AFRICA’S PUBLIC SERVICE DELIVERY AND PERFORMANCE REVIEW (APSDPR)
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ABOUT THE JOURNAL.

Africa’s Public Service Delivery and Performance Review (APSDPR) is a journal in the niche area of Public Service Monitoring and Evaluation published by the Independent Service Delivery Monitoring Networks (ISDMN) in collaboration with the Department of Public Administration of the University of Fort Hare. The journal is a peer reviewed journal, aimed at the promotion and sharing of knowledge, skills and innovations in government and the wider Public Sector environment in South Africa and abroad. With an inter-disciplinary outlook, the journal will stimulate service delivery and scholarly debate with a view to addressing myriads of service delivery and performance challenges being faced in government. The journal aims at providing an innovative approach to Monitoring and Evaluation scholarship through independent monitoring of implementable interventions around public service delivery and its expected outcomes. It thus envisages a role towards the turning point in bridging the gaps that exist between Public Service Delivery and the envisaged “trickle down effects” on the targeted beneficiaries.

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Africa’s Public Service Delivery and Performance Review (APSDPR) is a quarterly journal issued by the Department of Public Administration of the University of Fort Hare and the Independent Service Delivery Monitoring Networks (ISDMN).

The purpose of the Journal is to promote and share knowledge, skills and innovations in government and the wider Public Sector environment within South Africa and Africa.

The Journal publishes peer-reviewed articles, case studies, fieldwork notes, viewpoints, policy briefs, book reviews (not peer-reviewed) and research results from practitioners of all grades and professions, academics and other specialists on the broad spectrum of Monitoring and Evaluation.

All manuscripts are circulated anonymously to specialist referees for evaluation. Reports from referees may be made available to authors but the names of referees will be withheld. On the basis of the referees’ reports, content and other deficiencies, the Editor reserves the right to make minor alterations or to reject any manuscript.

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INFORMATION FOR AUTHORS

Plagiarism

It is important to adhere to proper endnotes and references codes and applications. Ideas, quotes, finding of other authors must be acknowledged in articles submitted. Failure to do so is considered plagiarism. Plagiarism can be defined as, copying or using the ideas of another person’s work in whole or in part without crediting the original source.
GUIDELINES AND REQUIREMENTS FOR SUBMISSION

Length and Abstract:
All articles should be accompanied by an abstract of between 150 and 250 words stating the main research problem, major findings and conclusion(s), with articles between 6,000 and 8,000 words.

Ethical considerations:
It is important that authors submitting to the Journal reveal the source of any financial or research support received in connection with the preparation of their article. This should be included in the first endnote of the article.

All manuscripts submitted to the journal must not be in consideration or submitted for publication anywhere else, unless such article has been rejected by the Editor of Africa’s Public Service Delivery and Performance Review Journal. This may result in rejection by the Editor.

Technical considerations:
Document file [Microsoft] should be set in South African or UK English, regular A4 paper. 1.5 spacing, Times New Roman 12pt, Margins 1 inch. Tables, figures, pictures and their corresponding captions should be submitted in a separate file in .jpg format. The main text should however indicate where these must be inserted. Articles should not exceed 8,000 words, except with prior consent of the editor. Since manuscripts are circulated anonymously for evaluation, the name and affiliation of the author(s) should appear on the separate page.

Reference:
Only the Harvard style will be accepted for references.
E-mail copy:
To enable an effective review process, it is recommended that authors submit their papers by e-mail to trulashe@ufh.ac.za in the Microsoft Word format.

Title page:
The author’s full name and contact information (i.e. email address, telephone number and postal address) should appear only on the title page. The title page should be on a separate page from the main text of the article, but in the same document. The main text should begin with the title and abstract.
Local government in South Africa is no longer exclusively a function of national or provincial government; it is now regarded as a sphere rather than a tier of government. Section 152 of the Constitution of South Africa, 1996 stipulates the objectives of the local sphere of government, among which is ensuring the provision of services to communities in a sustainable manner. Poor or lack of service delivery by local authorities has received much media attention of late. Monitoring customer-focused service delivery could therefore be a critically important means to effect quality service delivery in local government. At its core this approach emphasises the treatment of municipal service users and the citizenry as customers. This article contends that conceptually customer-focused quality service delivery may potentially lever local government authorities out of the poor service delivery rut that has come to render some municipal authorities ineffective and inefficient and hence dysfunctional. At a conceptual level the article grapples with the elusive concept of service quality and the often contested concept of customer and proxy measures for monitoring service quality in the public sector. Citing British and South African customer-focused quality service delivery tools and initiatives, the article interrogates the efficacy of such initiatives and perspectives for monitoring customer-focused quality service delivery in the local sphere of government.

INTRODUCTION

Local government in South Africa is regarded as a sphere rather than a tier of government. In the Republic of South Africa, government is constituted as national, provincial and local spheres of government, which are distinct, interdependent and interrelated (Constitution of the Republic of South Africa, 1996, section 40[1]). A municipality has the right to govern, on its own initiative, the local government affairs of its community, subject to national and provincial legislation, as provided for in the Constitution of the Republic of South Africa, 1996 (Section 151[3]). Two documents that have been especially influential in restructuring local government in South Africa are the Constitution and the White Paper on Local Government Transformation, 1998. In terms of Section 40(1) and (2) of the Constitution, local government is one of the spheres of government that seeks to promote and enhance cooperative government. The White Paper on Local Government, 1998 also articulates that government in South
Africa is constituted as national, provincial and local spheres, which are distinctive, interdependent and interrelated.

