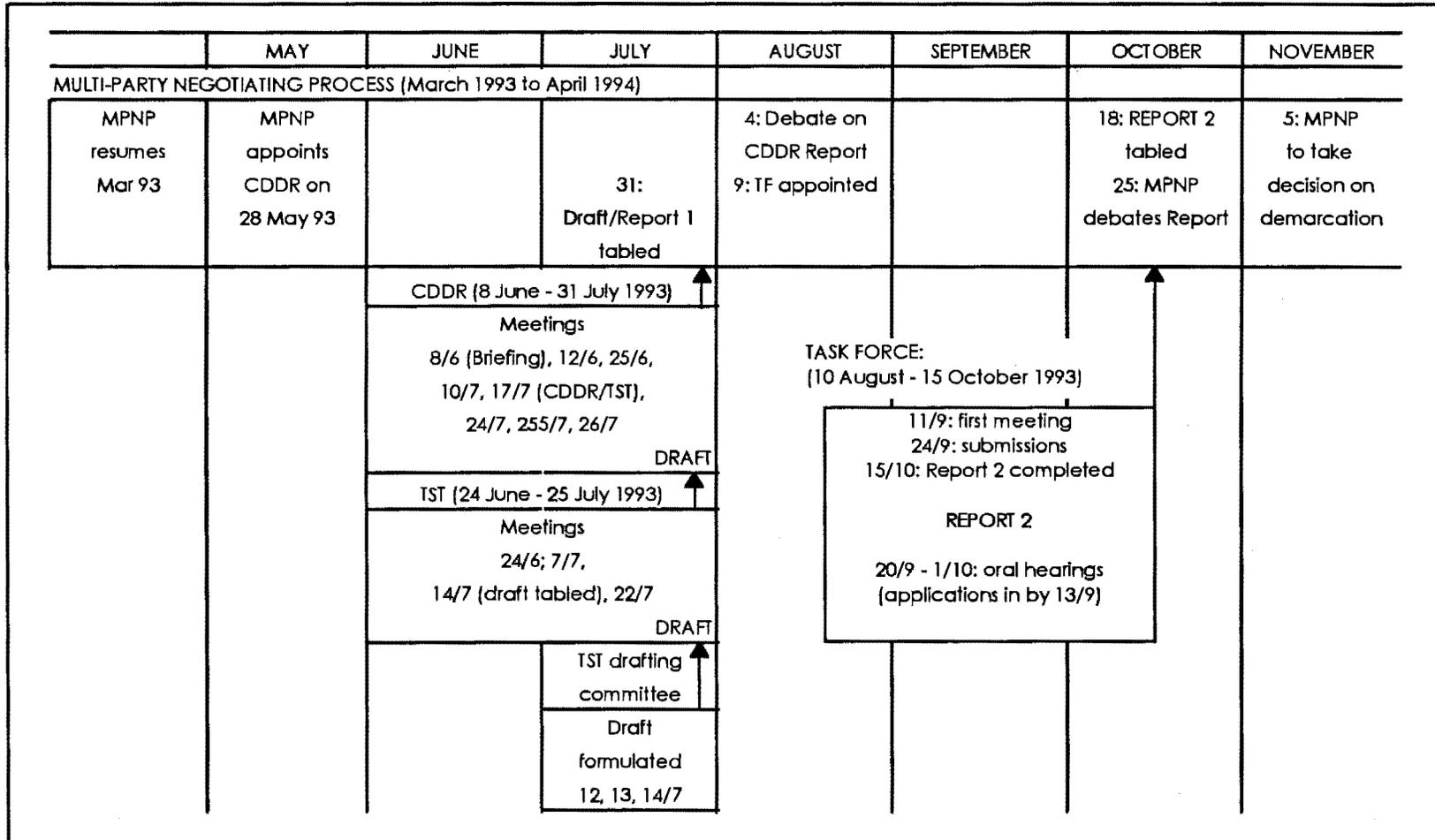
The terms of reference (brief) of the *Commission* was issued on 28 May 1993 with the appointment of the *Commission*. In summary, the brief given by the *MPNF* to the *Commission* was that it should make recommendations on the demarcation of provincial boundaries in South Africa, while keeping in mind that regional boundaries would be relevant to the electoral process⁴⁴⁹ (De Coning, 1994(c):193; and CDDR, 1993:4).

Although the *Commission* did finish its work during the six-week period, it is clear that it faced a daunting task in attempting to establish an open and accessible process in the face of serious time constraints. Similar exercises in other countries were carried out over substantially longer periods of time. The *Commission* was also aware that it was functioning within a volatile political environment, which heightened sensitivity around regional boundary issues. A number of specific issues that had an effect on the *Commission's* work should be highlighted: the limited period of time allowed for the work of the *Commission*; the lack of clarity regarding powers and functions; and the vagueness of concepts such as "soft boundaries" and "subregional areas". Clarifying and interpreting the brief were two important steps in a process of this nature.

⁴⁴⁸ For a list of the members of the *TST*, see Appendix F.

⁴⁴⁹ It should be noted that the question of structures, powers and functions of regions was not included in the *Commission's* Terms of Reference, but assigned to the *Technical Committee on Constitutional Issues*. The *Commission* was furthermore mandated to "hear representations from the public at large and from different areas of the country". In addition it was to "allow interested parties and persons to submit their views within a specific period, ... not less than one month after an invitation" The *Commission* was also mandated to take cognisance of any material it might wish to collect and of any progress made in the *Negotiating Forum* by way of agreements on constitutional matters.

**FIGURE 6.2 : PROCESS OF THE COMMISSION FOR DEMARCATION AND DELIMITATION OF REGIONS:
CHRONOLOGICAL ORDER OF EVENTS**



The time factor clearly affected the extent to which attention could be given to each of the essential steps of the *Commission's* work⁴⁵⁰ (De Coning, 1994(c):195). Clarity about the power relationship between future central and regional governments and the allocation of exclusive and concurrent powers and functions would have made the task of the *Commission* much easier⁴⁵¹.

The *Commission* noted a number of submissions that referred to subregional arrangements. However, it was not clear what was intended or envisaged by such subregional arrangements and further investigation was therefore considered necessary. The *Commission* was of the opinion that the diversity and particular development needs of local communities deserved investigation (De Coning, 1994(c):196). A related issue was that of soft and hard borders. The *Commission* accepted from the beginning that borders would have to be soft (allowing for the freeflow of goods and services). The powers and functions as well as the level of "independence" of regions had ideally to be taken into consideration (De Coning, 1994(c):196).

The *Commission* also pointed out that in terms of international experience⁴⁵², provision needed to be made for alterations of boundaries according to procedures provided for in the *Interim Constitution*. The second aspect of soft boundaries referred to by the *Commission* has to do with the importance that regional boundaries should not unduly affect the free flow of individuals, traffic, goods, capital and services.

6.3.5 WORK PROGRAMME AND PROCESS FOLLOWED

The work programme consisted of three stages: first, gathering information and hearing evidence (8 June–6 July 1993); secondly, processing evidence (15 June–13

⁴⁵⁰The time factor had unforeseen benefits, such as the initiation of a second process which allowed the public to respond with more articulate submissions, and the preparation of a more elaborate technical report by the Task Force.

⁴⁵¹An asymmetrical model which would allow for different powers and functions to be managed by the different regions was considered. Depending on the powers and functions which regions would have to manage, factors such as institutional capacity were important factors to be considered. The *Commission* worked on the assumption that all regions would have strong legislative and executive powers.

⁴⁵²The single most important impression of *Technical Support Team* members was that lessons of the international experience were scarce and if they existed, not readily available. A discussion document was developed on the issue and included in the final report.

July 1993); and thirdly, preparing the final report (14–26 July 1993)⁴⁵³. During stage one the *Commission* made the decision to invite interested parties and persons to submit evidence to the *Commission*. The *Commission* made a media statement on 8 June 1993 inviting interested parties to make submissions to it by no later than 6 July 1993. This was done through the media, both printed and electronic, as well as through the participants in the *MPNF*. The *Commission* stated a preference for written submissions, but indicated that parties and persons were free to apply for permission to make oral submissions⁴⁵⁴ (CDDR, 1993:5; and De Coning, 1994(c):197).

Although it was felt by many that information should have been gathered from a broader spectrum of players, especially as far as the analytical efforts of the *TST* were concerned, wider consultation did take place with organisations such as the *Medical Research Council (MRC)*, *CBM* and *DBSA*. Consultation by various members of the *CDDR* with political parties also widened the spectrum of consultation. Political consultation was extensive and influenced the choice of options, but little is known about the nature of these debates as the information was not disclosed at the time.

In the second stage, the *Commission* and the *TST* processed the information that had been gathered. In practice, the recording, ordering, copying and distribution of written submissions were handled by the administrative secretariat. Members of the *Commission* took evidence with the support of the administrative secretariat. Submissions were evaluated, in the first round, by the *TST* in accordance with the framework for analysis. In this process several drafts were developed for discussion: first by the *Drafting Committee* of the *TST*; then by the *TST*; and finally by the *CDDR Drafting Committee*. This process is of special significance to the study and will be dealt with in greater detail below. Stage three consisted of the preparation of the final report (also see Figure 6.3). The *Commission* debated several drafts and employed their *Drafting Committee* in drafting the final chapters of the report (De Coning, 1994(c):197).

⁴⁵³ See the *MPNF Memorandum*, dated 8 June 1993.

⁴⁵⁴ Given the issues at stake, it was further decided that the *Commission* would receive submissions and hear evidence at the World Trade Centre and other parts of South Africa. Following an evaluation of the areas from which requests for oral submissions had been received, sittings of the *Commission* were arranged in Cape Town, Port Elizabeth, Durban and Umzimkulu.

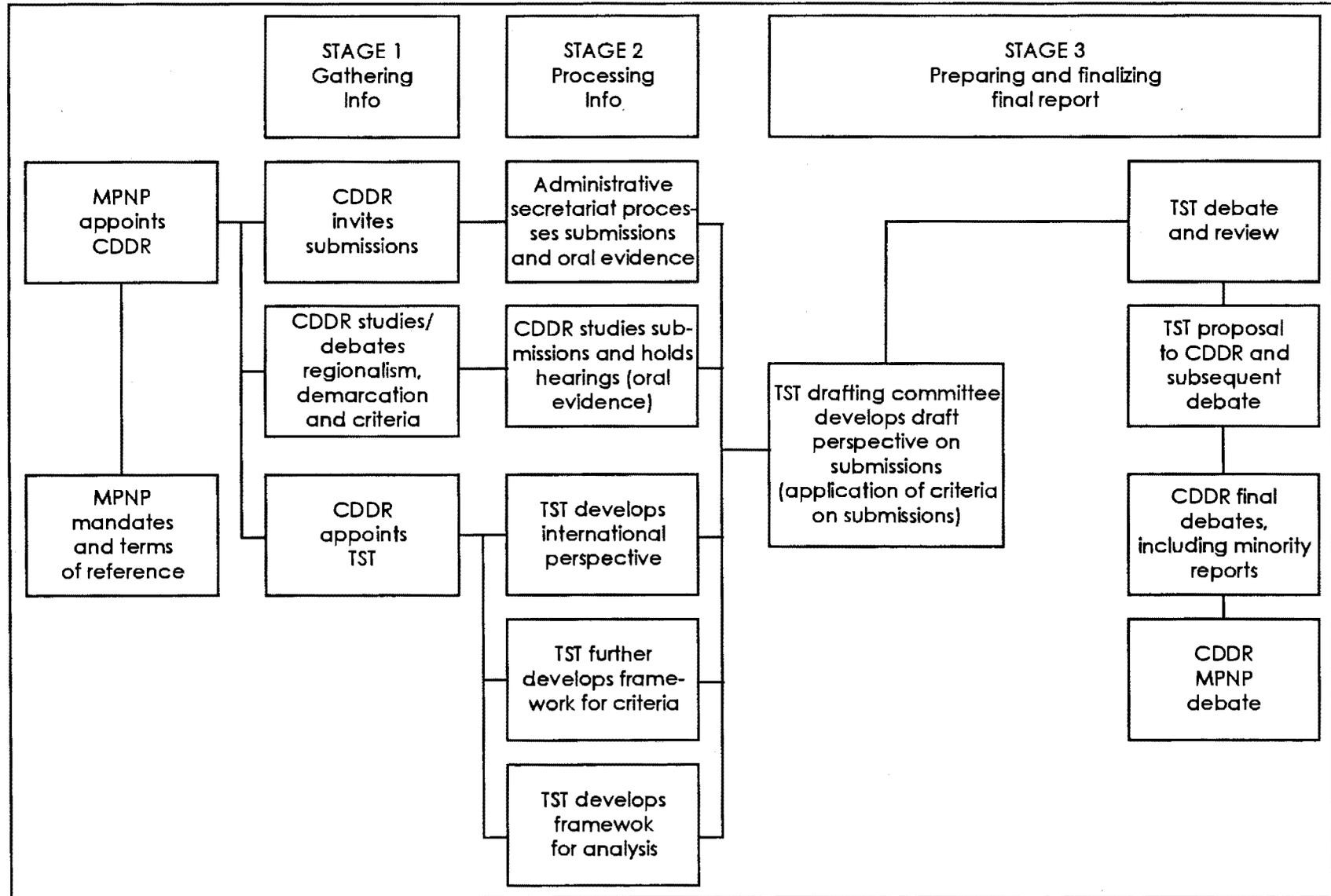
The framework for analysis was a critical management tool during the analysis of submissions. First developed by the *Drafting Committee* of the *TST*, the framework for analysis was used by the *TST* and then the *Commission* as a point of departure. The framework for analysis comprised three basic steps. First, the framework used the nine development regions as a basic point of departure because the majority of submissions were based on this demarcation. The *Commission* did not in any way propagate or favour a view that these regions constitute the only framework for analysis. Rather, this approach was used as an analytical tool to identify pertinent areas of consensus and dispute in the submissions. Secondly, the framework identified areas of agreement and disagreement. Thirdly, once the key areas of consensus and dispute had been identified, they were categorised into regional, subregional and local issues⁴⁵⁵ (De Coning, 1994(c):212–214).

The *CDDR* debates on criteria and regional issues could have been much more focused. Although a theoretical discussion was necessary, this debate went on far too long before criteria were applied to submissions. The *TST* was, in retrospect, appointed at far too late a stage. Future exercises of this nature should note that a fully fledged multidisciplinary team should be considered from the start. The appointment of policy analysts and an advisory panel could also have added value (De Coning, 1994(c):206).

Of special significance, and a major shortcoming, was the limited opportunities that the *TST* had to develop options in consultation with the *Commission*. With regard to especially the international experience and the framework for criteria, few perspectives were derived from inputs generated by the *Commission*.

⁴⁵⁵An explanation of the meaning of these concepts is necessary. “Regional” issues were those which concerned the demarcation of a region as a whole. The concept of “Development regions” was used as a point of departure. Subregional issues were those which concerned the inclusion or exclusion of a subregional area in a particular region. Local issues were those which concerned the inclusion or exclusion of a magisterial district, city or town in one region or another.

FIGURE 6.3 CRITICAL STEPS IN THE CDDR PROCESS



The development of a framework for analysis presented a critical breakthrough in the process. Had this been done earlier, the *Commission* would have been in a much better position to develop the perspective on submissions. The role that minority reports played can be regarded as functional in identifying specific issues that required further attention. Issues identified by the respective minority parties did sensitise the *Commission* on particular issues. The opinions expressed in both minority reports could have been accommodated more appropriately, especially during the early phases of the exercise⁴⁵⁶.

The *Commission* was particularly concerned about the inadequacy of local community involvement in the process⁴⁵⁷. It was clear from the start that comprehensive consultation was not going to take place with all communities. Two important lessons can be learnt from this. First, adequate time should be allowed for communities to respond and prepare submissions but also to elicit consolidated views amongst themselves. Secondly, a process of this nature should allow for further processes for the amendment of boundaries through which all communities can be consulted and which would allow for detailed consultation at that level. It should be noted for future purposes that land claims and other local disputes, although important and relevant, have the potential to sidetrack regional demarcation debates.

Many presentations used the criteria provided by the *Negotiating Forum* as a basis for arguing their case⁴⁵⁸. The *Commission* observed that a significant number of submissions used the nine development regions as a point of

⁴⁵⁶ An investigation should be undertaken to ascertain how minority reports can best be handled and how such efforts can best be accommodated.

⁴⁵⁷ Following the media statement by the *Commission* on June 8, 1993 – which invited all interested individuals, parties and interested groups to make written and oral submissions on the demarcation of regions – and despite the short time that was available for submissions to be made, the *Commission* received 304 written submissions and heard a total of 80 oral presentations at various centres around the country. The *Commission* was generally impressed with the high standard of submissions, especially given the limited time available for the preparation of submissions.