Section 151 of the Constitution makes provision for the establishment of wall-to-wall municipalities for the governance of the whole country. Section 152 outlines the objectives of local government, among which are ensuring the provision of services to communities in a sustainable manner. The mechanisms through which developmental local government could be achieved are enshrined in section 153 of the Constitution. In relation to municipal service delivery, section 195 stipulates the imperative for efficient public service delivery. This explicitly stipulates that public administration should adhere to a number of principles, including that services should be provided impartially, and equitably and that resources should be utilised efficiently, economically and effectively.


The December 2000 local government elections marked the end of the transition period and reduced the number of municipalities from 843 to 284 (Reddy, Naidoo & Pillay, 2005:41), which have now been reduced further to 278 after the May 2011 local government elections. Service delivery or lack of it by municipalities has received much media attention. The elevated status of local government and the associated participatory rights of citizens clearly reflect the devolution of policy and authority. However, in spite of the tremendous strides made in democratising local government, poor service delivery and perceived corruption still result in some municipalities being dysfunctional. To be effective in monitoring service delivery, local governments both nationally and internationally are adopting New Public Management (NPM), private sector or market-oriented practices.

Common threads evident in public service delivery reform, especially in the United Kingdom, include among other measures, ‘entrepreneurial’ local governments that
promote competition or quasi-competition between service providers. Such local governments empower citizens by devolving control from the bureaucracy into the community, measure performance, focus not on inputs but on outcomes, are driven by goals and their missions, not rules and regulations, and define service users as customers (Morphet, 2008:66). The primacy of the customer dictates that local government provides services that are responsive to the needs of the customer. A customer-focused approach to service delivery is premised on the setting of sound standards, service delivery plans and targets that achieve measurable outcomes and ultimately customer and citizen needs satisfaction. Conceptually, quality is perceived as a function of accepted quality standards and service delivery plan outcomes and service delivery targets associated with a particular sphere of interest, appropriateness to purpose, through the ability to consistently meet or exceed perceived customer and citizen needs. Further to this, it can be perceived in terms of a local authority’s capacity for continuous improvement of processes and systems using feedback from service users as customers.

Similarly, the context of NPM, dissected into its well-known features of an overall vision of targets, measures and frameworks focused on the 3Es, Economy, Efficiency and Effectiveness, potentially provides opportunities for monitoring customer satisfaction by focusing service delivery on customer needs and using consultation feedback from customer-focused quality service delivery for continuous improvement of service delivery (Robinson, 1999:85). Best Value (BV) and Batho Pele, if and when cognisant of contextual specificities, can further be employed as critical monitoring tools for promoting the notion of customer-focused quality service delivery. However, it is critically important to note that despite the wide resonance of this term in the private sector, the very concept of customer in the public sector is problematic.

**CONTEXUALISING SERVICE QUALITY**

Service quality has been receiving much prominence of late due to its obvious relationship to costs, financial performance, customer satisfaction and customer retention. Service quality oriented organisations focus on ascertaining customer perceptions of service quality and subsequently devising tools and strategies to deliver the same (Sureshchandar, Rajendran & Anantharaman, 2002:10). Thus to this end, service quality is a critical determinant of competitiveness and a proxy measure and key determinant of value for money. It can help a local authority to differentiate itself from other authorities and organisations and through it gain a lasting competitive advantage. Service quality can further be regarded as a key antecedent to successful customer relationships, and to improved economy, efficiency and effectiveness (Ghobadian, Spellar & Jones, 1993:44). Despite the importance of service quality, the concept is not well developed in the public sector. Thus, in this respect the public
sector lags behind the private sector in embracing market-oriented philosophies and initiatives for monitoring and evaluating service delivery. In public service delivery, the concept of service quality is contested. The reason is that conceptually it is often problematic to read a common understanding or universal definition of quality service.

Generally, the notion of quality as value or worth in relation to customer expectations is used to describe the nature of quality as interpreted within the quality management context (Cuttance, 1995:4). Embodied in this notion is the assumption that local authorities produce a product or service which is intended to satisfy the needs of users or customers with quality being the totality of features and characteristics of a product or service that bears its ability to satisfy stated or implied needs. This relativist notion of quality finds resonance in Sallis (1993:13) who perceives quality as a philosophy or methodology, which assists institutions to manage change and to set their own agendas for dealing with the plethora of new external pressures. Used in this sense, service quality is a concept implying ‘fitness for purpose’, measuring up to specification as well as meeting particular customer needs. A distinction can therefore be made between quality as the intrinsic value associated with a service product and quality as meeting of customer or community needs and requirements.