⁴⁵⁸ This approach has facilitated a rational rather than an emotional process. Several submissions, especially those of a technical nature, recommended to the *Commission* that issues not necessarily pertinently expressed in the *Commission's* criteria be taken into account. These included environmental concerns, development considerations and other technical issues. These considerations enriched the understanding of the *Commission* regarding dimensions that had to be considered in the demarcation.

departure. All submissions to a greater or lesser extent proposed some alterations to the development regions. The *Commission's* request for the opinion of the public at large was clearly one of the most important steps of the *Commission's* work. Given the need for a legitimate process, sensitivities regarding regional identities and the need for a participative exercise of this nature, generally, it was of the essence that the *Commission* elicit comment that would be regarded as representative and that could be used as the basic building blocks for an acceptable demarcation proposal.

Clearly the response, written and oral, was overwhelming and comprehensive. Overseas experts in the field, such as Uwe Leonardi, were amazed by the magnitude and content of submissions. This trend continued after the *CDDR* initiative when the *Task Force* received more than 400 written submissions in reaction to the first report (De Coning, 1994(c):207).

In interpreting the terms of reference of the *MPNF*, the *Commission* categorised the criteria provided into four broad groups, namely economic aspects and geographic coherence, institutional and administrative capacity, and sociocultural issues. Numerous debates took place on the nature of criteria, and interrelations and considerations regarding the application of criteria (*CDDR*, 1993:17–22).

In conclusion, three issues warrant further attention and may offer lessons of experience for future exercises of this nature. First, debates on the framework for criteria were extremely theoretical until the stage where criteria were applied to specific regions and definite alternative permutations. Secondly, a debate on criteria seemed to be more balanced and accommodating if it acknowledged that major dimensions of criteria, such as institutional or economic, are made up of various factors that may influence the applicability of a particular criterion. Thirdly, it was clear from the debates that important development indicators could be used to apply criteria.

The crux of the process was, undoubtedly, the development of the various drafts of the perspective on submissions which entailed the actual application of

criteria on submissions. Drafting drafts as a technique has been used, not only with the development of the various constitutional agreements, but also in policy processes at national sectoral policy forums as well as regional negotiating forums. This is in fact what transpired with the drafting of the constitution during the *MPNF* process and with Bills such as that of the *TEC*, where the final draft was preceded by 17 drafts for discussion. It is possible to improve the drafting of drafts by considering the content and by making decisions concerning what should be included in drafts beforehand (De Coning, 1994(c):214).

Technical Support Team debates on drafts showed that preferences were decided upon by the majority of the group and that minority views were lost. It was the responsibility of the *Technical Support Team* to generate such options (arguments for and against) to allow the *Commission* to play its rightful role, namely to use such options and debate preferences. These processes could be handled better in future, which may make a second process unnecessary. The prominence of the perspectives which were laid down with the development of first drafts is significant, i.e. the content of first drafts, with regard to both the *TST* and *Commission* did not change radically once formulated. Although the nature of these first drafts may have been fairly close to a compromise position in the first instance, drafters had to play "devil's advocate" in generating a first option. The technique of using *Drafting Committees* on an ongoing basis to edit drafts worked well as some continuity in the rationale of what drafts contained, was achieved.

Another process factor that could be reviewed in future, is that the report of the *TST* should have been regarded as a technical report in its own right and that the same report should not necessarily have been adapted to become the *Commission* draft. This would have enabled the *TST* to differ from the *Commission* on technical issues and allow the *Commission* to produce its own report. Such differences would have allowed both bodies to better articulate specific viewpoints and accommodate minority views. In this way it becomes possible to develop a technical report on an ongoing basis and it can then act as

a source to inform the *Commission's* draft as the debate develops (De Coning, 1994(c):214 and 215).

Over and above the use of drafting drafts as a technique in *TST* and *Commission* processes, this tendency actually continued with the reaction of the *MPNF* and second report⁴⁵⁹. For future reference, when acknowledging that the process for the amendment of boundaries is ongoing, even "final" recommendations and decisions on demarcation remain a draft on which interested parties will react, apply pressure and debate on an ongoing basis. In this regard it is quite clear that the *Commission's Report* of 31 July and subsequent initiatives which culminated in the *Report of the Task Force* (15 October), both served this purpose.

6.3.6 INSTITUTIONAL ARRANGEMENTS

The *CDDR* and *TST* were undoubtedly aware that the task at hand was critically important and that the brief was highly unique. Participants knew that the initiative was in the interest of the country as a whole. As such, and especially in the light of the importance of a successfully negotiated settlement, the *Commission* and *TST* regarded their task as one of the building blocks of negotiations. In comparison with similar demarcation exercises elsewhere in the world, it was also highly exceptional that a *Commission* of this nature be allowed only six weeks to accomplish its task. As a rule, the understanding and relationships between members were excellent. These factors, although easy to overlook, led to a very constructive atmosphere and a positive attitude to the task at hand.

Planning and management arrangements were discussed openly throughout by the *Commission and TST*. Perhaps the single most important factor to be considered in future exercises of this nature is the respective roles and

⁴⁵⁹ Using drafts as a technique needs to be explored further as much potential exists to improve policy analysis and formulation efforts and negotiation initiatives broadly speaking. Drafts actually function as an instrument for policy testing by sensitivity analysis. Important comparative lessons may exist and more scientific approaches in terms of facilitating such drafts need to be investigated.

responsibilities of the *Commission* and the *TST*⁴⁶⁰. It is the role and responsibility of a commission to make recommendations on a future demarcation and it is the role of a technical support team to provide a commission with the necessary technical support. It is important to observe that a balance needs to be struck between technical and scientific arguments and sociopolitical qualifiers (De Coning, 1994(c):200).

The *CDDR* exercise has shown that a demarcation exercise, and any decision on a particular boundary, can never be a purely scientific exercise. Sociopolitical considerations, especially in the South African environment, are important and it is the role of a commission to take such factors into account. Although the *Commission* and *TST* had a good working relationship, some concerns, especially from the *Commissions* side, did exist with regard to the role of the *Technical Support Team* during the process⁴⁶¹.

The roles that the respective *Drafting Committees* played in establishing drafts were critically important. The *Drafting Committees* had significant positional power in establishing first perspectives. As such, the *Drafting Committees* had considerable opportunities to establish from a clean slate, first impressions, options and preferences. First drafts also served to draw criticism and to identify important differences and common ground. As such, first drafts could establish a framework that could accommodate different views rather than isolate and marginalise important factors (De Coning, 1994(c):200).

The use of subgroups within the *Technical Support Team* proved extremely useful⁴⁶². Subgroups consisted of firstly, appointed *Drafting Committees*, secondly, interdisciplinary teams allocated to attend to specific regions or

⁴⁶⁰ For a discussion of the composition of the *CDDR* and the *TST* on the basis of gender, race and qualifications, see Khosa and Muthien (1994:7–10).

⁴⁶¹ Typically, the fear was that the *Technical Support Team* had the potential to steamroller certain proposals. Although this did not happen in practice, the draft of the *Technical Support Team* had a profound effect on the final recommendations of the *Commission*. Similarly, *Technical Support Team* members were concerned that technical recommendations could simply be altered by the *Commission* without proper consideration of scientific facts. For the purpose of improving exercises of this nature in future, it is important that this issue be placed on the agenda for discussion and an understanding be reached on the respective roles of these bodies.

⁴⁶² A significant number of *Technical Support Team* members participated in a trail-run with the *CBM* exercise on regions during February of the same year where similar techniques were used.

thirdly, subgroups consisting of specialists in sectoral areas, for example on economic or institutional development. Although more difficult initially, as members may differ on basic issues for extended periods, subgroups have the advantage of developing common frameworks. Individuals who prefer developing documents on their own as inputs to drafts such as those discussed above, often have problems in gaining acceptance for ideas which have not been thoroughly discussed in group context (De Coning, 1994(c):201).

A debate (or lack of it) worth mentioning, is that of how decisions were to be made by the *CDDR*. It was accepted that decisions were to be based on consensus rather than voting. Although this transpired in practice, exceptions were made in the case of the decision to send a delegation for the Umzimkulu hearings, where the *Commission* was divided on the issue. A second example was the voting over the Northern Cape issue. A third example was that minority reports were included in the *CDDR* report. Given that the *TST* had very limited contact with the *Commission* prior to the debate on the *TST* draft, a factor worth mentioning is that the participation of the *Commission's* drafting committee in all the *TST* debates improved communication and understanding from the *Commission's* side as to what the *TST* was trying to do and what considerations played a role in determining a first draft (De Coning, 1994(c):202).

With regard to information management it was clear that an undirected search for data was not going to assist the *Commission*. The *TST* argued that the framework for criteria needed to be established and actual indicators determined (for example, GGP per capita as an indicator of economic growth). Such indicators had to be agreed upon by the *Commission* and very specific information obtained. The original understanding that the simple collection of data would contribute anything to the debate turned out to be somewhat ongoing of nature (to the frustration of *TST* members, even in final debates). In the final instance, a range of development indicators were developed and they were made available on the basis of the alternative regional scenarios

under discussion, as determined by the framework for analysis⁴⁶³. Information analysts were not appointed in addition to policy analysts. Although this was a recommendation from some members of the *TST* to the *Commission*, it did not transpire. Given the specialised nature of information analysis in present times, it is proposed that for future exercises of this nature such an option be seriously considered⁴⁶⁴.

An important facet concerning information generation and dissemination which should be highlighted and which may prove important to other future demarcation initiatives locally and abroad, is that it proves problematical to use information from different sources. The validity of the information should be acceptable to all parties. Confirmation of the validity of several sources of information may also be time consuming as different methodologies are often employed to arrive at estimates and figures. It may be necessary to make use of other sources of information that are of a highly specialised nature and that are not obtainable elsewhere. It is absolutely necessary to make use of comparative analysis of information. For this purpose it is essential that figures be compatible and that the same information basis is used. It often happens that available figures differ also in terms of the date to which they apply and "rough estimates" to counter these may lead to a skewed picture.

In general terms, the quality of administrative support was excellent. Two issues are particularly important. First, the support to the *Commission* and *TST* involved a range of administrative and logistical activities. These included the setting up of meetings, arranging the work programme, numerous

⁴⁶³ These indicators were helpful but did not contain adequate social indicators, nor (and this may be an area where similar exercises can be much improved) did they contain sufficient information on a magisterial level where detailed information was often required to inform decisions on specific issues. On the latter issue, one should perhaps not neglect to state the obvious, which is that one should accept fairly early in the process, a basic unit, preferably the smallest, such as magisterial districts in the South African experience, on which demarcation models can be based and information reconstructed (De Coning, 1994(c):202).

⁴⁶⁴ The *Development Bank of Southern Africa (DBSA)* was used as a source for most of the information needs. Information analysts serving on the *Technical Support Team* and exposed to the actual demarcation debates, would have been in a much better position to determine exactly what was needed and what indicators to use. Similarly, information was often not available and needed to be reconstructed on the basis of basic data banks. Such exercises could have been proactively initiated if information analysts had been part of the process.

administrative tasks, the distribution of documents (by courier), the organising and recording of oral submissions, the processing of written submissions (more than 700 in both processes), the copying and distribution of a significant volume of source material, correspondence and media liaison. Secondly, it was of critical importance that the activities of the *Commission* were accurately recorded as these may be of value at later stages for analytical and research purposes. As discussed in section 6.1, the following section will attempt to approach the case study through the phased framework of the generic process model.

6.4 APPLICATION OF THE GENERIC PROCESS MODEL

6.4.1 INTRODUCTION

The discussion in the previous section provides a perspective on the case study of the *CDDR*, and places a special emphasis on the initiation of the *Commission*, the process followed by the *Commission* and the institutional arrangements necessary to manage the process. This section will focus on an illustration of the application of the phases and key considerations of the generic process model to this case study. In particular, the key considerations identified in the theoretical discussion of this topic (Chapter 4) will be used to evaluate the *CDDR* process and its institutional arrangements.

6.4.2 INITIATION AND DESIGN

The key considerations for the initiation phase (see sections 4.3 and 4.4.1, Figure 4.7, and Appendix C) which, in some instances were phrased as key requirements, included mandate and legitimacy, consultation with key players, preliminary objective setting and the rules of the game.

Regarding mandate and legitimacy, the discussion in section 6.3 shows that the demarcation process took place under very special circumstances. The demarcation exercise was perhaps the first legitimate exercise of its kind in South Africa in a very long time, if not for the first ever. Legitimacy, mandate and participation problems were the major stumbling blocks for sound policy-

making processes for many decades in South Africa. The discussion of the case study (section 6.3) shows that the demarcation process was initiated and facilitated in the context of legitimate political and constitutional change. This discussion points out that in the light of irreversible political change, the regional demarcation initiative was symbolic of such change. The *CDDR* as appointed by the *MPNF* was therefore seen as legitimate by most. The *Commission* did receive a legitimate mandate with a realisable objective. The reasons for the exercise (to answer the why question put to any policy exercise) are discussed in section 6.3.1 and the rationale can be summarised as follows: it was a necessary part of the preparation for holding an election; to identify geographical units for the new regional governments; and to rationalise historical boundaries.

It is clear that representativeness was an important consideration. It is interesting to note that the numerous debates (referred to in section 6.3.4) on the appointment of *Commission* members resulted in technical and political criteria playing a role in their selection. For the purposes of this exercise the *CDDR* is regarded as having been representative. The nature of the public debate on demarcation prior to and during the demarcation exercise is important. Such a debate informs the process and allows role players to debate and develop particular options. The *CDDR* made a very special effort to elicit public opinion (see also the discussion on submissions and oral evidence) and these were widely reported in the press⁴⁶⁵. Although it is easy to disregard the obvious, this effort should not go unnoticed and some valuable lessons may be learnt in this regard.

Although the initiation phase of the process largely met the key requirement of legitimacy, a number of areas proved to be problematical. Vital time was lost in appointing both the *CDDR* and the *TST*. In addition, the *MPNF* ran a reasonably high risk in providing the *CDDR* with limited time period in which to complete a complex task. This aspect, over and above certain shortcomings regarding the terms of reference (discussed below), could have been managed

⁴⁶⁵ This study does not make use of press reports and media statements as sources of information.

far better. This trend is also evident in other South African policy exercises. Politicians, forums or commissions endlessly debate the context of certain issues and appoint technical teams to do the option generation only at a very late stage. This practice of employing technical work programmes that run parallel and concurrent to political debates should be given greater consideration in future⁴⁶⁶. Over and above the limited time period involved⁴⁶⁷, other shortcomings of the terms of reference were the lack of clarity regarding the powers and functions accorded to regions and the vagueness of concepts such as soft boundaries and subregional areas. Future exercises can benefit from allowing a commission of this nature the opportunity to interpret the terms of reference in open debate with the decision-making body. Such a body should also be flexible enough to amend the terms of reference if necessary. Ongoing opportunities should also be provided for consultation with such a body. Lastly, in terms of the other key considerations of the initiation phase (preliminary objective setting and rules of the game) it is clear that the preliminary objective setting was reasonably adequate. It is of interest to note that the *MPNF* went so far as to specify the criteria for demarcation, an issue which could typically have been left to the *Commission*. This was illustrated when the *CDDR* reviewed the criteria (thereby redrafting the terms of reference to some extent). A brainstorming exercise between the *MPNF* and the *CDDR* on preliminary objective setting may have been of benefit. The terms of reference were reasonably clear for a *Commission* of this nature⁴⁶⁸. The legacy of “sufficient consensus” also extended to the *CDDR* level. Guidance on this issue and clearer rules on how decisions were to be made would have been of

⁴⁶⁶ It is recommended that future regional demarcation exercises, appoint a representative commission or similar body which is regarded as neutral and has the necessary expertise. In addition it is essential that a multidisciplinary support team of specialists be appointed to support such a body with technical issues. The appointment of information analysts and an advisory panel may also prove worthwhile. Adequate administrative support staff and structures should be appointed.

⁴⁶⁷ In a discussion with Fick on 14 October 1995, he pointed out that limited time was a general aspect of South African policy-making initiatives and that policy exercises should come to terms with it.

⁴⁶⁸ With regard to future demarcation efforts specifically, it is recommended that the brief should be clear, interpreting the brief an ongoing process, and that adequate time should be allowed to ensure meaningful consultation. The brief should contain a framework for criteria, the mandate to elicit public opinion at large and specific direction giving details concerning the powers and functions of regional government, the envisaged nature of subregional arrangements, soft or hard borders and allow for an ongoing process for the amendment of boundaries.

benefit. It is of interest to note that the shortcomings of the initiation phase described above had a profound effect on subsequent phases⁴⁶⁹.

The key considerations for the design phase are discussed in sections 4.3 and 4.4.2, Figure 4.7 and Appendix C. These included agreement on the process, agenda and objective setting, institutional arrangements and policy-project planning. The *Commission* did give attention to the design phase (see Figure 6.3) but it did not give enough attention to the planning of these areas. In particular, it had difficulty in deciding how boundaries should be drawn up. It was not until the *TST* was appointed that a framework for analysis was determined. The most significant shortcoming in the work of the *CDDR* was that the stages were not planned in greater detail. Apart from the delay in appointing the *TST*, institutional arrangements worked remarkably well (institutional arrangements are discussed in section 6.6). Some observations on particular elements are necessary.

The work programme of the *CDDR* (discussed in section 6.3.5) covered all the necessary stages but did not preplan these thoroughly. If the framework for analysis had been available during the design phase, much more time would have been available for analysis of options, also by the *CDDR*. During stage one, the initiative by the *CDDR* to elicit public opinion, by inviting submissions and hearing oral evidence, was vital and proved successful in the end. In essence, agreement at the *CDDR* level on the process was not unanimous, as is obvious from Ann Bernstein's minority report (see *CDDR*, 1993). Policy-project planning was of a reasonably high standard. This is probably so because experienced existing capacities were used. This support and planning capacity included the *MPNF* secretariat (with Theuns Eloff from *CBM*), a newly appointed secretariat and administrative back-up from the *Department of Constitutional Affairs*. Logistical arrangements, financial management and the administrative arrangements were of a reasonable standard. Given the volume of submissions, adequate logistical, financial and administrative support was

⁴⁶⁹ Although these shortcomings of the *CDDR* exercise were not severe, it is clear that major shortcomings, such as ones affecting legitimacy or representativeness, would seriously jeopardise an exercise of this nature.

vital for the success of the *CDDR*. As stated in section 6.3.5, the scanning of the international experience and literature was a disappointing experience with very few practical lessons being found⁴⁷⁰. This brings the discussion to the critical component of the *CDDR* methodology, namely a framework for (options) analysis which would bring the submissions and the criteria together. As this element involved a technique for considering options, its use will be discussed in the next section.

6.4.3 ANALYSIS AND FORMULATION

The key considerations and requirements of the analysis and formulation phases are discussed in section 4.3, Figure 4.7, Appendix C and in sections 4.4.3 and 4.4.4, respectively. The key considerations identified for the analysis phase included issue filtration and prioritisation, options analysis, the determining of consequences, making predictions and the making of a set of value judgments. The key considerations identified during the formulation phase included consideration of the report format, confirmation of the content and the preparation of proposals.

The breakthrough in policy process facilitation occurred when the framework for analysis was developed as a management tool. The framework enabled the *TST*, and later the *CDDR*, to approach submissions in a systematic manner and to identify logical units for analysis. The framework for analysis also operationalised the criteria debate which had been purely theoretical up to that point. As stated in section 6.3.5, the *TST Drafting Committee* developed a first draft based on this framework. This allowed the different technical specialists to generate options around the various scenarios. The *CDDR* and the *TST* were, prior to this intervention, paralysed as far as option generation was concerned⁴⁷¹.

Much can be said about options analysis. The *TST*, especially, had dynamic

⁴⁷⁰ The apparent lack of methodological frameworks for demarcation processes was one of the reasons for initiating this study.

⁴⁷¹ This state of affairs illustrates the value of process facilitation as a management tool and the value of focusing on process dynamics specifically.

individuals who put a significant effort into analysing and addressing the various options and themes. Their analysis could have been more detailed. The work around determining consequences and making predictions was extremely limited. The work done by Johan Du Pisanie (of the *Department of Economics, UNISA*) when calculating the financial cost per provincial administration is particularly noteworthy. A considerable effort was made to analyse as well as prioritise criteria (note the weighing of criteria debate).⁴⁷²

Developing a common terms of reference for criteria was a vital step. Once confronted by endless options on borders, and once confronted with existing borders, a thorough and common understanding of how criteria were to be applied proved to be important. A debate on demarcation options often necessitated a review of what was understood by criteria. A particular lesson, which will not be dealt with here in detail (see De Coning, 1994(c):214) is the development of drafts as a technique in negotiation. This technique has proven worthwhile for the purposes of policy process facilitation. The confusion between technical options and political preferences reflected in the *Commission's Report* is unfortunate when compared with the work done by the *TST* (see the discussion section 6.3.5). Future exercises of this nature should regard technical inputs as technical inputs. This realisation may have allowed the *TST* to do options analysis more freely and also develop more options as to which choices could be made. It is proposed that the role and responsibilities of technical experts vis-à-vis "political" representatives be debated and understood during the design phase of such a process. In future exercises, the neglect of this factor may seriously impede the effectiveness of technical capacities to do option generation (that is, developing more than one option) so that a set of value judgments can be made⁴⁷³. In general terms, this is also the risk faced by politicians in employing policy capacities (see Chapter 3).

The report format, perhaps owing to the creativity of the drafting teams, was

⁴⁷² The detail of the arguments for particular regions and current reality in terms of demarcation criteria is not discussed here. Both official reports deal with these in great detail, see CDDR (1993); and Nomvete and Du Plessis (1993).

⁴⁷³ This is an important issue which receives further attention in the discussion on the institutional arrangements, section 6.5.

not regarded as problematical. Reasonable consensus existed as to the major components and its contents. It may profit future exercises of this nature to develop the framework (literally the “table of contents”) for its report fairly early in the process (such as during the design phase) as doing so forces participants to focus on critical components such as the strategic context, objectives, principles, the prioritisation of policy issues, option generation, etc. The report of the *CDDR* was confirmed page by page by both the *CDDR* and the *TST*. This included the rather late announcement of the minority report by Ann Bernstein which was included in the *Report* together with that of Koos Reynecke. The following discussion will focus on key considerations regarding the decision making and policy dialogue phases.

6.4.4 DECISION MAKING AND DIALOGUE

The key considerations identified in the decision and dialogue phases in section 4.3, Figure 4.7, Appendix C and in sections 4.4.5 and 4.4.6 respectively, are worth noting. These included the decision-making process, consultation, that the decision be mandated as well as debriefing and negotiating. Key considerations relevant to policy dialogue included communication strategy, dialogue, ensuring feedback and initial implementing actions.

The decision-making processes which were followed were based largely on consensus in joint meetings of the *CDDR* and the *TST* (also see Figure 6.3 for more detail regarding specific meetings). Consensus decision making worked fairly well. Apart from the two minority reports which were published as part of the *Report*, only two other exceptions occurred: the decision to send a representative to the Umzimkulu area, and the decision that the *Northern Cape Province* be accepted as a ninth province (this was the only regional option which was not supported by the *TST*). The *Commission* voted on both these issues. For obvious reasons the fact that there were minority reports meant that it was not a unanimous report. As an observation, in policy exercises agreement by consensus is often more beneficial than by authoritative decision making or by majority decision making. This is so because meaning is added

when participants have to debate options and move from positions. Where disagreement does occur, even in the final outcome, it is important to facilitate such views by accommodating such input. It is the objective of policy process facilitation to positively channel conflict rather than to avoid conflict and opposing points of view. It is in such accommodation of different views and agreed-upon objectives, principles and strategies that the value of policy management and facilitation is to be found. In the experience of the *CDDR*, much more could have been done in facilitating not only the events leading up to the minority reports, but also consensus decision making, generally. For the purposes of future exercises, decision making should be discussed as a theme upfront (preferably during the design phase). The use of professional facilitators, even if only for specific sessions, could be considered.

Given the nature of decision-making processes discussed above, the need for further consultations with the *MPNF* was fairly limited (see the discussion in section 6.3.4). Thorough consultation on how the *Report* was to be taken forward did not occur. In the opinion of the author the *Task Force* exercise could have been avoided if the decision-making processes of the *MPNF* had been clearer.

It was largely due to the inability of the *MPNF*, within certain sensitive areas, to take decisions, that the demarcation initiative was prolonged. Although the recommendations put forward by the *CDDR* to the *MPNF* were therefore mandated and agreed upon by all (including minority reports), a debriefing on the handling of the report by the *MPNF* was not given to the *CDDR*. Furthermore, the fact that the *Commission* did not make use of technical expertise available in the *TST* during their debates with the *MPNF* was disappointing. With regard to policy dialogue, the nature of the exercise was such that it was largely up to the *MPNF* to communicate decisions. Although *MPNF* debates were open to the press, and widely reported, a communication strategy was never put in place.

6.4.5 IMPLEMENTATION AND EVALUATION

The key considerations (discussed in section 4.3, Figure 4.7 and Appendix C, and in sections 4.4.7 and 4.4.8 respectively) are of note. These include the translation to operational policy, the planning, programming and budgeting of prioritised programmes and projects, the management of such programmes and the monitoring of progress made with implementation. With regard to the monitoring and evaluation phase, key considerations and requirements included specific management arrangements for evaluating capacities, determining objectives, criteria, indicators and information for evaluative purposes, actual evaluation, including publishing the results and other possible follow-up actions.

Because of the nature of the regional demarcation exercise, the responsibility for implementation, with the exception of the election managed by *the Independent Electoral Commission (IEC)*, shifted from the *MPNF* (which also had a significant range of issues to deal with) to Government in the post-election phase. The implementation of *CDDR* recommendations and *MPNF* decisions had an impact on all government bodies. Partially at least, the implementation of the demarcation proposals also included the inclusion of the *Chapters* and *Schedules* in the *Interim Constitution* which resulted from the *Commission's* work.

Even if cast as widely as this, some lessons of experience emerge when the generic process model considerations are applied to the *CDDR* process as a case study. Given the rather complex nature of the demarcation process, it may well have been worthwhile to involve some of the *CDDR* and *TST* members in subsequent actions. By way of example, although numerous demarcation initiatives were undertaken as a consequence of the *CDDR* proposals, almost nothing was done to monitor and evaluate on an ongoing basis the results of the demarcation process and subsequent processes. This trend is well illustrated by the complex nature of local government demarcation exercises which followed a similar pattern of process facilitation as the *CDDR*.

Commissions and other entities tried to re-invent the wheel in terms of debating theoretical dimensions of demarcation criteria.

In strict terms the translation to operational policy of this exercise implies the confirmation of specified boundaries, per magisterial district, as contained in the *Interim Constitution*, together with other relevant sections, especially regarding the amendment of boundaries (see section 6.3.3). The obvious lack of monitoring and evaluation have not been attended to and are in fact still being neglected. It should be noted that, although not specifically for the purposes of monitoring the demarcation outcome, efforts are underway to transform existing information bases to reflect the new provinces. It is doubtful whether any efforts, such as by universities or government departments are actually being made to monitor and evaluate demarcation-related elements. It is not argued that such an effort by government is warranted, but it is argued that some level of coordination is necessary – also to aid demarcation initiatives at other levels, including problem areas that remain important (such as Cape Town, Johannesburg, Groblersdal, etc.). The views of De Waal, discussed in Chapter 5, are of interest as an ad hoc team, with the necessary technical skills, able to move around to trouble spots, may have assisted and supported many demarcation processes where difficulties were encountered with local government demarcation (and election) processes during 1995.

6.4.6 CONCLUSION

The above illustrative application of some of the more important considerations of the generic process model shows that both the phases and key considerations can be identified fairly easily and that they do indeed apply. Furthermore, the above discussion shows that the key considerations, as applied, actually assist in pinpointing some of the more important process issues. On reflecting on the case study, it also became quite obvious that a number of considerations could be kept in mind for the purposes of enhancing future exercises. Although not exhaustive, the above discussion demonstrates that the application of the model has identified a set of issues in terms of which the case study can be evaluated.

Such an evaluation of the actual process could be attempted in far more detail (see Appendix C). However, the application of the key considerations of the generic process model shows that these considerations, and in some instances requirements, could also be used for planning, appraisal and evaluation.

Consequently, before conclusions are drawn regarding this chapter, it is also necessary to apply the institutional frameworks developed in Chapter 5, and to consider the application possibilities of other policy models discussed in Chapter 3. These issues will be dealt with in sections 6.5 and 6.6 respectively.

6.5 APPLICATION OF THE INSTITUTIONAL FRAMEWORK TO THE CASE STUDY

6.5.1 INTRODUCTION

This study provided a development perspective on policy management by placing an emphasis on both the components of process facilitation (see Chapter 4) as well as the necessary institutional arrangements (see Chapter 5). Given that the above section largely focused on process dynamics, this section seeks to apply the frameworks developed for institutional capacity building of policy processes to the case study of the *CDDR*. As with section 6.4, these evaluative comments are made to illustrate the application of these frameworks (see sections 5.3.5, 5.4 and 5.5; consult Figure 5.7 and Appendix D). In the discussion of the major dimensions of institutional capacity building (section 5.3), an attempt was made to identify the key issues that would be important for the purposes of the appraisal, planning, implementation and evaluation of policy processes. In this process, main dimensions (the macro-institutional system, development management as well as participation and sociopolitical assessment), including key issues (or interchangeable dimensions), were identified that could serve as a framework for this purpose. This section does not attempt to provide an elaborate institutional evaluation of the *CDDR* exercise, but does attempt to identify the crucial institutional issues, using the abovementioned frameworks (see section 5.3.5, Figure 5.7 and Appendix D) that had an impact on the capacity to manage the exercise.

6.5.2 THE MACRO-INSTITUTIONAL ENVIRONMENT

Attention has been given to the macro-institutional environment (or system) in which the *CDDR* operated (see section 6.3.2, De Coning (1994(c) and De Villiers, 1994). There can be little doubt that the macro-institutional environment and the development challenges identified by it have had a direct impact on why the *CDDR* was initiated, how it functioned and how its recommendations were handled. This environment created the context for the unique circumstances under which the *CDDR* operated and sheds light on many of the softer issues in the *CDDR* process that had a direct impact. These will be discussed in greater detail below.

A number of specific issues in the macro-institutional system that had a bearing on the work of the *CDDR* demand further attention. Most certainly, as far as intergovernmental relations are concerned, the *CDDR* did not act as a government entity, but rather as a kind of ad hoc commission⁴⁷⁴. Nevertheless, in interorganisational context, the *CDDR* operated in an institutional system where coordination between such entities was important or where such intergovernmental relations impacted on the work of the *CDDR*. A lack of capacity by organisations to coordinate their submissions often had the result that the *CDDR* received submissions from several organisations that were related, such as *Regional Services Councils (RSCs)* or Central Government Departments, of which the submissions even contradicted each other. The *CDDR* relationship with the *MPNF*, the *Department of Constitutional Affairs*, *DBSA*, the *HSRC*, *CBM* and others was important in this regard.

These interorganisational relationships could perhaps be classified as being either of a coordinating nature for the purposes of the work of the *Commission* and its management (such as with the *MPNF*), or of a coordinating nature for the purposes of acquiring technical support (such as with *DBSA* or the *HSRC*). A third category of players with whom it had a relationship could be described

⁴⁷⁴The discussion of the institutionalisation of management support functions at the intergovernmental level (section 5.4), especially the focus on ad hoc type commissions (section 5.4.4) is of obvious importance. The *CDDR* can be classified as such a capacity, having been mobilised on a short-term basis for a specific assignment and largely falling within De Waal's definition of adhococracy.

as clients (those who submitted submissions and had a direct interest in the outcome of the process). There was a large variety of interest groups: political parties, government departments, private sector groups and members of civil society (such as environmental action groups). Given the nature of the transition and negotiations, it is fair to state that the rules of the game were often not clear. Some organisations found themselves still firmly within the mould of the old dispensation, whilst others were newcomers to the world of formal negotiation and cooperation, also at a technical level. It is of interest that, as mentioned earlier in the study, these capacities almost represented a polarisation of legitimate and technical capacity. There was certainly no sophisticated (and legitimate) intergovernmental system in place in the country (on horizontal and vertical levels). This lack of coordination and cooperation in the external environment generally was not conducive to the work of the *Commission*. However, it must be stated that as far as the immediate institutional surroundings were concerned, especially as far as the *CDDR* relationship with the *MPNF* and the *TST* was concerned, adequate cooperation and coordination arrangements existed for the *CDDR* to operate effectively.