It is, however, worth noting that applied to managing service delivery in local government, while they seem appropriate to service organisations generally, these notions of quality do not necessarily meet all the criteria for quality in the provision of public services. This is precisely so because delivery of public services is a process based on broadly accepted normative and ethical values and guidelines, emanating from the body politic, community and social values, as well as other prescribed guidelines (Cloete, 1998:91-113). Ultimately, quality in local government cannot be isolated from those values, which relate to what is perceived as worthwhile in society. These values provide an ethically justifiable platform for determining and evaluating public service processes and outcomes, which might permeate the orthodox market-oriented notion of a quality culture in service delivery.

The encroachment of politics into the administrative sphere further complicates this quandary. According to Fox and Meyer (1995:98) politics refers to the process of decision making; who receives what, when, where and how; a conflict resolution process which determines the apportionment of resources; the process by which power is applied in order to determine whether and how government is to be exercised in any given area; and/or the apportionment of values. Thornhill (2008:727) writes that politics in the context of local government and municipal administration concerns the:

- allocation of values as weighted by the ruling political party to the available facts
• determination of the relative importance of requests, in relation to the availability of resources, by a community or a particular segment of the municipal community for a particular service
• quantity (e.g. how often rubbish bins are emptied per week) of the service to be provided
• quality (e.g. accepted level of cleanliness of the streets and sidewalks) of the services to be delivered.

In terms of section 151(3) of the Constitution, the political body governing in a particular municipality has the responsibility to oversee the executive actions of the appointed officials acting on its behalf. This, however, does not imply getting involved in the management of the municipality but monitoring the actions to ensure that the stated goals are achieved. Further to this, section 151(2) of the Constitution is reiterated in section 11 of the *Local Government: Municipal Systems Act, 2000* (Act 32 of 2000), which emphasises the council’s dual authority. Council may legislate by way of by-laws or resolutions (authorising enforceable actions) and has to exercise the executive authority within its area of jurisdiction, including *inter alia* section 11(3). In terms of this enabling section, council has authority for, among other things:

• the adoption of policies, plans, strategies and programmes
• promoting and undertaking development
• establishing and maintaining an administration
• implementing applicable national, provincial legislation and its own by-laws
• providing municipal services
• monitoring municipal service delivery
• preparing, approving and implementing budgets
• imposing and recovering taxes, levies, service fees and surcharges
• establishing and implementing performance management systems
• doing anything within its legislative and executive competence.

The legislative procedure is specifically prescribed in section 12 of the *Local Government: Municipal Systems Act, 2000* (Act 32 of 2000). Council is required among other things to:

• follow a prescribed procedure
• give sufficient notice to members of the intention to introduce a measure
• publish proposed by-laws for comment (Thornhill, 2008:728).

What this all therefore means is that in the South African context, a council may pass its own by-laws and/or determine service delivery levels applicable in its area of jurisdiction. However, it is also critically important to note that the Minister of Cooperative Governance and Traditional Affairs (CoGTA) or the MEC for Local
Government in a province may, at the request of the South African Local Government Association (SALGA), by notice in respectively the Government Gazette or the Provincial Gazette make standard by-laws for local government. The customer-oriented nature of this process compels a municipality to compile and maintain a register of all by-laws. Such a compilation, called a Municipal Code, must be made available on request to a member of the public and a reasonable fee may be charged for a copy in this regard.

EVALUATING SERVICE QUALITY

The evaluation of service quality levels is critically important in monitoring service quality and customer-focused service delivery that meets community needs. Service delivery quality can essentially be thought of as a measure of the extent to which the service delivered meets service users’ or customers’ expectations (Ghobadian et al., 1993:43). However, a shortcoming of this notion of quality is the inherent presupposition that the nature of most services is such that the customer is present in the delivery process. More importantly and worth noting is, however, the perception in this conceptualisation that service quality is influenced not only by the service outcome but also the service process. This perceived quality thus lies along a continuum, unacceptable quality lies at one end of the continuum, while ideal quality represents different gradations of quality and one such point is the satisfactory service quality (Ghobadian et al., 1993:49).

Customer satisfaction in service delivery can thus be modelled as suggested by Ghobadian et al., (1993) in their model of customer perceived quality and hence satisfaction or dissatisfaction in service delivery. The model suggests that:

Prior customer expectations + Actual process quality + Actual outcome quality = Perceived quality

(PCE) (APQ) (AOQ) (PQ)

According to Ghobadian et al.’s. (1993) model, prior expectations are compared with the actual service delivery process and the service outcome and through this comparison perceived quality is fashioned (Ghobadian et al., 1993:49). The implication is that while PCE is the a priori image of what will be received when the customer purchases a service, AQ is the real level of service quality provided. The quality of a service is therefore determined by the CP and not by the perceptions of the providers of the service, the local authority. Hence, PQ is the customer’s feel for the quality of the service. It determines the extent of the customers’ satisfaction in the delivery of services by a local authority. Using Gobadian et al.’s (1993:50) modeling three possible outcomes/scenarios which emanate from this quality service delivery monitoring model can thus be depicted as follows:
• Satisfaction quality, where customer’s expectations (CE) are exactly met: that is to say, \( PCE = PQ \)
• Ideal quality, where perceived quality (PQ) is higher than customers’ expectations: that is to say \( PQ \rightarrow PCE \)
• Unacceptable quality, where PQ is lower than CE: that is to say \( PQ \leftarrow PCE \).