Strategic planning for the *CDDR* process occurred at three levels. Obviously the *MPNF*, even prior to the existence of the *CDDR*, had the major role to play. It was in terms of such a strategic decision that the *Commission* was appointed and that a demarcation exercise was necessary for the purposes of an election⁴⁷⁵. The *CDDR* did have many meetings of a strategic nature but with limited results. In the opinion of the author it was the inability of the *CDDR* to strategically plan a process whereby the first boundary proposals could be determined that inhibited the *CDDR* to meaningfully address other issues. Especially some of the initial meetings were of a strategic nature; and as discussed in section 6.3.5, it was important that the *Commission* identified the critical steps to be taken. Although it was not the responsibility of the *TST* to play a strategic role, a number of the key players at this level were often

⁴⁷⁵ It is not within the ambit of this study to analyse the nature and effectiveness of the strategic management of the *MPNF*. However, these aspects have received detailed attention, see Friedman (1994) and De Villiers (1994).

consulted about strategic options. The two chairpersons relied heavily on some of the *TST* members for guidance on strategic matters, especially when technical dimensions were involved⁴⁷⁶.

Planning arrangements (or the lack of planning arrangements) that directly impacted on the work of the *Commission* were mainly put into place by the same three categories of players, namely the *MPNF*, the *CDDR* and the *TST*. The planning aspects and numerous debates of the *MPNF* are well known and recorded.⁴⁷⁷ At the *CDDR* level, the two chairpersons – in consultation with the *CDDR* – played a pivotal role. The role played by Renosi Mokate, the head of the *TST*, cannot be underestimated. As with many other exercises of a similar nature, a lot of planning occurred during lunch time or in the corridors during teatime. Figures 6.2 and 6.3 show that the *CDDR* had a reasonably good idea about what it wanted to achieve with its work plan. Were basic logistical arrangements for example not put in place with the management of submissions, this element, or any of the others, could have had a severe impact on the process as a whole. It is stated in the previous section that planning would have been greatly improved if a specific design phase had been instituted to consider the many problem areas highlighted in this study. Planning at the *TST* level mainly centered on technical inputs and the development of meaningful drafts in the face of extreme time pressures. As stated in the previous section, a pivotal role was played by members of the *TST Drafting Committee* in producing the framework for analysis which facilitated the perspective on submissions, criteria and demarcation debates.

Policy analysis and information management was of reasonable standard, given time constraints and level of organisation. As stated, this was perhaps due to the calibre of individuals employed, many of whom were trained in policy analysis by international centres of excellence such as the *Kennedy School* (for example, Job Mokgoro). The management of technical experts did not prove

⁴⁷⁶ Direct consultation on strategic issues also took place between the *MPNF Planning Committee* and members of the *TST*.

⁴⁷⁷ See De Villiers, (1994) and Friedman (1994). This issue is perhaps best understood by Theuns Eloff, the head of the *MPNF Secretariat*, seconded by *CBM*.

problematical as they did not find themselves in a hierarchical control structure at all. As a matter of fact, the operating style of the *TST*, despite extreme pressure, was very informal (with multiple advocacy trends). In this regard, the cluster formation tendency discussed in section 6.3.6 is of note.

Although the relevance of legal frameworks had a limited impact on the work of the *Commission*, the complexity of numerous sets of historical borders (contained in different sets of legislation) did prove problematical. In many instances, sensitive areas, also in traditional areas, were treated by the *CDDR* with great care. Still within the ambit of the relevance of legal and statutory frameworks, it must be noted that *Constitutional Law* proved to be of direct relevance in many respects⁴⁷⁸.

A number of comments are made above regarding information management. This area of management is of obvious importance to any exercise of a policy-making nature and proved no different in the *CDDR* process. The *CDDR* did avoid the duplication of information generation and largely made use of existing capacities⁴⁷⁹. It was often difficult to collect information relevant to the issue under discussion. In this regard the *DBSA* did a special review of development indicators, based on the provincial demarcation permutations under discussion. However, and this aspect was also raised in section 6.3.6, members of the *CDDR* often demanded information for the sake of information, hoping that such information would yield the answers to qualitative questions. A number of important lessons are of note. Criteria and indicator development is important to ascertain exactly what kind of information is needed. It is advisable to use one data base as the starting point in trying to elicit information that is compatible. In addition to policy analysts, it may be advisable to employ information analysts to manage the information dimension of such an exercise. The relation and correct usage of information with policy options is an important area of focus that demands further

⁴⁷⁸ In this respect, the *TST* was fortunate to have Bertus de Villiers as part of the team. A good example in this regard is the debate around the *Kruger National Park*, which was administered by the central government level and to which central government legislation pertained.

⁴⁷⁹ Such as the regional data base of *DBSA*, the *GIS* system of the *University of Pretoria*, the *Medical Research Council (MRC)* and other players.

attention.

In terms of monitoring and evaluation, it must be observed that special mechanisms were not put in place for this purpose. Although care was taken by the administrative secretariat to record all meetings and relevant documentation, no specific capacities were put in place to monitor the *CDDR* process. Such observation was conducted by some members, purely based on their interest and knowledge of methodology and process facilitation⁴⁸⁰. As is evident from De Villiers (1994), the negotiation process, in broad terms, also at the *MPNF* level, could have been recorded more scrupulously so that lessons of experience could have been provided, not only for our own purposes as South Africans, but also for the purposes of international application.

6.5.3 MANAGEMENT

The management of the *CDDR* process, at political and executive levels, was reasonably effective and efficient. Such management included the political leadership at the *MPNF* level, as well as political leadership at the *CDDR* level. In this process, the joint chairpersons obviously had a vital role to play. Executive management was the direct responsibility of the two chairpersons and the head of the *TST*.

The decision to appoint two joint chairpersons was obviously aimed at addressing fears and demands from both sides of the then rather broad political spectrum. Both chairpersons had a sound academic standing and were known as leaders in their fields. This relationship worked rather well and there was little or no conflict between the two chairpersons. As an observation, these two seldom operated together, but allocated tasks between themselves as situations arose, almost in a gentleman's-agreement-like style. It is perhaps fair to observe that Nomvete was most active as a conduit between the *CDDR* and the *TST*, also spending considerable time and effort with the *TST*. Smit largely chaired and facilitated the final sessions between the *TST* and the *CDDR*. Both

⁴⁸⁰ Those who later published or showed an ongoing interest in this area was Renosi Mokate, Bertus de Villiers and Yvonne Muthien.

persons faced extreme time constraints given their normal positions and duties. In the opinion of the author, more could have been done to facilitate their work situations, especially around the events leading up to the minority reports. Both persons have excellent interpersonal skills and an enabling style with regard to technical work. Where quick adjustments were required, such as the intervention (on request of Nomvete) by the *TST Drafting Committee* to suggest a framework for analysis, such action was taken promptly. As suggested in the early discussion of the previous section, more could have been done to facilitate a better understanding with the *MPNF*. Executive management rested mainly with the chairpersons and with the head of the *TST*, Renosi Mokate (later Chief Executive of the *IEC*). Executive leadership also vested with some individuals at the *TST* level, mainly the *TST Drafting Committee*. This issue is not explored here. The effectiveness and efficiency in terms of management was up to standard; and impressive as far as time management is concerned. The large majority of players were experienced managers who needed little encouragement to act independently.

The status of organisational development (OD) is an important factor when focusing on the capacity to facilitate or manage policy processes. In most instances, especially analytical work is performed by a permanent capacity with specific organisational arrangements including management, structure, systems, procedures, etc. However, in the case of ad hoc capacities (see section 5.4.4), especially in the case of commissions, such arrangements are usually very different from a typical organisational arrangement. Members had a specific role to play as *Commission* or *Technical Team* members but, apart from the relationship with the chairpersons or head of the *TST*, operated fairly independently and relationships were structured rather informally. In this context, spontaneous groupings developed. As such, these developments at the *CDDR* and *TST* levels, had an important impact on the process. Cluster development and the relationship between the *CDDR* and the *TST* are discussed in section 6.3.6. In general terms, the discussion on the need for flatter management structures and perhaps even a programme approach towards analytical and research work is also valid for the *CDDR*. Members of

the *TST*, but also in conjunction with individuals from the *CDDR*, operated side-by-side rather than in vertical fashion. Apart from a few exceptions where some *CDDR* members saw the *TST* as workers reporting to them, the *CDDR* and *TST* operated within a rather flat management (or rather, a facilitating) structure. Also in the case of human resources management, the key elements normally of relevance would apply directly to policy capacities of a more permanent organisational nature. However, most members of both the *CDDR* and *TST* were experienced human resource managers themselves, which meant that few problems of a human resources management nature arose. Training and orientation is obviously not applicable here, as the members that took part were experienced. The time constraints were a further consideration in this regard⁴⁸¹. To some extent the notion of orientation was relevant insofar as Nomvete thought that some *CDDR* members needed to be exposed to technical perspectives. This notion also prompted the assessment of the international experience. Lastly, it must be mentioned that, generally, members of both the *CDDR* and *TST* had a humble approach, which promoted a learning culture (rather than a know-all approach). This attitude, although a softer issue, is regarded as having played an important role.

As stated, the standard of administrative and logistical support was excellent. This is not an area that is to be neglected. The appointment of a permanent administrative secretariat was vital. Their activities included setting up meetings, arranging the work programme – including numerous sessions for oral evidence, the distribution of documents (by courier), organising and recording oral submissions, processing written submissions (more than 700 in both processes), copying and distributing a significant volume of source material, handling correspondence and media liaison. These tasks were also vital in ensuring that a study of this nature could be undertaken.

The necessary mobilisation and allocation of funding is important in any policy-making exercise. It is mentioned above (Chapter 4) that this area has often

⁴⁸¹ As an observation, senior students, such as post-graduate students in subjects such as Geography or Development Management may have benefited from sitting in as observers.

been neglected, especially in the South African experience. It was suggested that this issue receive prominent attention during the design phase. Once again, the situation of the *CDDR* was much different in that funding and financial systems were already in place as part of the total financial package provided for the negotiation process (by the *Department of Constitutional Affairs*). Members of the *TST* and the *CDDR* therefore had very little involvement with financial management other than claiming direct expenses and in the case of consultants, consultancy fees (financial systems and procedures were in place to deal with these). The following section deals with sociopolitical analysis and assessment.

6.5.4 PARTICIPATION AND SOCIOPOLITICAL ANALYSIS AND ASSESSMENT

It is essential that any policy-making process be facilitated and managed within the context of the environment in which it operates. Although typically not regarded as an interventionist area for capacity building, facilitators have increasingly realised that the effectiveness of policy exercises is directly impacted upon by the sociopolitical environment in which they operate. Clearly, social processes, such as religion, violence, party political initiatives and many others not only pertain to the content of the policy under revision, but will also have an impact on the nature of the policy process itself. Participation, and the involvement of all interested parties, also at grassroots level, was a vital aspect of the work of the *Commission*. The *CDDR* realised from the beginning that a special effort should be made to elicit public opinion. This was done, as discussed, mainly by way of representativeness at *Commission* level (which included for example, a traditional leader from a local community), and by inviting submissions and oral evidence. The reaction was, as discussed, overwhelming. In the end, the problem that confronted the *CDDR* was interpreting the submissions. Numerous debates followed on the ability of local communities to participate and the relative importance of civil society submissions vis-à-vis that of government and other players. As stated by Muthien, several times, it is almost impossible to please everybody with a demarcation exercise of this magnitude. The invitation for submissions by the

Commission was well handled and was perhaps the first of its kind. Widespread media coverage and advertisements, even by players in the regions themselves led to the process being seen as transparent and truly participatory. Confirmation of the above can be found in the reaction to both processes where more than 700 written submissions were received. Exercises of this nature in future should note what pressure this can place on not only the support services, but also on analysts and commissioners. The *Commission* was successful, however, in facilitating a process that was seen to elicit public opinion, that went through a rational process in determining options, and that provided for further processes to allow an ongoing process for the amendment of boundaries.

6.5.5 CONCLUSION

The above perspective is an illustrative attempt to apply the institutional framework developed in this study to the *CDDR* process. Critical issues regarding the management of the process can be identified by applying the institutional framework developed in this study (Chapter 5). Clearly, all three main dimensions, namely the institutional environment, management as well as sociopolitical analysis and assessment are directly relevant. Similarly, within these, a range of related important dimensions were identified by using the framework as a checklist.

Specific issues were clearly more important and posed challenges in the case of the *CDDR*. These included, for example, the *CDDR* as an ad hoc policy capacity, the terms of reference, timescale, information management, the relationship between the technical and the political body as well as the participative nature of the exercise. It is of interest to note that these problem areas were also highlighted by other evaluations (see section 6.2). Before the conclusions are given on this chapter, reference must also be made to the application possibilities of other models to the case study of the *CDDR*.

6.6 GENERAL APPLICATION OF MODELS

Although not a focus of this chapter, the reader may be interested in extending the application to other policy models discussed. Although a fully fledged application cannot be warranted in this discussion, some observations are worth noting. As stated in Chapter 3, the value of specific models (in contrast to the value of generic models) is often to be found in the way in which they approach a particular problem. Models usually focus on a specific area and pertinent considerations (section 3.7). The following discussion does not attempt to apply the prescriptive models discussed (section 3.7.3), but focuses rather on descriptive models (models for policy making, section 3.7.4). The functional process model, the elite/mass model, the group model, the systems model and the institutional model receive brief attention below.

With reference to the functional model, it is obvious that a focus on the actual functional activities involved (see Figure 6.3) will highlight many important process issues. The questions of how alternative courses of action are formulated and communicated, and how and by whom policy measures are formulated and executed, are relevant. It is interesting that scholars remark that the functional process model lends itself to comparative analysis. Comparative studies for the purposes of analysing the *CDDR* exercise were severely limited because of the small number of recorded demarcation exercises that are available.

The elite/mass model is particularly interesting. Although the *CDDR* exercise is not a good example of top-down elite decision making, it highlights the fact that the *MPNF* negotiations were often described as "elite deals". This perception made the use of submissions and the hearing of oral evidence by the *CDDR* all the more important. The elite/mass model is especially useful in that it focuses on the relationship between the elite and the masses and therefore raises a set of questions that is of direct relevance as far as participatory issues are concerned. These considerations also confirm the relevance of the discussion of the institutional arrangements of the *CDDR*, especially the

perspective on the macro-institutional environment (section 6.5.2) as well as sociopolitical analysis and assessment (section 6.5.4).

The group model (see section 3.7.4.3) is also of direct relevance. A number of groups were identified and the dynamics between groups were discussed (see section 6.3.6). Not only the relationship between the *CDDR* and the *MPNF* was important, but also the relationship between the *CDDR* and the *TST*. Moreover, the role of political groupings was paramount, also in the appointment of the *Commission*. Of particular interest, however, is the discussion around cluster development (see section 6.3.6) from which it is clear that group dynamics did play a paramount role in the *CDDR* process. Further research on particular aspects, such as the pressure exerted by interest groups, issues of self-interest, the power of different groups involved and the different skills and negotiating methods of the groups identified above, may further improve evaluative efforts of the *CDDR* case study.

The systems model (section 3.7.4.4) is of particular interest. Over and above the discussion of the institutional environment (section 6.5.2) and an emphasis on systems thinking generally in this study, the systems model allows a pertinent focus on input, process and output. Most certainly, the danger that the systems model highlights, namely that the policy process may be regarded as happening within a black box, is of relevance to the *CDDR* exercise. The value of the systems approach is also that it identifies sub-processes. Although a number of these were identified and discussed (see Figure 6.2), a particular focus in research work on the role of such processes may add significant value to future evaluative efforts of policy processes. An analysis of the *CDDR* process, according to the systems approach as described by Fox, Schwella and Wissink (1991:31), may also yield new perspectives. Their focus on demands, resources and support (as policy inputs), the conversion of demands into policy (policy conversion) and policy statements, and documents (as policy outputs) in addition to monitoring activities and evaluating reports (feedback cycle) is fully relevant to the case study of the *CDDR*. Even criticism against the systems model, such as that it implies a logical order in the process whilst the policy

process is characterised by multiple factors, is relevant to the *CDDR* case study. A focus on sub-systems and such multiple factors may bring to light further factors that may have had a bearing on the process of the *Commission*.

The institutional model, which is perhaps less relevant, given the shifts in understanding of institutional development (see section 3.7.4.5), does highlight some specific issues. Although the institutional arrangements of the public sector, especially on the executive side, have been of limited importance to the case study of the *CDDR*, the focus that the model places on analysing the behaviour patterns of the different institutions involved, is relevant. Lastly, although not discussed, other models, depending on the particular focus, may be directly relevant to the evaluation of processes such as those of the *CDDR*. In particular, problem-solving techniques and negotiating instruments may be of relevance (see section 3.7.5). The application of these frameworks fall outside the ambit of this study.