In delivering services, municipalities can either be passive/reactive or strategic/proactive. According to Ghobadian et al., (1993:55) passive quality emphasises planning and control, to minimise customer annoyance, rather than customer satisfaction hence focus and effort is on Herzberg’s hygiene factors. In the context of municipalities hygiene factors would place emphasis on aspects such rationalising functions, structures, legislation and resources, rather than also emphasising the use of non-financial measures such as product quality and customer satisfaction. However, sole compliance with hygiene factors does not ensure customer satisfaction. Alternatively, in strategic or proactive approaches quality is used to differentiate the local authority’s service delivery to gain customer satisfaction, rather than mere compliance with legislative requirements, which emphasises basic service delivery.

QUALITY SCHEMES FOR MONITORING DELIVERY OF SERVICES

Monitoring quality assurance is a popular New Public Management (NPM) tool used to track, evaluate and review service delivery performance. In service delivery reviews, the terms of reference for quality assurance often tend to reflect the service quality and customer satisfaction model and the commodity notion of service delivery. Quality assurance tools seek to measure performance, which is then judged against predetermined standards of acceptability. Results-based monitoring and evaluation (M&E) is a powerful public management tool that can be used to help policy makers and decision makers track progress and demonstrate the impact of a given programme or policy (Kuzek & Rist, 2004:1). Evidently, this mirrors a paradigm shift from old public administration to a new public management concerned with previously private sector businesslike approaches to service delivery (Osborne & Gaebler, 1992).

In an attempt to modernise local government, local authorities in the developing world and in countries such as the United Kingdom specifically, have of late been adopting and utilising generic quality service delivery monitoring schemes, particularly the ISO 9000 standards series and Investors in People (IiP) (Investors in People, 1997:24). There are, however, pervasive disagreements and contestations regarding the extent to which these schemes can be transferred to service delivery in the public sector. One such concern, and hence source of considerable contestation, relates to the notion of the concept of quality, the determination of need, and the market approach to public services delivery.
A general lack of consensus has been developing around the notion of the ‘instruments’, tools or services required to meet needs, thus confusing ‘quality’ with ‘qualities’. This article asserts that attributes within a service may be associated with qualities of a good or bad service, but may not necessarily indicate if the service as a whole is of quality. Further, given that the concept of quality is a subjective impression, it is often argued that it is difficult to measure quality service delivery with a great deal of certainty in the public sector. The problem is furthermore compounded by the fact that perceptions of quality are not static, either within the same individual or between individuals.

Considering these contestations of opinion, it is worth noting that, firstly, the concept of quality is subjective; those who tend to control decision making in local government also tend to control how quality is defined. It may thus not come as a surprise that the dominant perspective of service quality is market-driven. Similarly, the second problem reveals the political dimension of service delivery monitoring and quality assurance, where it is assumed that users can express their interests or needs. Systematic identification of service delivery needs often proves to be problematic and many local authorities either opt out of assessment or rely on ‘expert’ judgement. An explicit example is the disadvantaged or disempowered groups in society/community. These almost always have the greatest service provision needs, yet receive the poorest service delivery. The third problem is that definitions of quality are informed by a dominant commodity perspective, including the implicit relativism and the associated issues of power, politics and control (Investors in People, 1997:24).

Given that the usefulness of generic principles of ISO 9000, 9002 and IiP in local government service delivery have generally been established and acknowledged, especially in the United Kingdom (Lintell & Morris, 2001:416), this article deems it critically important for the interrogation of their efficacy. ISO 9002 and IiP monitoring standards have been used by local authorities to manage the delivery of services. Although new versions of the respective standards have been proposed and keep evolving, the essential character of these standards has remained (Investors in People, 1997:24) and this will suffice for the purposes of the ensuing discussion.

MONITORING THROUGH ISO 9002 AND INVESTORS IN PEOPLE

According to IiP UK (1997:24), while ISO 9002 directly focuses on organisational systems and processes for purposes of quality assurance, IiP is concerned with training and development of employees in order to improve performance and competitiveness and has more diffuse links with quality improvement. As a standard the IiP is designed to improve performance and secure competitive advantage; it gives a planned approach to setting and communicating goals and developing people to meet these goals.
ISO quality assurance standards, consisting of ISO 9000, 9001, 9002, 9003 and 9004, have further been found to have relevance to local government service delivery given that they are based on the concept that certain minimum characteristics of a quality management system could be usefully standardised, in order to give mutual benefit to service providers and ‘customers’ (recipients of services) alike. In essence, ISO 9000 describes the guidelines for use of a particular standard, whereas ISO 9004 describes guidelines for establishing an internal quality management system within the broad context of TQM. Within this perspective, ISO 9001, 9002 and 9003 could be viewed as generic monitoring standards containing minimum requirements for establishing and maintaining a documented quality system that instils confidence in customers. The intended products or services that meet customer requirements are described as contractual standards between ‘supplier’ or ‘service provider’ and ‘customer’ (Rao Tummala & Tang, 1994:28-30). The core concepts driving the contractual standards are defined by Rao Tummala and Tang (1994:18) as embodying the core values:

- Fact-based management
- People participation and partnership
- Design quality, speed and prevention
- Strategic quality planning
- Continuous improvement
- Leadership
- Customer focus.