6.7 CONCLUSION

The objective of this chapter is not to conduct a thorough evaluation of the process followed by the *CDDR* as a demarcation exercise, but rather to illustrate the application of the theoretical frameworks developed in this study. These frameworks included the generic process model and the institutional framework discussed in Chapter 5. This chapter also focuses on the presentation of the provincial demarcation exercise as a case study for the purposes of employing the case as learning methodology. Some specific findings of this chapter include that:

- the generic process model may be usefully employed for the purposes of the evaluation of policy processes;
- the advantage of such an application is to be found especially in the comprehensiveness of the phases and its contents;
- the key considerations of each phase may highlight important

requirements of the process;

- the importance of the design phase, specifically, highlighted the need for the thorough planning of such processes;
- the institutional arrangements necessary to facilitate or manage such a process are of special importance;
- the discussion of the application of the institutional framework developed showed that specific main dimensions and key considerations are of direct relevance to the capacity to manage the process; and
- last, the application of other models (in contrast to generic models) may highlight the importance of specific factors.

From the discussion on the presentation of the case study (section 6.3) it is clear that the constitutional quest for demarcation (section 6.3.1), the perspective on the demarcation debate prior to the *Multi-Party* initiative (section 6.3.2) and the discussion of the initiatives after the demarcation process (section 6.3.3) are important dimensions to the case study. These sections proved to be particularly relevant to the discussion on the wider institutional environment and its impact on the policy process under discussion. The appointment, working period and terms of reference of the *CDDR* were dealt with (section 6.3.4) in such a way that it was possible to develop a perspective on the work programme and process followed (section 6.3.5) as well as the necessary institutional arrangements (section 6.3.6). These two sections represent the core material on which basis the subsequent application of the generic process model (section 6.4) and the application of the institutional framework to the case study (section 6.5) were achieved. Specific conclusions drawn from this application are listed above. Following the application of the theoretical frameworks developed in this study to the case study of the *Commission* in this chapter and the conclusions as formulated above, the next chapter will focus on the key findings and conclusions of the study as a whole.

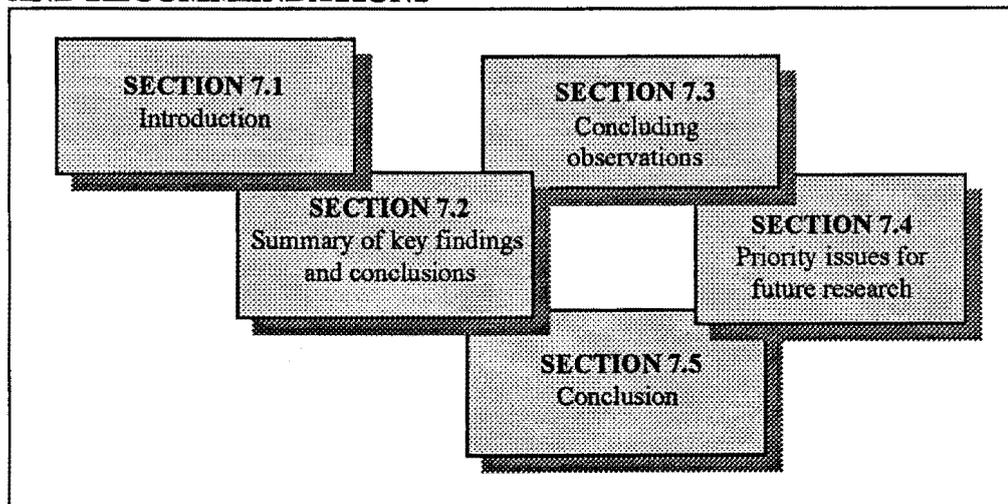
CHAPTER 7

CONCLUSIONS AND RECOMMENDATIONS

7.1 INTRODUCTION

The objective of this chapter is to present the conclusion of this study. The core findings and conclusions will first be presented (section 7.2.1), followed by a set of key findings and conclusions for each problem statement as defined in Chapter 1. This discussion focuses on strategic perspectives (section 7.2.2 and section 1.2), implications for the academic community (section 7.2.3 and section 1.3), selected perspectives on the South African experience (section 7.2.4 and Chapter 2), theoretical approaches to policy management (section 7.2.5 and Chapter 3), theoretical approaches to policy processes (section 7.2.6 and Chapter 4), institutional arrangements for policy management (section 7.2.7 and Chapter 5). The concluding observations will be made in the subsequent discussion (section 7.3) and priority issues for future research will be identified (section 7.4). Last, the final conclusion will be postulated in section 7.5 (see Figure 7.1).

FIGURE 7.1: COMPOSITION OF CHAPTER SEVEN: CONCLUSIONS AND RECOMMENDATIONS



7.2 SUMMARY OF KEY FINDINGS AND CONCLUSIONS

7.2.1 CORE FINDINGS AND CONCLUSIONS OF THE STUDY

The core problem statement of this study, as formulated in section 1.5 of Chapter 1, centred on the real need for support, assistance and facilitation, in the area of public management. This demand, partially because of strategic developments in the external environment, manifested itself, among others, as an expressed need for an improved conceptual understanding of policy generally, but also specifically for practical, analytical frameworks for facilitating policy processes and the necessary institutional arrangements.

It is concluded that this study showed that the above demand is justified and that support for policy processes can be much improved by a better understanding of policy generally (see Chapter 3), but also be specifically focusing on available models for the facilitation of policy processes (Chapter 4) as well as by improving the capacity to facilitate and manage such processes (Chapter 5). Furthermore, it is concluded that practical frameworks are available to assist practitioners (see Appendices C and D). The application of both the generic process model as well as the institutional framework is illustrated with the presentation of the case study (Chapter 6). Lastly, it is concluded that these areas of focus are critical management tools in the South African experience (see Chapter 2). It is also concluded that the emergence of policy management as a cross-cutting, lateral methodology to facilitate policy-making endeavours has some direct implications for the academic community (see section 1.3). Specific findings and conclusions will be highlighted in the following discussion.

7.2.2 CONCLUSIONS: STRATEGIC PERSPECTIVES

In formulating key problem area one (see section 1.5), the study identified the need to develop a strategic perspective on policy management in the South African context. In particular, it was regarded as essential that such a perspective should bring to the attention of development practitioners and

policy makers alike, the potential contribution that policy management could make to reconstruction and development.

Strategic developments that had a significant impact on the importance of policy making and the facilitation thereof included constitutional and political change, which, in turn, had a radical impact on the South African policy-making community. This allowed a redefinition of public participation in public policy making. Policy management has a vital role to play in this process. Policy has become one of the key instruments to effect socioeconomic reconstruction and development. It is therefore clear that an improved understanding, especially in the form of sectoral policies, must develop around the *RDP* as the most significant contemporary policy development in South Africa (see section 1.2.3). Key findings on the strategic perspective on policy management in South Africa (section 1.2) include the following:

- * Massive constitutional and political change in South Africa has fundamentally altered the present and future policy scene. The establishment of a democratic socioeconomic order resulted in policy-making activities becoming one of the essential ingredients of reconstruction and development (section 1.2.2).
- * By and large the above meant redirecting government's development approach so that it could be brought in line with the *RDP*. The *RDP* itself needs significant policy support. Such support not only pertains to exhaustive, analytical aspects needed for considering the various macroeconomic, sectoral, provincial and local policies, but also support in the area of process facilitation, especially given participatory requirements (section 1.2.2).
- * Although implementation will become increasingly important, appropriate policy frameworks for the public and private sectors as well as for civil society are essential. The complexities of establishing (new) macro socioeconomic, sectoral and functional policies at all levels are daunting. Furthermore, the translation of vision and policies to

operational levels in the form of programmes, projects and aligned budgets must be achieved.

- * In the face of the unique dynamics of rapid and multidimensional change in South Africa, significant policy-oriented facilitation skills, insights and methodologies are required.
- * Multilevel policy making requires the capacity to govern. There are several options for the optimal institutionalisation of policy capacities in and outside of government. The nature of large-scale public sector transformation will continue to impact on policy-making processes. The management of change at the strategic level as well as policy, information and evaluation support will remain essential for the foreseeable future (see section 1.2.5).
- * In conclusion, it is clear from the strategic perspective that policy-making exercise in South Africa will become even more important and that such process requires participation and public choice in which direct representation, but also sustained institutional capacity, empowerment and active decision making is required. It is concluded that in the context of development management, and in addition to other cross-cutting lateral methodologies, policy process facilitation and management have become critical foci in the present development debate. In addition to the justified emphasis on analysis and research in various fields, policy processes with the necessary professional and technical input as well as participatory and institutional arrangements will become vital in future, especially if competitiveness at the global level is to be ensured.

7.2.3 CONCLUSIONS: IMPLICATIONS FOR THE ACADEMIC COMMUNITY

The discussion of key problem area two (see section 1.5) shows that the above strategic perspective has direct implications for the academic community. Past and present initiatives in the academic world, especially in certain academic

disciplines, have shown that valuable contributions can be made to policy making endeavours. Some specific findings are of note. These include the following:

- * In academia, both internationally and locally, attention to policy management has increased significantly of late. Attention to especially policy analysis, over a spectrum of social science disciplines, has been increasingly evident. In South Africa, this has mainly occurred in the public and development management schools (see section 1.2.6).
- * Although the discussion was limited to the literature and research which, both in content and approach, broadly subscribes to the theoretical constructs of Development Studies, Development Administration and related fields such as Public and Development Management, it was found that policy studies have become important in almost all disciplines. However, following a period of neglect in the first two disciplines mentioned above (see section 1.3.3), a specific trend towards paying increasing attention to policy, especially with regard to development and management aspects, is evident (see section 1.3).
- * In the context of fundamental constitutional and political change, a range of strategic developments (see section 1.3.6) has changed the public administration strategic context significantly. As discussed (section 1.3.7), several opportunities exist for South African universities to explore their potential and respective roles and responsibilities in the policy field. Much could be done to ensure that the professional capacities that exist at university level, be applied to address research agendas that require urgent attention (also see recommendations, section 7.4).

The South African family of universities should ensure that intellectual focus points regarding policy analysis and policy management are adequately institutionalised. It is necessary to focus on process facilitation, policy

processes and policy management in addition to the ongoing analysis and research work in the disciplines mentioned above. Such an emphasis may allow policy facilitation, as a service, to play a catalytic role in unlocking valuable analysis capacities at South African universities.

7.2.4 CONCLUSIONS ON SELECTED PERSPECTIVES IN THE SOUTH AFRICAN EXPERIENCE

In aiming to provide an empirical basis and terms of reference for theoretical discussions on policy management, key problem area three (section 1.5) identified the need to reflect on some selected operational experiences in the South African context. In particular, selected policy experiences in South Africa, such as the *RDP* (section 2.2), policy initiatives prior to the elections of April 1994 (section 2.3), as well as macro-institutional change (section 2.4) highlighted the importance of policy management. In particular a policy-type organisation, the *Centre for Policy and Information*, was examined and it was found that its management of policy capacities may require particular institutional arrangements (see section 2.5). Specific findings include the following:

- * Contemporary trends in the South African experience show that political change has had a direct impact on the importance of policy management (see for example the discussion on the *RDP*, section 2.2). The *RDP*, as the main thrust of policy for the mid-1990s in South Africa, has placed policy analysis and process facilitation on the agenda of all key role players in the country, be it of a governmental, non-governmental or private sector nature.
- * The discussion shows that much operationalisation of policy frameworks on sectoral, provincial and local levels is still necessary but that meeting the very real demand for policy support, including that of analytical and facilitating capacities (section 2.2), will be achieved in an evolutionary fashion over a period of time.

- * Although not a primary focus area of the study, the discussion (section 2.3) shows that policy initiatives prior to the elections, such as forum activity, instilled important participatory values. In similar terms, commissions or other forums in the new dispensation should ensure that policy inputs by the private sector and civil society are constructively encouraged and incorporated. Lessons of experience regarding policy processes during this period, such as the example given on the revision of the *White Paper on Urbanisation*, may be of value and it is proposed that some of these experiences be revisited and the implications for contemporary policy-making processes assessed (section 2.3).

- * It was found that major efforts to restructure the public service, and macro-institutional transformation generally speaking, have had and will have a direct impact on policy making endeavours. In particular, a range of institutional arrangements will have to be put in place to ensure a rational restructuring, also of policy capacities, at the organisational and intergovernmental levels. Some specific findings in this regard included that broad policy, information and evaluation support was needed at all levels, that such capacities needed to be established in and outside government, that functional issues needed to be cleared before organisational restructuring was attempted, that an integrated relationship should exist between policy, information, evaluation and institutional capacity building functions, that committed capacities should be established and that the availability of skills should be considered (section 2.4).

A specific effort was made to reflect on the problematics of institutionalising policy capacities in an organisational setting. By using the *Centre for Policy and Information* as an example, it was found that several means of institutionalising policy, information and evaluation capacities at organisational level existed. Some specific findings showed that strategic planning in policy programme context is important, that flatter management structures with a clear focus (such as the case with the programme approach of the *CPI*) are

relevant to organisations of a policy support nature, that the integrated nature of development policy requires a multidisciplinary approach, and that effective human resources and financial management are of the essence (see section 2.5).

In conclusion, it is clear from the above key findings of selected policy experiences in South Africa that policy has become an important theme in reconstruction and development debates. Moreover, a range of lessons of experience exist that should be assessed to improve policy making in future.

7.2.5 CONCLUSIONS ON THEORETICAL APPROACHES TO POLICY MANAGEMENT

The need for an improved understanding of theoretical approaches to policy management is defined as a priority issue (see key problem area four, section 1.5). Conceptual clarifications and definitions are carefully considered in the light of the large variety of policy management terms that are used in academic debates. Furthermore, the relationship between policy management and related methodologies such as strategic planning, research methodology and development planning is addressed. It was also necessary to address the theories of policy making, participation and public choice in addition to models for policy management. Some of the key findings discussed in Chapter 3 include the following:

- * A large volume of theoretical material, especially on policy analysis, but more recently also on policy management, has been published.
- * In addition to the justifiable emphasis that has been placed on policy analysis, policy process management has increasingly become evident. An increasing amount of theoretical and case study material on policy processes is presently being published (section 3.4).
- * An important symbiotic relationship exists between policy process management and other cross-cutting lateral methodologies such as development planning, project management, information management,

research methodology and strategic planning (see section 3.2).

- * An analysis and assessment of the nature of definitions on policy revealed that no universally accepted definition, theory or model exists. It was found, however, that a working definition could be deduced from existing definitions (section 3.3).
- * The discussion of participation and public choice shows that policy-making processes can act as an important catalyst in ensuring participation in policy preparation and decision making. A phased process could endeavour to ensure adequate levels of participation during the various phases (section 3.6).
- * The discussion (see section 3.7) shows that there are a variety of prescriptive and descriptive policy models. However, not one single model was found to be generically applicable to the design of all policy processes and it is acknowledged that the value of each model is to be found in its particular use and various facets of models are seen to be relevant, if applied in the right context.

In conclusion, the above discussion in Chapter 3 confirms the holistic nature of the policy field and the usefulness of using policy management as an umbrella term for policy initiatives concerned with process dynamics as well as the capacity to manage critical phases of such a process. Given the broad field of policy management, policy processes and their management are identified as critical areas.

7.2.6 CONCLUSIONS: PERSPECTIVES ON POLICY PROCESSES

Given the distinction between prescriptive and descriptive models for policy management drawn in the previous section, the need to focus on policy processes specifically (see key problem area five, section 1.5) was identified. In this context it was also regarded as a priority, given the practical requirements of actual policy making exercises in the South African experience, to establish a generic process model for multiple application. The specific need

for analytical frameworks that could be applied to the South African operational environment was also identified. Key findings in this regard include the following:

- * A large volume of theoretical material on policy management and the design of policy processes has been published in the last decade (section 4.2).
- * A survey of available policy process models, specifically the models of Dunn and Wissink, shows that there are important frameworks but that the South African experience specifically requires a design phase (also for the purposes of reviewing the content of all other stages, section 4.3).
- * A generic process model that makes provision for the necessary phases and key considerations during each phase (section 4.3) could be established.
- * The design phase enabled players to thoroughly plan the policy process during each phase, including the necessary institutional and logistical arrangements. Of particular note, however, has been the ability to ensure participatory arrangements during each phase (section 4.3).
- * A user-friendly framework could be established for practical use (see Appendix C).

It was found that preparation and planning activities in South African policy-making endeavours were often, but not always, neglected. Policy management was often confined to a technocratic input, which largely ignored important process and management elements. For this reason, the study proposes the introduction of more specific initiation and design phases to the policy process and to the generic process model specifically. The conclusion therefore is that process models could be usefully employed for the purposes of planning, appraising, implementing and evaluating policy processes.