Experiences from the use of ISO standards especially tend to suggest that their use is positively correlated with raised performance in service delivery (Rao Tummala & Tang, 1994:34). It should, however, be noted that a wholesale and uncritical importation of these approaches to the South African local government context can be fraught with problems. This is because the standards are not explicit; one reason is, for example, that the investment of time, staff and finance were worthwhile in most European ISO application contexts. These areas are critical issues of concern in local government and municipal administration in South Africa. In response to flaring tensions government, through the Ministry of Cooperative Governance and Traditional Affairs (CoGTA), among others, commissioned a national study on the state of Local Government. This assessment culminated in the Local Government indaba in October 2009, wherein a draft strategy was unveiled and subsequently approved by Cabinet in December 2009. This culminated in the comprehensive Local Government Turnaround Strategy (LGTAS) underpinned by two important considerations. The first
is that a ‘one-size-fits-all’ approach to municipalities is not useful or acceptable. Each municipality faces different social and economic conditions and has different performance levels and support (IMESA, 2010:43). The two pronged overarching aim of the LGTAS is thus to:

restore the confidence of the majority of the people in their municipalities, as well as in the primary delivery machine of the developmental state at a local level

rebuild and improve the basic requirements for a functional, responsive, accountable, effective and efficient developmental local government (IMESA, 2010:43).

It has, however, not been convincingly established whether the ISO monitoring standards can be a stepping-stone to Total Quality Management in service delivery in local authorities. One reason is that, while, for example, the qualification for the ISO 9000 certificate has been widely acknowledged to have some useful elements, adherence to ISO does not in itself ensure that a local authority will be a quality leader in terms of service delivery. To achieve quality service delivery, municipalities may need to look further and incorporate tried and tested best practices.

The LGTAS may potentially provide this window of opportunity given that it is to be managed through a national coordinating unit in CoGTA, which will serve as the nerve centre for implementation. A critical task of LGTAS is that agreements have to be reached with each province on the launch programme in the context of the different provincial needs and capacities (IMESA, 2010:45). This is aimed at providing guidance on ensuring that municipalities are supported in preparing and implementing their own tailor-made turnaround strategies, which must be incorporated into municipalities’ IDPs and budgets. Thus the implementation of the LGTAS will present the entire country and all communities with an opportunity to work together with their municipalities in improving and accelerating service delivery. The LGTAS will also reinforce the good and best practices in municipalities while, at the same time, ensuring that the root causes of problems affecting municipal performance are confronted effectively.

This in essence requires that performance agreements be reached between and are agreed to between the Minister for CoGTA and local government MECs in the provinces. Agreements will also have to be reached between local government MECs and the executive mayors and mayors. This model is thus indeed a new and creative way of running government with the objective of improving service delivery and deepening democracy, which has never been experienced in South Africa before.

It should be noted that for this to succeed, emphasis should be placed on the importance of effective coordination, accountability and efficiency in the delivery of services
across the three spheres of government. This implies that the new approach will also need to ensure that there is an alignment among the three spheres of government to ensure a seamless implementation, cooperation and support (IMESA 2010:45). To this end benchmarking can be used to seek best practices from other local authorities. Benchmarking enables local authorities to look outward and promotes the breaking of paradigms by providing an appreciation of how exemplary organisations conduct their service delivery processes (Naidoo, 2007:58).

**MONITORING THROUGH BENCHMARKING AND BALANCED SCORECARDS**

Apart from adopting quality models such as the ISO standards series and IiP, disseminating best practice and providing performance benchmarks has also become a basis for adding consumer and citizen interests into service delivery. Benchmarking can be used by South African local government authorities to seek out best practices from other organisations. Benchmarking seeks out best practices and allows a local government authority to set performance targets based on an assessment of the gap between its own practices and best practice (Naidoo, 2007:57). Benchmarking, however, requires creativity and innovation in that best practices need to be modified to suit a local authority’s own specific situation.

The Balanced Scorecard (BSC) initially developed and refined by Kaplan and Norton is a key local government service delivery monitoring tool which can be a multi-dimensional framework for describing, implementing and managing strategy at all levels, linking objectives, initiatives and measures to an organisation’s strategy and to its outcomes. The BSC framework provides a methodology to assess management decisions, and measures to gauge improvements (MacAdam & Walker, 2003:877). BSCs can, however, be limited by a lack of measures, information and data collecting systems, leading to ineffective objectives in some cases. Furthermore, a lack of adaptation to suit specific local government contexts may lead to overly simplified views of key issues such as customer, citizen and stakeholder needs (MacAdam & Walker, 2003:890).

Notwithstanding this concern, the BSC can be a useful tool which links local government operations to strategy on an ongoing basis. Thus a BSC can be as much about reconciling competing priorities and goals to produce a balanced set of perspectives as about performance management and control. The BSC is a key tool for monitoring customer-focused quality service delivery. The combination of strategic and operational improvements enables more effective benchmarking in cases where benchmarking is supported by strategic improvement initiatives. A major strength in the BSC and benchmarking framework is its ability to help translate strategic objectives and the IDP and budgets into tangible improvements.
in operations at service delivery level. The BSC could thus be successfully used in local government as a service delivery monitoring tool to clarify and translate vision or strategy, communicate and link strategic objectives and measures, plan, set targets, align strategic initiatives and enhance strategic feedback and learning (MacAdam & Walker, 2003:879). At a comparative level, the introduction of the Best Value (BV) regime in British local government in 1997 serves to highlight the critical importance and need for benchmarking and monitoring public services delivery in local government. Conceptually, BV is premised on the famous ‘3Es’ Economy, Efficiency and Effectiveness (Armstrong, 1997:2).