7.2.7 CONCLUSIONS: INSTITUTIONAL ARRANGEMENTS FOR POLICY MANAGEMENT

The sixth key problem area to be identified (see section 1.5) was the lack of institutional arrangements necessary to manage and facilitate such policy processes (see Chapter 5). Although institutional capacity building proved important, specific focus on the institutionalisation of policy capacities at both the intergovernmental and organisational levels was found to be equally important. The problem statement and objective of the study (see section 1.5) also express the need for analytical frameworks that could be applied in the South African operational environment for improving the planning, appraisal and evaluation of the management of policy processes. Some key findings in this regard include the following:

- * Institutional capacity building is a concept that forms a pivotal part of development. For the purposes of policy management, the capacity to manage policy processes is critical. It is also clear that the systemic nature of organisations is important and that a systems approach is essential (section 5.3).
- * It is possible to establish a generic institutional framework for the general purposes of planning, appraising, implementing and evaluating management arrangements for policy processes. Such a framework should be flexible and interactive. The need for specialisation has been acknowledged. It was found that a macro approach is needed that allows for almost all issues to be taken into account, but also makes it possible to focus on specific issues, when necessary (section 5.3).
- * In this study, the main dimensions of the above framework are identified as the macro-institutional framework, management and sociopolitical analysis and assessment. Two particular dimensions proved particularly valuable in the overall assessment of policy processes. Attention was given to the institutionalisation of policy capacities at the intergovernmental and organisational levels (see

sections 5.3.5, 5.4 and 5.5).

- * With regard to the institutionalisation of management support functions at the intergovernmental level, it was found that strategic planning and macro socioeconomic management requires the support of key capacities related to research and policy analysis, planning, programming and budgeting, information and evaluation (section 5.4.1).
- * With regard to the locational positioning of such capacities, it was found that it was often impossible to choose between centralised or decentralised options and that the nature of the macro system should determine the combination of support capacities that would be optimal (section 5.4.6).
- * Effective policy management requires a number of essential skills. These include strong leadership and decision making, the ability to ensure coordination and to base decisions on sound information and analysis. Ongoing monitoring and evaluation is also necessary to evaluate the continued appropriateness of policies and programmes (section 5.4).
- * It is necessary for governments to assess the availability of analytical skills, to consider the placement and focus of such capacities and to especially consider the degree of independence and credibility it wishes to accord information and analytical processes (section 5.4).
- * With regard to the institutionalisation of policy capacity in an organisational setting, a number of specific considerations are highlighted. It was found that the institutional context directly influences policy-support organisations. Political influence, relative independence and locational options in the broader system are regarded as important (section 5.5).
- * It was found that because of the nature of the services rendered by

policy-support organisations, functions and structures as well as human resources management required special care. Strategic planning and responsive management were found to be key issues. The strategic foresight to institutionalise capacities for monitoring and evaluating policy implementation was also found to be a key consideration. Strategic and business planning, together with pro-active programming, are essential performance areas for policy managers and the coordination on horizontal and vertical levels of policy support was found to be critical. Flatter management structures were usually warranted for policy-support organisations to, *inter alia*, ensure the optimal utilisation of scarce skills and the free movement of analysts across programmes (section 5.5).

Institutional arrangements for policy processes are therefore clearly essential for the effective and efficient facilitation and management of such processes. Generic frameworks of an institutional nature could be usefully employed in the search for the sound planning, appraising, implementing and evaluation of such processes.

7.2.8 CONCLUSIONS: THE CASE STUDY

The case study of the provincial demarcation exercises is presented to illustrate the application of both the generic process model as well as the generic institutional framework highlighted in the discussion above (see Chapter 6). Some specific findings include the following:

- * The generic process model could be practically applied for the purposes of evaluating policy processes. The major advantage of the generic process model was found to be the comprehensive and generic nature of its phases, key considerations and requirements (section 6.4).
- * Although all the phases identified may not necessarily be relevant, it was found that, as with the fisheries policy exercise (section 4.3), the design phase and key considerations of that phase were highly relevant.

The focus on the design phase once again highlighted that it is important to plan policy processes thoroughly. Other important phases, such as policy analysis, formulation and decision making remain essential (section 6.4).

- * It was found that the key considerations per phase highlighted important requirements. This framework also confirmed important elements in other evaluations of the same case study (section 6.2).
- * The capacity to manage the policy process was once again identified as critical. The application of the generic institutional framework showed that the framework did identify most of the essential institutional considerations. Particular issues which emerged include the importance of the institutional environment, the general quality of management, and the importance of assessing the sociopolitical environment in which a policy process takes place (see section 6.5).

The illustration of the application of the theoretical frameworks developed during the course of the study showed that these frameworks could be usefully employed to evaluate case studies. The case study also showed that these practical frameworks could be greatly improved (see recommendations, section 7.4) and that it is important for the purposes of appraisal, planning and implementation.

7.3 CONCLUDING OBSERVATIONS

The key findings and conclusions of the study show that the objectives (as set out in section 1.5 of Chapter 1) have been met. The following statements can therefore be made:

- * A strategic perspective has been developed that identified priority areas for policy management in the South African context and generally illustrated the importance of policy management.
- * The place of policy management within Development Studies,

Development Administration and related academic disciplines is discussed and specific recommendations are made.

- * Selected critical elements relevant to policy management in the South African contemporary experiences are identified.
- * A broad perspective on theoretical frameworks for policy management is presented. Key areas include conceptual classification, theories of policy making, participation and public choice, and models for policy management.
- * The available theoretical material on policy processes is assessed and a generic process model for multiple application elicited. It was the objective of the study to develop such a generic process model and a practical framework for the purposes of planning, appraising, implementing and evaluating policy processes.
- * The major institutional dimensions and elements that determine the capacity to manage policy processes have been established. It was the specific objective of this area of the study to establish a user-friendly institutional framework for the purposes of planning, appraising, implementation and evaluating the management arrangements of policy processes and to specifically focus on the intergovernmental and organisational levels.
- * Last, the application of these frameworks is illustrated by means of an empirical case study.

The secondary objectives of the study (as stated in section 1.5 of Chapter 1) have been met. These include recommendations on future priority areas for research and analysis (see section 7.4); the presentation of a balanced spectrum of available literature, including authoritative literature on the classical dimensions of the subject; the publication of primary research material on the provincial demarcation exercise obtained during the course of the study; and the presentation of user-friendly frameworks (see Appendices C and D) for

practical application in policy processes (following primary objectives 5 and 6).

Although the hypotheses formulated in Chapter 1 of this study do not serve as the primary problem statement, some comments are necessary. Based on the assumption that a generic process for policy making can be determined and that such a process has essential phases, each of which contains key considerations, the following hypothesis was formulated: *Improved facilitation of the generic phases in the policy process will lead to more effective and efficient policy making.* The key findings and conclusions confirms that there is a positive correlation between the two components of the hypothesis. Improved facilitation does need a sound process and this can be regarded as a key requirement. However, it is also true that the capacity to manage or facilitate such a process is essential. Although this aspect is incorporated in the second hypothesis, the author has found that it is problematical to view these two elements (processes and management arrangements) in isolation.

There is an important qualification to the above hypothesis. As discussed in the study, South Africa is at present experiencing a significant focus on policy making of a very basic type, which means that most macro and sectoral policies are being totally rewritten. Because of the zero-base nature of many of these exercises, thorough planning of most of the key considerations and phases (as discussed in section 4.3) has been necessary. However, it is expected that this may change, and once fairly sophisticated policy systems have been put in place, the emphasis will fall on continued analysis and evaluation (as in other countries where policy development has incrementally developed over time). The initiation and design phases may, under these circumstances, be far less important. Consequently, improved facilitation of the generic phases may also mean a clear and almost exclusive focus on some phases of the process and the purposeful neglect of others. It is proposed that future research should, in this context, establish which factors in the policy process will determine the type of process support that is needed and what requirements would suffice under particular circumstances.

Based on the assumption that the above process is facilitated by a range of management arrangements in the institutional system, an improvement of the capacity to manage policy processes will improve the effectiveness and efficiency of policy-making exercises. The second hypothesis was postulated as: *Institutional capacity-building of the management arrangements for the facilitation of policy processes will lead to more effective and efficient policy making.* Against the background of the discussion in Chapter 5, the framework in Appendix D and the findings and conclusions formulated in section 7.2, it is clear that there is a positive correlation between the two components of the hypothesis. This area encapsulates many elements and factors. Although the study focuses on some particular aspects, such as the institutionalisation of policy capacity on intergovernmental and organisational levels, it is important – for future purposes – to establish which institutional elements become key requirements under what kind of circumstances in a particular policy-making endeavour. Furthermore, it is expected that institutional capacity building will remain important for the foreseeable future but that once capacities of a reasonable standard are in place, specific requirements and focus areas may arise such as the exact nature of analytical skills required, sophisticated monitoring mechanisms, and others. A considerable amount of analysis and research should be conducted on the above aspects in the future. It may be useful to monitor operational policy processes against such frameworks in order to improve our understanding of the nature of these processes. Such an improved understanding may necessitate a revision of present analytical frameworks and support.

This study recommends that policy management, as a cross-cutting, lateral methodology, in conjunction with similar methodologies – such as strategic planning, research methodology and project management – should be regarded as a critical tool, for the academic community and development practitioners alike, in their efforts to help government, the private sector and civil society to improve their decision-making skills.

7.4 PRIORITY ISSUES FOR FUTURE RESEARCH

Opportunities have opened up for South African universities to participate in and support the reconstruction and development effort and to explore their respective roles and responsibilities in the policy field. The following are some specific recommendations in this regard:

- * Existing research and analysis capacities in the majority of disciplines at South African universities represent an important professional capacity. Such efforts should be coordinated with similar efforts by government and semi-government institutions such as the *HSRC*, and *CSIR*, the *DBSA* and *CSS*.
- * Much could be done to ensure that research priorities are aligned to reconstruction and development objectives, and that a programme of research that contains symbiotic and mutually inclusive elements is actively managed and coordinated.
- * Given the above, the South African family of universities should also ensure that intellectual focus points regarding policy analysis, policy management and related disciplines are adequately institutionalised in existing departments to ensure that university contributions provide support to essential policy processes. In this regard, several specific considerations are important (especially intergovernmental and organisational considerations).
- * Networking with international (especially African) universities, local centres of excellence and key public sector units may ensure direct operational involvement.
- * Cross-cutting, lateral methodologies, such as policy management, are interdisciplinary and multidisciplinary by nature and may programme and link the services and products of various departments or even expose and market contemporary research programmes.

- * A focus on process facilitation, policy processes and policy management is warranted in addition to the important and already existing policy analysis emphasis in Development Studies, Development Administration and Public and Development Management disciplines. Such an emphasis may allow policy facilitation, as a service, to play a catalytic role in unlocking valuable analysis capacities at South African universities.
- * The international experience suggests that a total package of non-governmental and governmental support to policy processes should be considered. In the South African experience this suggests not only a rethink of public sector policy, information and evaluation and planning capacities at the intergovernmental and organisational levels, but also some innovative adjustments to allow coordination and engagement with extra governmental capacities. These include institutes, centres and other concentrations of specialist knowledge, such as universities. Innovative policy courses for senior politicians and civil servants, middle management training and operational exposure are areas which hold much potential for future cooperation between universities, independent research centres and government.
- * Much has been said in this study (see Chapter 5) about policy capacities in and outside government, also at the intergovernmental level. Emphasis is also placed on relatively independent capacities, coordination arrangements and university contributions. It is essential that the latter capacities retain an independence from government to ensure alternative and pro-active research.

Some specific recommendations regarding priority issues for research in the field of policy management in South Africa include:

- * The relationship between the emerging understanding of policy management and its interaction with development management and the management of change. In this regard special attention must be given

to the nature of policy management under conditions of rapid change.

- * Policies in South Africa have a special role to play with regard to reconstruction and development. What does a development focus mean to policy management in other parts of the world undergoing similar transformation?
- * Although this study focused on policy processes, much research still needs to be conducted on the relationship between policy processes and concurrent processes, such as decision-making processes in government, budgetary cycles, information processes and others.
- * Policy analysis warrants continued attention. The wealth of specific techniques and approaches available in the international arena is not well known in South Africa. An assessment of the available techniques and approaches for South African application is essential. Specific areas such as issue filtration have been shown to be highly relevant.
- * Specific research needs to be conducted on the nature of policy processes. Although a generic process model has been proposed, specific requirements may arise for policy processes at the sectoral and provincial policy levels. More attention needs to be given to the role of facilitators. Conflict-resolution techniques, by way of example, are highly relevant to negotiations of a policy nature. However, few international techniques have been applied to the South African setting.
- * Further research work is necessary to compare the various South African policy process experiences. Rapid developments in the policy field limited the opportunities for comparing experiences and success factors. In the same way, very few comparative studies have been initiated to establish the relevance of similar international lessons of experience.
- * Focused research is needed in the area of institutional capacity building for policy processes. In particular, an assessment needs to be made of

the current South African policy system to establish the status of policy, the strengths and weaknesses of the policy system and the opportunities and threats that it faces. Certain areas are likely to face critical skills shortages and long-term planning is necessary to address this. A critical skills assessment, at national, provincial and local government levels, but also outside government, should be conducted.

- * Given the impact that a political system normally has on policy support capacities, an analysis and assessment is required of the nature of the South African political system and the likely impact it may have for the policy and research community.
- * Valuable lessons are to be learnt in South Africa with regard to past policy processes. These should be identified and researched. In particular, it is recommended that case study exercises be undertaken of past and present policy-support-type organisations to ascertain critical success factors. A great deal of research remains to be conducted on the nature of the successful policy-research organisation.
- * It is necessary to critically review policy, information and evaluation capacity requirements at provincial level. Special attention will have to be given to the respective roles and responsibilities of the central and provincial government levels.
- * A specific approach that needs further attention is that of policy learning. In this context policy learning means the specific lessons of experiences that emanate from particular exercises in various ways, for example, by analysts vis-à-vis other exercises, by way of studying implementation and by following policy cycles on the same policy topic over long periods of time.
- * This study places a particular emphasis on case studies and simulation exercises. Particularly case studies were found to be of great benefit for the purposes of learning and teaching. Furthermore, case studies allow

comparative analysis. For these reasons it is recommended that research be conducted on the nature of case studies as a learning methodology (including the requirements put to a case study) and that research should focus on establishing and developing further case study material on policy processes specifically.

- * As was mooted in the previous section on recommendations (section 7.4), it is essential that specific courses be designed for future development managers. This implies not only a revision of present syllabii at university level, but a serious effort in providing relevant training and orientation to senior civil servants and politicians respectively.

7.5 CONCLUSION

The core findings and conclusions of the study are presented in the above text (see section 7.2 and Chapter 1). The key findings and conclusions are presented thereafter in the discussion on strategic perspectives (section 7.2), implications for the academic community, selected perspectives on the South African experience, theoretical approaches to policy management, theoretical approaches to policy processes, institutional arrangements for policy management and conclusions on the case study. Concluding observations were also made on the study as a whole and on the hypothesis in particular (section 7.3). In the discussion that follows (see section 7.4) priority issues for future research are identified.

In conclusion, and as observed in the introductory discussion of this study, the contextualisation of an issue in its multidisciplinary context has proved to be essential and confirmed our understanding that everything in the universe is connected to everything else. In this regard, the study shows that whilst a development management approach generally and a policy management approach specifically can be employed as a lateral, cross-cutting methodology in the social sciences, the study of policy processes and the management thereof provides analytical tools through which societal processes can be

approached, understood, and on which options can be generated to improve effective management. The ability to manage and facilitate change, to consider strategic options and to make rational choices and decisions is critical for decision-making processes at all levels, in and outside government. This study aims to contribute to our base understanding of policy processes and their management by identifying and exploring these relatively new areas of study and by proposing some specific tools in the quest for improved instruments for policy appraisal, planning, implementation and evaluation.

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APPENDIX A

**SOUTH AFRICAN BASED TERTIARY INSTITUTIONS:
DEVELOPMENT STUDIES, DEVELOPMENT
ADMINISTRATION AS WELL AS PUBLIC AND
DEVELOPMENT MANAGEMENT***

INSTITUTION	CONTACT PERSON	ADDRESS
Bureau for Public Management Development TECHNIKON SA	Manager: Mr Alan Jonker Tel: (011)471-2357 Fax: (011)471-2559	Private Bag X6 Florida 1710
Centre for Regional Development (SENRIO) POTCHEFSTROOM UNIVERSITY FOR CHE	Acting Director: Prof Stef Coetzee Tel: (0148)299-2605 Fax: (0148)299-1469	Private Bag X6001 Potchefstroom 2420
Centre for Social and Development Studies (CSDS) UNIVERSITY OF NATAL	Departmental Head: Prof Simon Bekker Tel: (031)260-2361	Private Bag X10 Dalbridge 4014
Department of Development Administration UNIVERSITY OF SOUTH AFRICA (UNISA)	Departmental Head: Prof Hennie Swanepoel Tel: (012)429-6813 Fax: (012)429-3221	P O Box 392 Pretoria 0001
Department of Development Administration UNIVERSITY OF VENDA	Departmental Head: Prof D J C Riekert Tel: (0159)21071 Fax: (0159)22045	Private Bag X5050 Thohoyandou Venda

* This list has been compiled for the purpose of identifying the major institutions, as described, in these fields. As such, it is not a complete list, but fairly comprehensive. Departments of Political Science, Public Administration and others have been excluded.