**MONITORING SERVICE DELIVERY FOR ACCOUNTABILITY USING BEST VALUE**

In the United Kingdom (UK) value for money with its core concepts of the three Es came to typify the UK’s central government attitude towards local government cultural reform, accompanied by massive structural and cultural change in local government service delivery (Dunleavy & Hood, 1994). The BV regime came into being for all English local authorities in April 2000 and in Wales three months later (Wilson & Game, 2002:338). It was introduced by the UK government in the White Paper Modernising local government: In touch with the people (DETR, 1998) and it replaced Compulsory Competitive Tendering (CCT) (MacAdam & Walker, 2003:875). The concept of BV has as its main goal the improvement of service quality delivery. Its key principles are accountability, transparency, continuous improvement and ownership (Bowen, Pearl, Cattell, Hunter & Kelly, 2007:63).

Accountability ensures that simple, robust information is used to demonstrate performance. Transparency requires decisions to be open and transparent, with evidence of clear reasoning. Service delivery ownership permits anyone with an interest in local authority services to be involved; it further denotes a reciprocal relationship between public service delivery and its stakeholders. A continuous improvement encourages local authorities to ask questions of themselves, questioning whether they are achieving goals and outcomes and if they could do better in future (Bowen et al., 2007:63).

Furthermore, the concept of BV advocates that local authorities should demonstrate the four ‘Cs’ of BV, namely: Challenge, Compare, Consult and Compete, and produce performance plans and action plans. According to Bowen et al., (2007:64) ‘Challenge’ refers to the reviewing of the approach to services and ensuring that stakeholders are benefiting and as such is the most significant in that it encourages local authorities to rethink how they are providing and delivering services. ‘Compare’ ensures that performance is analysed and benchmarked using key performance indicators (KPI).
‘Consult’ serves to ensure that stakeholders are involved and ‘Compete’, involves the local authority subjecting itself to external competition if in-house services are not performing as expected.

The four Cs of BV also closely link with the three Es (Bowen et al., 2007:64). ‘Economy’ relates to the careful management of resources to achieve lower processes and higher productivity. According to Wilson and Game (2002:336), it further relates to inputs and is concerned with minimising the cost of resources involved in producing any given standard of service. Bowen et al. (2007:64) are of the view that ‘Efficiency’ has to do with making the most efficient use of resources, processes and procedures. It is therefore essentially concerned with the relationship between inputs and outputs and the attendant relationship to outputs. It can be deduced that efficiency is not, as is often wrongly presupposed, a measure of cost, but of the relationship of output quantity and quality to the cost of inputs. It is about getting more or better for less by either minimising inputs in relation to outputs, or maximising outputs in relation to inputs or both. ‘Effectiveness’ ensures that the actual performance meets planned performance. It is therefore essentially a concept which shows a relationship between intended and actual outputs or between outputs and outcomes.

BV principles emphasise sound governance, performance improvement, measurement and monitoring and continuous improvement and competition (Curry, 1999:180). Curry further points out that the customer and citizen focus in BV aims to improve access, responsiveness and accountability at all levels of the service delivery process, with better publicity of local authority decisions, policies, services and performance. Standards of customer-focused service delivery are to be improved to levels comparable with best practice and people are more readily involved in decision making, service design and service delivery reviews. Sound strategic management connotes setting a clear direction for the local authority as a whole, linked to a process of continuous improvement, which can be assessed and measured. Within this conceptualisation, performance improvement measurement and monitoring must be established in the local authority with an emphasis on continuous improvement, monitoring and evaluation (M&E), assessing and measuring performance at strategic, service and local levels. Sound management information systems are thus of critical importance in this endeavour. This means that performance data must be robust and clearly understandable. According to Curry (1999:180-181), benchmarking performance at the local authority level helps in the achievement of measurable service improvement and defined activities need to be reviewed on a regular basis.

BV is therefore underpinned by the principle of continuous improvement, which requires local authorities to challenge themselves on strategic and operational priorities and approaches to service provision and existing working practices. BV
presents challenges to local authorities by providing frameworks for rethinking what local authorities do and how, combined with a culture of continuous improvement. Within its overall framework, BV emphasises the role of sound management as a means of delivering quality service and service improvement and service delivery. Service delivery plans thus require each local authority to critically assess their current performance, to specify and set out the key features of BV grouped under broad criteria, and to ensure that each service delivery programme within the local authority implements performance improvements (PIs) that are necessary for the delivery of best value services.

In the UK the focus of BV is to develop best practice in service delivery at the local level to encourage innovation (Webb & White, 2002:7) and the main additional consideration for BV is to achieve more democratic accountability. A customer-focused approach has a positive impact on public officials because it makes them more accountable. BV thus has been one of several critical features of planned local government reform in the UK. It arose as a response to perceived problems of variable quality, lack of clarity in direction, and lack of coherence and cohesion in service delivery. The elements of BV are, however, not new. The revived interest in rational planning, policy review, the enabling authority and customer responsiveness are also not new phenomena to British local government policy. As with other policies and initiatives, BV is consistent with the NPM approach to managing public services that evolved throughout the 1980s and 1990s and BV can best be seen as representing little more than a further repackaging of that approach (Hood & Jackson, 1994:478). BV, however, was much more than simply a replacement of Competitive Compulsory Tendering (CCT), it applied to all local authorities in the UK. It was underpinned by the principle of continuous improvement and it requires local authorities in the UK to challenge themselves on strategic and operational priorities, approaches to service provision and existing working practices. The UK’s BV drive is encouraging as a best practice in that it links local government service delivery to quality models such as Benchmarking, ISO 9000 and liP. It can therefore be recognised as a suitable method through which local government can demonstrate BV by providing an impetus to benchmark and to delivery improvement (Wilson & Game, 2002:338).

**APPLICABILITY OF BEST VALUE: SOUTH AFRICAN CONTEXT**

Section 1 of the Municipal Finance Management Act, 2003 (Act 56 of 2003) (MFMA) defines the service delivery and budget implementation plan as a detailed plan approved by the mayor in terms of section 53 (1)(c)(ii) for implementing a municipality’s service delivery plan and the implementation of the annual budget, which must include service delivery targets and performance indicators for each year. In this regard, a customer-focused quality service delivery could be strategically rendered by using
service delivery plans encapsulated in municipal IDPs. These must, however, be responsive to the needs of residents and service delivery measured against budget implementation plans.

Ward councillors representing local residents, ‘customers’, can thus articulate needs and advocate municipal services to satisfy the needs of residents as customers in respective wards. In terms of section 56 of the *Local Government: Municipal Structures Act*, 1998 (Act 117 of 1998) needs of the municipality must be identified and the mayor must recommend the best way to render services to the maximum benefit of the community (Vatala, 2005:227). Thus in this respect, the South African government has fundamentally committed itself to transforming service delivery to improve the lives of citizens. The customer-focus construct is in the South African context constructed within the framework of a ‘People First’ discourse, commonly referred to as *Batho Pele* (Diphofa, 2002:24).

**MONITORING CUSTOMER-FOCUSED SERVICE DELIVERY: THE LESSONS**

The term *Batho Pele* comes from the Sesotho language and its literal English translation is ‘people first’ (Russell & Bvuma, 2001:245). *Batho Pele* is set out in the White Paper on Transforming Public Service Delivery (Government Gazette No 18340) dated 1 October 1997. This White Paper advocates that departments deliver responsive, quality services according to eight national service delivery principles referred to as the *Batho Pele* principles.

The ultimate aim of this public service delivery transformation initiative in South Africa is to improve service delivery and emphasise the criticality of a customer or citizen focused ethos in public service delivery and monitoring. The White Paper on Transforming Service Delivery, 1998 (*Batho Pele*) provides a practical framework and implementation strategy for the transformation of service delivery, to encompass the recipients of services. It focuses on ‘how’ services are provided, allows ‘customers’ or citizens to complain and advocates a continuous improvement strategy in the quantity and quality of services. It also focuses on customer needs and responsiveness. Thus, *Batho Pele* principles reinforce a customer’s right to complain. Furthermore, they reinforce a customer’s right to courteous behaviour, transparency and openness at all times. The *Batho Pele* principles also emphasise redress, especially when a customer is not satisfied with the service provided.

The *Batho Pele* principle of service standards thus sets important benchmarks for monitoring service delivery in all departments and state entities. It seeks to achieve this ideal by setting a baseline for customers to complain when service standards are not met. The seventh principle, for example, is quite explicit about the nature of redress customers are entitled to. It states that if the promised standards of service
are not delivered, citizens should be offered a speedy and effective remedy, and when complaints are made, citizens should receive a sympathetic, positive response. The whole notion of Batho Pele demands a new approach to handling customers and citizens; many public servants often see complaints as an irritation and intrusion in their working lives. Where complaints procedures do not exist, they often tend to defend or justify a department’s problems. By offering redress, Batho Pele not only appeases irate or unhappy customers, but aims to change the mind-set of service providers from a preoccupation with the processes of service delivery to a focus on deliverables and outcomes. It thus puts in motion a process of improving service delivery and ultimately continuous improvement and quality service delivery.

While the White Paper on Transforming Public Services, 1998, among other things, stipulates that the public service would strive to provide services that are accessible, responsive, efficient and of good quality (Diphofa, 2002:24), evidence from a survey on compliance with the Batho Pele principles (Public Service Commission, 2000:17) suggests evidence to the contrary; customers are often not consulted about the level, quality and choice of service delivery they would expect. Another matter of concern is the fact that measurable targets are usually not specified to increase access to services, and in the case of the Batho Pele principle of ensuring courtesy, very few departments put a courtesy charter in place, in which courtesy standards are specified. According to the Public Service Commission (2000:110) and contrary to Batho Pele principles and vision, redress as promised is often not delivered. If this finding is anything to go by, the practice is grossly inconsistent with the Batho Pele requirement to provide citizens with full, accurate information about public services they are entitled to receive.