INSTITUTION	CONTACT PERSON	ADDRESS
Department of Development Studies FORT HARE UNIVERSITY	Departmental Head: Prof Siphon Buthelezi Tel: (0404)32011 x 2202 Fax: (0404)31643	Private Bag X1314 Alice 5700
Department of Development Studies RAND AFRIKAANS UNIVERSITY (RAU)	Chairman: Prof Chris Maritz Tel: (011)489-2911/3055 Fax: (011)489-2797	P O Box 524 Johannesburg 2000
Department of Development Studies UNIVERSITY OF THE NORTH	Departmental Head: Prof Andre de Villiers Tel: (0152)268-2424 Fax: (0152)268-2873	Private Bag X1106 Sovenga 0727
Department of Development Studies UNIVERSITY OF THE NORTHWEST	Department Head: Prov V C Chiklulo Tel: (0140)892249 Fax: (0140)892504	Private Bag Mmabatho 8681
Department of Public Administration and Law PORT ELIZABETH UNIVERSITY	Departmental Head: Dr Henry Wissink Tel: (041)504-3814 Fax: (041)504-3820	Private Bag X601 Port Elizabeth 6000
Fort Hare Institute of Government UNIVERSITY OF FORT HARE	Director: Dr Derrick Swartz Tel: (0404)92445 Fax: (0404)92447	P O Box 1153 King Williams Town 5600
Graduate School of Public and Development Management. Faculty of Management UNIVERSITY OF THE WITWATERSRAND (WITS)	Director: Dr Mark Swilling Tel: (011)488-5501 Fax: (011)484-2729	P O Box 601 Wits 2050

INSTITUTION	CONTACT PERSON	ADDRESS
School for Public Management and Administration UNIVERSITY OF PRETORIA	Director: Prof Chris Thornhill Tel: (012)420-3334 Fax: (012)342-4964	University of Pretoria School for Public Management Pretoria 0002
School of Government UNIVERSITY OF THE WESTERN CAPE (UWC)	Director: Prof Chris Tapscott Tel: (021)959-3189 Fax: (021)342-4964	Private Bag X17 Belville 7535
School of Public Management UNIVERSITY OF STELLENBOSCH (US)	Director: Prof Erwin Schwella Tel: (021)918-4122 Fax: (021)918-4123	Private Bag X5018 Stellenbosch 7599
School of Public Policy and Public Management UNIVERSITY OF DURBAN WESTVILLE	Director: Dr Norman Levy Tel: (031)820-2601 Fax: (031)820-2383	P O Box 51037 Musgrave 4062

APPENDIX B**POLICY, EVALUATION AND INFORMATION PROGRAMMES
OF THE *CENTRE FOR POLICY AND INFORMATION (CPI)*, DBSA
(AUGUST 1995)****1. PROGRAMMES IN RESPECT OF MACROECONOMIC POLICIES,
STRATEGIES AND STRUCTURAL REFORM****Policy and Evaluation Programmes:**

- 1.1 International Economic Relations and Cooperation
- 1.2 Macroeconomic Management
- 1.3 Regional Economic Management
 - 1.3.1 Subprogramme: Structural Reform
- 1.4 Local Economic Management
- 1.5 Economic Development Management and Constitutional Transformation
- 1.6 Macroeconomic
 - 1.6.1 International Economic Relations
 - 1.6.2 National, Regional and Social Accounting Matrix
 - 1.6.3 Labour
 - 1.6.4 Household Income and Expenditure
 - 1.6.5 Informal Sector

**2. PROGRAMMES IN RESPECT OF STRATEGIC DEVELOPMENT
THEMES****Policy and Evaluation Programmes**

- 2.1 Institutional Dimensions of Development
 - 2.1.1 Macro-institutional Issues and the Public Sector

- 2.1.2 Civil Society
- 2.2 Micro Finance
- 2.3 Social Dimensions of Development
- 2.4 Technical Dimensions of Development
- 2.5 Environmental Dimensions of Development
- 2.6 Institutional Dimensions of Land Reform and Development

Information programmes

- 2.7 Human Development
 - 2.7.1 Poverty, Human Development and Quality of Life
 - 2.7.2 Demography
 - 2.7.3 Gender
 - 2.7.4 Youth
- 2.8 Finance
 - 2.8.1 Public Finance
 - 2.8.2 Development Assistance
 - 2.8.3 Development Finance
 - 2.8.4 Micro Finance
- 2.9 Institutional
- 2.10 Environmental, Natural Resources and Technical
 - 2.10.1 Environmental, and Natural Resources
 - 2.10.2 Technical
 - 2.10.3 Land
- 2.11 Special Programmes and Assignments
 - 2.11.1 Economic and Human Development Reports on Provinces

**3. PROGRAMMES IN RESPECT OF SECTORAL POLICIES,
STRATEGIES AND STRUCTURAL REFORM**

Policy, evaluation and information programmes

- 3.1 Rural and Agricultural Development
- 3.2 Urban Development
- 3.3 Business and Entrepreneurial Development
- 3.4 Infrastructure Development
- 3.5 Education and Training
- 3.6 Health and Welfare

**4. PROGRAMMES IN RESPECT OF BANK STRATEGIC AND
OPERATIONAL POLICY**

Policy programmes

- 4.1 Analytic Methods and Techniques
- 4.2 Policy on Evaluation
- 4.3 Development Support Function
- 4.4 Policy on Policy
- 4.5 Policy on Information

APPENDIX C

PHASES AND KEY CONSIDERATIONS FOR THE PLANNING, APPRAISAL AND EVALUATION OF POLICY PROCESSES

PHASE:	KEY CONSIDERATIONS:
<p>1. POLICY PROCESS INITIATION</p> <ul style="list-style-type: none"> - Mandate and legitimacy - Consultation with key players - Preliminary objective setting - Rules of the game 	<p>Why is the policy being initiated? Assess the need for the exercise. Is there general agreement on the problem to be addressed? Did preliminary problem identification and agenda setting take place? How did the problem reach the political system and who/what are the specific sources? How is the issue understood by the different players outside the "system"? Within the system, who is willing to raise the issue and willing to ensure that action is taken on it? Where in the system are the powers that be? What are the possible obstacles to agenda setting?</p> <p>Were preliminary objectives of the policy identified? Is there a feeling of trust with the players and can this be fostered? Are there areas of agreement and disagreement? Is there a common basis from which to move? Is it the public opinion that such a policy should be initiated? Is there any opposition to initiation? Why? Which other smaller or larger processes exist or which should be initiated? Where did initiation originate? Who is the legitimate person or body that has the political and legal mandate to initiate? Have all players been identified and are they in agreement with policy initiation? Who are the key players and what do they bring to the table? Do non-governmental organisations have the capacity to</p>

PHASE:	KEY CONSIDERATIONS:
	<p>participate? Do they have technical expertise? Should special capacity-building endeavours be initiated? Are key players representative? Is the initiation timeous? Is it tactically and strategically an opportune time? A political move? Is it a mega-policy or a sub-policy and does it relate to other ongoing policy exercises and policies being initiated? Are these initiatives transparent?</p> <p>Do the drivers of the process (those who initiated) foresee a design process? Are further processes in place to ensure joint planning of the process? Is it necessary to facilitate a plenary process (pre-process) for this purpose? Are basic institutional arrangements in place? If the plenary meeting is too large, has a working committee been considered?</p> <p>Over and above the initiation of a formal process (e.g by government), which other policy initiatives are taking place on the same subject? Which informal policy processes have been initiated by non-governmental groups? Did protest activity take place? Are the media covering the issue? Can opposition groups form part of this process?</p> <p>Should a consultative forum be facilitated and consulted? What are the cost implications of this phase? Can it be planned and budgeted for?</p>
<p>2. POLICY DESIGN</p> <p>– Agreement on process</p>	<p>Has a design phase for the purposes of planning, programming and budgeting been considered? Did all players agree on the major phases of the process</p>

PHASE:	KEY CONSIDERATIONS:
<ul style="list-style-type: none"> <li data-bbox="279 264 518 297">– Objective setting <li data-bbox="279 320 638 353">– Institutional arrangements <li data-bbox="279 376 598 409">– Policy project planning 	<p data-bbox="670 264 1372 465">beforehand? Have all possible phases been considered? Are they all necessary? Have the critical elements of the various phases been identified? Has the policy output been determined?</p> <p data-bbox="670 510 1372 1227">Did participants attempt to programme major actions (time sequencing)? Have the objectives of the policy process been determined and have indicators been developed for the purpose of monitoring and evaluation? Has problem identification and agenda setting taken place? (confirmation of previous phase). Were broad goals and objectives identified? Were indicators developed which could measure success against objectives? Has the problem been defined? Do players agree? Have the major problems been placed on the agenda? Did those with authority place it there? Is there political consensus that such a problem exists?</p> <p data-bbox="670 1283 1372 1597">Are the political players taking ownership and are they visible? Has specific attention been given to institutional arrangements for the policy process? Have analytical teams been provided for? Do those managing the process have the capacity to do so? (see Appendix C).</p> <p data-bbox="670 1653 1372 1977">If organisations play a major role in the policy process, especially if facilitated by a specific organisation, does the nature of the management system enhance policy management? Are policy analysts managed by flat management structures and are they able to analyse independently? Has special</p>

PHASE:	KEY CONSIDERATIONS:
	<p>attention been given to the technical skills required? Are teams multidisciplinary and of a sufficiently high standard? Are there any actions needed to empower stake-holders to participate? Do players have the authority to take decisions?</p>
<p>3. POLICY ANALYSIS</p> <ul style="list-style-type: none"> - Issue filtration and prioritisation - Options analysis - Consequences - Set of value judgements 	<p>Is there time for analysis? Has the problem been defined? Have opportunities and questions on the problem been identified? Did an identification and prioritisation of key policy issues take place?</p> <p>Have specific techniques for issue filtration and problem definition been considered? Do players agree on the above? Were drafts used as a technique in negotiation?</p> <p>Have alternative policy options been determined? Were all options identified? Have the likely consequences of the various policy options been considered, and if relevant, quantified? Can the various outcomes be predicted? Can quantitative analysis help? Have fixed positions been adopted on the issue? How will these positions impact on options? Should analysis be continued if positions are fixed? Have criteria, indicators and information requirements been redefined?</p> <p>Has a set of value judgements been made on the options above, so as to make informed recommendations to decision makers?</p>

PHASE:	KEY CONSIDERATIONS:
	<p>Have various policy analysis techniques been considered insofar as specific techniques and models may be relevant? Are there typical models and approaches that apply to the subject matter? Have professional policy analysts on the subject matter been consulted?</p> <p>Have scientific policy analysis efforts determined the causes and consequences of previous policies and government action? Is there comparative international experience?</p> <p>Is relevant and reliable information available to support the policy options? What is the status of information management in the area? Is it accessible? Has the knowledge of the history of the issue contributed to option generation and choice? Who owns and manages the information in the particular field? Is it accessible?</p>
<p>4. POLICY FORMULATION</p> <ul style="list-style-type: none"> - Report format - Confirmation - Proposals 	<p>Has an effort been made to purposefully articulate policy? Have professional drafters been involved? Is the policy formulated at the principle level? Is it easily understandable? Have unnecessary details been avoided and is the policy generically applicable?</p> <p>Does the formulated policy need to be provided for in legislative terms? Will the policy be translated into realisable strategies and administrative procedures? Will this be seen to in the implementation phase? Are the drafters acceptable to all players? Did all players</p>

PHASE:	KEY CONSIDERATIONS:
	<p>debate and confirm the correctness of the final policy document? Has detail been avoided? Does it contain an executive summary? Does it need to be translated?</p> <p>If the policy is to be incorporated in other policy documents, do the players of the policy process have control over further processes? Have special arrangements been made for proposing the policy for decision makers?</p>
<p>5. POLICY DECISION</p> <ul style="list-style-type: none"> - Decision-making process - Consultation - Mandated decision - Debrief and negotiate 	<p>Did the legitimate person or body approve the policy? Has such approval been made known? Is such a policy adoption seen as being of symbolic value? Can this be improved? If so, will the policy be properly communicated in the next phase? Do all relevant constituencies regard the policy approval as a mandate for implementation? Do political decision makers need to inform other players about the approved policy? Were other senior decision makers consulted? Who were they?</p> <p>Have the decision makers been informed of decision criteria? Did personal, political, public values play a role? Did the decision makers consider deference if the policy was not adopted? Did the decision maker consider the political and executive feasibility of the proposal?</p>

PHASES:	KEY CONSIDERATIONS:
<p>6. POLICY DIALOGUE</p> <ul style="list-style-type: none"> - Communication strategy - Dialogue - Ensure feedback - Implementing actions 	<p>Was agreement reached during the design phase on the contents of the policy dialogue phase? Was there a strategy in place to communicate the policy? Consider timing, nature and accessibility.</p> <p>Has a strategy been put in place to communicate the policy decision to all interested parties? Are specific marketing strategies in place? Is it necessary to embark on policy advocacy strategies?</p> <p>Have all key players communicated the policy approval to their constituents? Will the meaning of the policy be discussed with all involved? Does feedback occur? Have specific steps been put in place to record all feedback and to feed it back into the policy process?</p> <p>Is it necessary to make specific analysts available to clarify policy positions? Where can further technical information be obtained? Will the policy be published and will it be accessible to all? Was an executive summary provided? Was information prioritised and is detailed information available? Was feedback given to decision makers and evaluators as to how the policy was received? Was review necessary?</p>
<p>7. POLICY IMPLEMENTATION</p> <ul style="list-style-type: none"> - Translation to operational policy 	<p>Did all implementing bodies take part in the policy process and has the approved policy been communicated to those who will implement it? Were executive guidelines, operational policy and admini-</p>

PHASE:	KEY CONSIDERATIONS:
– PPB of programmes and projects	strative procedures attended to?
– Management and monitoring	<p data-bbox="671 376 1390 701">Are follow-up sessions necessary to further explain the policy? Were those responsible for implementation given the opportunity to interpret the policy and did they formally react to the policy with strategies as to how the policy will be given effect? Have specific actions been allocated to specific players?</p> <p data-bbox="671 779 1390 1664">Is coordination taking place? Have specific capacities been put into place to monitor implementation? Are specific mechanisms in place to adjust implementation strategies, if necessary? Are the results being monitored and ongoing adjustments made? Have the policies been translated into strategies that are achievable and are clear programmes and projects in place? Are the necessary institutional arrangements in place to give effect to the policy? Is it necessary to develop implementation guidelines? Have the programmes and projects been properly planned, programmed and budgeted? Were human resources provided for and are work procedures and organisational arrangements clear? Have performance standards been agreed upon and are these being adhered to?</p> <p data-bbox="671 1686 1390 1951">Have standard report-back procedures been put into place and are the key players implementing the policy result-orientated? Are measures in place to monitor effectiveness and efficiency? Have mechanisms been designed to ensure that implementation feedback is</p>

PHASES:	KEY CONSIDERATIONS:
<p>8. POLICY EVALUATION AND MONITORING</p> <ul style="list-style-type: none"> - Management arrangements - Objectives, criteria, indicators and information - Evaluation - Report and follow-up 	<p>given to those reviewing the policy?</p> <p>Were the nature and objective of evaluation discussed and agreed upon during the design phase? Were institutional arrangements put in place to ensure evaluation? Was agreement reached beforehand on how results are to be measured? Were criteria and key indicators determined? Are information bases in place to inform such indicators? Have policy, information and evaluation capacities been institutionalised to ensure a devoted capacity that can monitor policy developments on an ongoing basis? When and by whom should evaluation be conducted? Moreover, are evaluators aware of the purpose of evaluation? Have outsiders and insiders been considered? Are the monitoring elements relevant to evaluation? Have evaluations been performed against set objectives?</p> <p>On what basis are decisions made about which policies? Which specific components should be evaluated and why? Has it been considered that both policy output and policy impact should be evaluated? What adjustments should be made and should policy processes be initiated or continued to ensure review?</p> <p>Has the policy process been evaluated? Were known evaluation methodologies used to evaluate?</p> <p>Were those performing the evaluation qualified to do so and do they have a credible track record? Were</p>

PHASE:	KEY CONSIDERATIONS:
	<p>qualitative and quantitative indicators used? Was the end client asked to evaluate? Will those involved cooperate with an evaluation? If not, should special measures be put in place to ensure such evaluation? Will evaluation results affect future decisions? Will evaluations be completed in time for decision making? Consider the impact of evaluation.</p>

APPENDIX D

MAIN DIMENSIONS AND KEY CONSIDERATIONS FOR THE PLANNING, APPRAISAL AND EVALUATION OF INSTITUTIONAL CAPACITY BUILDING: TOWARDS A FRAMEWORK FOR THE APPRAISAL OF POLICY PROJECTS AND PROGRAMMES

MAIN DIMENSION:	KEY CONSIDERATIONS:
<p>1. THE MACRO- INSTITUTIONAL SYSTEM</p>	<p>Consider the project in systems context. How is the project related to its environment? Which relationships are crucial and what is their nature? Which major political, social and economic trends and tendencies are present at the macro (global, national, regional) level? Who are the main players effecting the project and what is their capacity to participate?</p> <p>Determine specific players in the public sector who are relevant, at all three tiers of government, in the private sector, as well as the non-governmental sectors. Are their actions being coordinated and are they cooperating? Are there any specific intergovernmental relations that are relevant to the project? Consider the project in strategic context. Have those involved in the project considered strategic considerations through, for example, a strategic planning exercise. Have subsequent business planning, programming and budgeting been attended to? What are the important programme factors? Which elements of the project are</p>

MAIN DIMENSION:	KEY CONSIDERATIONS:
	<p>already in operation and what can be learnt from them?</p> <p>What is the status of policy, strategy and planning arrangements? What is the status and standard of related policies and strategies? Identify related planning processes and determine the relevance. What is the status of information management in the field? Is information available and accessible? Who manages and controls information? Does the project require specific information? Are evaluations available on similar projects? Consider policy, information, evaluation and planning capacities available. Are there any specific legal requirements or factors which will impact on the project?</p>
2. MANAGEMENT	<p>Determine the capacity to manage the project. Who is primarily responsible and which other key players will have a direct impact on the management of the project? What is the quality of leadership at political and executive levels? Are effective and efficient managers in place to execute the project?</p> <p>Consider the relevance of development management. Are there specific requirements? Is the project being planned and executed under conditions of transformation, broadly speaking? Is change being actively managed through specific interventions? Are priorities clear? How will this impact on the project? What are the attitudes of players towards change?</p>

MAIN DIMENSION:	KEY CONSIDERATIONS:
	<p>Consider the organisational unit or units responsible for managing the project. Does a common vision exist? Are the main functions of the project clear and organised? Do business plans have specific actions and key players and are these actively managed? Are re-adjustments necessary? Are the human resources adequate to manage the project? What is the status of human resources management policy and practise on the project? Is performance being managed? Consider skills required, training and orientation as well as the full ambit of HR policies (recruitment, social security, remuneration, etc). What is the style of management? Is the organisation appropriately structured? Consider the organisational structure, functions, systems, services and procedures. Also consider perceptions, attitudes, values, conflicts and political agendas. Is there a specific history of organisational development? If so, consider the relevance.</p> <p>Consider the status of financial management. Are players accountable and transparent? Consider sources of funding, co-funding and management. How are decisions on financial allocations being made? Who decides, monitors and controls? Who can reallocate budgetary provisions? Has multiyear budgeting taken place? Are basic financial systems and procedures in place? Consider recurrent and capital items and longer-term considerations.</p>

MAIN DIMENSION:	KEY CONSIDERATIONS:
	<p>Consider administrative and logistical support for the project. Has this been planned and budgeted for? Did contingency planning take place? What are the basic administrative requirements? What specific logistical support is necessary? Consider administrative (computers, printers, stationery, etc), communication (telephone, fax, etc) and physical (location, venues, resources, related support etc) requirements.</p> <p>Regarding management specifically, consider how the classical management functions of strategic guidance, decision making, controlling, planning and budgeting as well as organising and staffing are being managed. Consider the roles of a manager as figurehead, leader and liaison officer (interpersonal roles), as monitor, disseminator and spokesperson (informational roles) and as entrepreneur, disturbance handler, resource allocator and negotiator (decisional roles).</p>
<p>3. SOCIOPOLITICAL ANALYSIS AND ASSESSMENT</p>	<p>Although this dimension may not necessarily be a target for intervention, it is essential that social and political trends and tendencies which may have a direct bearing on the project be considered. Determine the level of participation. What is regarded as a sufficient level of participation? Who identified and initiated the project? Are players participating in planning the project? Are they taking decisions? Are players participating in the implementation, maintenance and evaluation of the project? What are the perceptions of players about levels of participation?</p>

MAIN DIMENSION:**KEY CONSIDERATIONS:**

Are their respective roles and responsibilities clear?
What are the limits to participation?

Which important social and political processes and factors may have a direct bearing on the project? Consider political scenarios and stability. Will party political activity impact on the project? Consider the likelihood of violence. Will this be facilitated? Are communities mobilised and organised and is strong leadership in place? Consider the relevant social factors, such as religion, culture, education, health, empowerment, access to opportunities, stability of families, welfare and social security. Does the project have the ability to scan and assess likely impacts on an ongoing basis? Consider whether these systemic actions were taken into account during strategic planning.

APPENDIX E**MEMBERS OF THE *CDDR***

Dr B D Nomvete	Chairperson
Prof P Smit	Chairperson
Prof D A Basson	
Chief S M Burns-Ncamashe	
Mr A S du Plessis	
Ms D Govinden	
Prof Y Muthien	
Prof I Rautenbach	
Prof A F Steyn	
Ms A Bernstein	
Mr P G Daphne	
Ms N N Gwagwa	
Dr B M Malefo	
Prof W L Nkuhlu	
Mr K Reyneke	

APPENDIX F**MEMBERS OF THE *TST***

Administrative Secretary	Mr Saul Bodibe
Technical Secretary	Dr Renosi Mokate
Administrative Support Staff	Mr Frans du Preez Ms Thembi Mbobo Mrs Dora Morobe Mrs Ntombi Sithebe-Tsotetsi
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APPENDIX G

INTERVIEWS

- Ackron, Johan. Senior Official, *Strategic Planning Unit, Northern Provincial Government*. Numerous interviews.
- Alberts, Reneé. Senior Consultant, *Delloitte & Touche*. Numerous interviews.
- Arkwright, Dave. Senior Project Leader, *DBSA*. Interviews on 25 November 1994, 1 March 1995.
- Atkinson, Doreen. Specialist Researcher, Private Consultant. Numerous interviews.
- Baecher, Victoria. Public Policy masters' student, *Kennedy School of Government, Harvard University, Massachusetts*. Interviews on 17, 18 June 1994.
- Beale, Thomas. Private Institutional Consultant. Interview on 22 February 1995.
- Behrens, Robert. Head, *Southern African Unit, Civil Service College, United Kingdom*. Interviews on 27 July 1994, 3 March 1995.
- Bekker, Simon. Head of the *Centre for Social and Development Studies (CSDS)*. Numerous interviews.
- Beukes, Elwil. Professor, *Department of Economics, University of the Free State*. Numerous interviews.
- Binswanger, Hans. Agriculture and Land Reform Expert, *World Bank*. Interview on 19 July 1995.
- Boshoff, Hentie. Head of the *Institute for Future Studies, University of Potchefstroom for Christian Higher Education*. Interview on 18 August 1995.
- Botha, Thozamile. Director General, *Eastern Cape Provincial Government*. Numerous interviews.
- Campos, Ed. Institutional Specialist, *World Bank*. Interview on 19 July 1995.
- Cloete, Fanie. Professor, *Faculty of Management, University of Stellenbosch*. Interviews on 13 December 1994, 24 February 1995.
- Coetzee, Stef. Vice-Rector, *Potchefstroom University for Christian Higher Education*. Interview on 18 August 1995.

- Coleman, Colin. Coordinator, *CBM Regional Office, Gauteng*. Numerous interviews.
- Daphne, Paul. Personal Advisor to Job Mokgoro, *North West Provincial Government*. Interview on 28 November 1994.
- De Beer, Geoff. Divisional Manager, *Development Planning, Northern Region, DBSA*. Interview on 29 August 1995.
- De Kock, Phillip. Private Human Resources Consultant. Interview on 22 August 1994.
- De Villiers, Bertus. Head, *Centre for Constitutional Analysis, Human Sciences Research Council (HSRC)*. Numerous interviews.
- Du Pisanie, Johan. Professor, *Department of Economics, UNISA* and member of the *TST, CDDR*. Numerous interviews.
- Du Plessis, Dan. Information Coordinator, *Centre for Policy and Information (CPI), DBSA*. Interview on 17 January 1995.
- Elaigwu, Isawa. Director General, *Nigerian National Council on Intergovernmental Relations*. Interviews on 19 and 20 January 1995.
- Eloff, Theuns. Head of the then *Secretariat to the Multi-Party Negotiating Forum*. Presently CEO of the *NBI*. Numerous interviews.
- Feinstein, Andrew. *African National Congress* and *Gauteng REDF* facilitator. Interviews on 21 February, 28 April 1994.
- Fick, Johan. Private Consultant, *Impetus Developments*. Interviews on 14, 15 February, 25 August 1995.
- Foulsham, Jane. Senior Lecturer, *College Consulting Group, Civil Service College, United Kingdom*. Interview on 27 July 1994.
- Friedman, Steven. Director, *Centre for Policy Studies (CPS)*. Numerous interviews.
- Gabriels, Howard. Personal Advisor to Jay Naidoo, *RDP Office*. Interview on 21 December 1994, 24 March 1995.
- Grindle, Merilee. Professor, *Harvard Institute for International Development*. Interview on 21 July 1994.
- Heymans, Chris. Policy Coordinator, *Centre for Policy and Information (CPI), DBSA*. Numerous interviews.
- Hickey, Stephen. Chief Executive, *Civil Service College, United Kingdom*. Interviews on 28 July 1994, 3 March 1995.

- Humphries, Richard. Senior Researcher, *Centre for Policy Studies (CPI)*. Numerous interviews.
- Husock, Howard. Head, Case Study Programme, *Kennedy School of Government, Harvard University*, Massachusetts. Interview on 22 July 1995.
- Irvine, Douglas. Head, *Technical Support, Commission for Provincial Government (CPG)*. Interview on 16 March 1995.
- Jacobs, Jeff. Head of Division, *Inner Cities Policy Unit, Department of the Environment*, United Kingdom. Interview on 27 July 1994.
- Jenkins, Ivor. Senior Manager, *Institute for a Democratic South Africa (IDASA)*. Interviews on 15 April and 18 November 1994.
- Jeppe, Julius. Professor, *Faculty of Management, University of Stellenbosch*. Interview on 13 December 1995.
- Koster, Jan. Policy Programme Coordinator, *Centre for Policy and Information (CPI), DBSA*. Interviews on 15 January 1992, 14 November 1994, 11 January, 30 January, 28 February, 15, 16 March, 3 August, 21 June 1995.
- Kotzé, Dirk. Emeritus Professor of the *Department of Development Administration, University of South Africa*. Interviews on 12 May and 21 June 1995.
- Lamola-Abramse, Tanya. Senior Official, *RDP Office*. Interview on 24 March 1995.
- Landsberg, Chris. Senior Researcher, *Centre for Policy Studies (CPS)*. Interview on 14 January 1994.
- Leonard, Dutch. Dean, Teaching Programmes, *Kennedy School of Government, Harvard University*, Massachusetts. Interview on 22 July 1995.
- Lundberg, Colette. Private Consultant. Interview on 28 August 1994.
- Mathebe, Norman. Chairperson, *KwaNdebele Rural Job Development Association*, and Mayor, KwaNdebele. Interview on 21 November 1994.
- Mboweni, Tito. Minister of the *Department of Labour*. Interview on 2 September 1994.
- Mentzel, Clive. Acting Director, *Strategic Planning and Policy Unit, Eastern Cape Provincial Government*. Interview on 1 September 1995.

- Meyer, Roelf. Minister of *Provincial Affairs*. Also chief negotiator for the *National Party* in the *MPNF*. Numerous interviews.
- Mmakola, David. Institutional Specialist, *Centre for Policy and Information (CPI)*, *DBSA*. Interview on 10 August 1995.
- Mokaba, Benny. Divisional Manager, *Centre for Policy and Information (CPI)*, *DBSA*. Interview on 10 January 1995.
- Mokate, Renosi. Head, *Technical Support Team (TST)*, *Commission for the Demarcation and Delimitation of Regions (CDDR)*. Numerous interviews.
- Mokgoro, Job. Director General, *North West Provincial Government*. Interviews on 16, 28, 30 November 1994.
- Mouton, Johan. Head of the *Centre for Interdisciplinary Studies*, *University of Stellenbosch*. Interviews on 13, 14 December 1994.
- Naidoo, Devan. Senior Policy Analyst, *IDRC/RDP Information Project*. Interview on 23 November 1994.
- Nomvete, Bax. Executive Director, *Africa Institute for Policy Analysis and Economic Integration (AIPA)* and Co-Chairperson of the *CDDR*. Numerous interviews.
- Olver, Chippie. Senior Manager, *RDP Office*. Interview on 24 March 1995.
- Phosa, Matthews. Premier, *Mpumalanga Provincial Government*. Interview on 30 March 1994.
- Poolman, Joe. Chairperson, *Afrikaanse Handelsinstituut*. Numerous interviews.
- Richter, Deon. General Manager, *Centre for Policy and Information (CPI)*, *DBSA*. Interviews on 29 April, 18 November 1994, 25, 29 January 1995.
- Rootman, Pieter. Director, *Strategic Planning and Policy Unit*, *Mpumalanga Provincial Government*. Interview on 30 March 1994.
- Roux, Andre. Programme Manager, *Centre for Policy and Information (CPI)*, *DBSA*. Interviews on 16 and 24 November and 1 December 1994.
- Scholefield, Susan. Assistant Secretary, *Efficiency Unit*, *Cabinet Office*, United Kingdom. Interview on 28 July 1994.
- Scott, Ian. Personnel Manager, *World Bank*. Interview on 18 July 1994.
- Senge, Peter. Learning Organisation Expert. Interview on 11 September 1994.

- Shah, Anwar. Fiscal Relations Expert, *World Bank*. Interview on 18 July 1994.
- Shisana, Olive. Group Manager, *Medical Research Council (MRC)* and member of the *TST*. Numerous interviews.
- Shubane, Khehla. Senior Researcher, *Centre for Policy Studies (CPS)*. Interview on 15 November 1994.
- Sindane, Jabu. Senior Researcher, *Centre for Constitutional Analysis, Human Sciences Research Council (HSRC)*. Interview on 4 November 1994.
- Smit, Flip. Rector, *University of Pretoria* and Co-Chairperson of the *CDDR*. Numerous interviews.
- Swanepoel, Hennie. Professor and Head of the *Department of Development Administration, UNISA*. Numerous interviews.
- Swart, Danie. Senior Project Leader, *Fisheries Policy Project, DBSA*. Numerous interviews.
- Swartz, Derrick. Director, *Fort Hare Institute of Government, Fort Hare University*. Interview on 1 September 1995.
- Swilling, Mark. Director, *Graduate School of Public and Development Management (P&DM), University of the Witwatersrand*. Interviews on 26 March, 26 May 1994, 29 June, 27 July and 31 August 1995.
- Tomlinson, Richard. Professor, *Graduate School of Public and Development Management, University of the Witwatersrand*, Member of the *TST*. Numerous interviews.
- Van der Merwe, Louis. Director, *Centre for Innovative Leadership (CIL)*. Interview on 11 September 1994.
- Van Zyl, Johan. Professor, *Department of Economics, University of the Free State*. Numerous interviews.
- Vink, Nick. Divisional Manager, *Centre for Policy and Information (CPI), DBSA*. Interview on 25 January, 9 and 16 March 1995.
- Wai, Dunston. Senior Advisor to the Vice President for Africa, *World Bank*. Interview on 18 July 1994.
- Wentzel, Phillip. German Doctoral student on policy learning at the *University of the Witwatersrand*. Numerous interviews.

- Wiechers, Marinus. Rector, *UNISA* and *CBM* regional workshop participant. Numerous interviews.
- Wissink, Henry. Head of *Department Public Administration and Law, Port Elizabeth Technikon*. Interview on 25 August 1995.
- Wolmarans, Neels. Divisional Manager, *Technical Support Division, Centre for Policy and Information (CPI), DBSA*. Interview on 27 January 1995.
- Zimmerman, Peter. Dean, *Kennedy School of Government, Harvard University, Massachusetts*. Interviews on 17, 21 July 1994.