Given this scenario, the service delivery monitoring model representing perceived quality \( PCE + APQ = AOQ + PQ \) can be applied in the determination of satisfaction quality, ideal quality and unacceptable quality, where in the case of the later \( PQ \leq PCE \) (Ghobadian et al., 1993:50). The effect is that this potentially impacts on service delivery and policy implementation outcomes, especially the Batho Pele principle of value for money, the requirement that services should be provided economically in order to give citizens the best possible value for money. To further provide citizens with ‘voice’ and ‘exit’ options, it may be desirable that citizens and service users be given rights and opportunities to shop around for their preferred service provider (O’Flynn, 2005:10). Public-Private-Partnerships (PPPs) and service delivery compacts between local authorities, communities and other stakeholders who may render public services, may be desirable avenues for opening windows of opportunity for ‘voice’ and ‘exit’ options in South African municipalities. At a practical level, the LGTAS, which hinges on key interventions under clearly delineated strategic objectives, can further promote
and enhance the institutional integrity of municipalities and construct a robust social compact on local government, where all citizens, including public officials at all levels, those in the private sector, trade unions, professional bodies and traditional leaders, are guided in their actions and involvement by a common set of governance values.

CONCLUSION

Sections 152 and 153 of the Constitution outline a developmental mandate of local government. Within this mandate the executive authority of a local municipality has to determine the best way, using partnerships, programmes and services to render services to the maximum benefit of the community. The customer-focused service delivery monitoring approach is conceptually new in the public sector as it tends to treat the citizenry as customers. However, the most critical objectives of this approach are the improvement of public sector service delivery through, among other things, consulting users of services, setting service standards, increasing access to all facilities, ensuring courtesy when dealing with citizens, providing more useful information, increasing openness and transparency, rectifying mistakes and failures, providing the best possible value for money, enhancing accountability, encouraging innovation, rewarding excellence and forming wider partnerships with the community. Quality service delivery and monitoring standards are therefore critical components of an effective and responsive local government.

A choice often has to be made based on often contradictory values embodied in customer-focused quality service delivery: a difficult choice between affordability and the needs of the community. Ward committees also enter this complex equation in that they seek to ensure democratic participation and as such drive the determination of residents’ needs. By and large, the primacy of the customer dictates that local government authorities provide services that are responsive to the customer, the citizen or service user. Enhanced accountability is also effectively realised and enhanced by building partnerships with civil society and the community. A customer-focused approach, this article has argued, can positively impact on public officials as it makes them more accountable for their actions and inactions. The requirement to demonstrate consultation particularly provided the voice of customers and citizens in the BV review processes. A close convergence thus conceptually exists between NPM and the normative values and principles of BV and Batho Pele. Emerging from this article is that ‘entrepreneurial’ and modernised local government encompassing service delivery monitoring tools such as BV and Batho Pele can be useful tools, among others, for achieving the developmental goals at local government service delivery level as well as promoting quality service delivery. For local government to be more effective accountability, transparency and responsiveness as well as commitment and trust from local government role players are necessary. Monitoring performance
targets, standards and outcomes could go a long way in enhancing the rendering of customer-focused quality service delivery in local government.

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**AUTHOR’S CONTACTS**

**M.M. Sibanda**
Department of Public Administration
University of Fort Hare
MMudzamba@ufh.ac.za
ABSTRACT

One of the basic values and principles governing public administration enshrined in the Constitution of the Republic of South Africa, 1996 (Chapter 10) is that “a high standard of professional ethics must be promoted and maintained. Ethics is a process by which we clarify right and wrong and act on what we take to be right, that is, a set or system of moral principles that are generally accepted. Ethics simply means what is right and wrong, what is acceptable or unacceptable and is intertwined with the value system of people. Ethics can also be seen as being relative, not absolute, as ethical behaviour is in the eyes of the beholder. Be that as it may, however, ethical conduct and behaviour normally refer to conforming with generally accepted social norms.

Relative to ethics is professionalism, which entails a high standard of work and adherence to certain standards and principles pertaining to specific work to be done. Professionalism embodies skills, competence, efficiency and effectiveness. Public institutions exist for the public good and employ public servants to render services to ensure a better life for all. The public sector is characterised by unprofessional and unethical conduct. The article unearths these and suggests strategies/mechanisms to address this ‘ill’.

Can an unethical, unprofessional public servant be trusted to deliver services? Can, for example, a debt-trapped public servant who survives on borrowing money from micro-lenders, who cannot manage personal finances, be trusted to efficiently manage public funds and thus enhance service delivery? Can an incompetent, corrupt, disloyal, unaccountable, shoddy public servant who flouts the principles of Batho Pele and the code of conduct be entrusted with the responsibilities of ensuring a better life for all? The answers to these questions constitute the core of this article.

INTRODUCTION

In terms of Chapter 2 (Bill of Rights) of the Constitution of the RSA of 1996, all citizens of the country have a right to have their basic needs that promote their welfare met. Every government, therefore, must endeavour to promote the general welfare of its
citizens, (De Bruijn & Dicke, 2006:79). When a legislature identifies a need for a service to be rendered to a community, the legislature or parliament will create a department to render such a service. Only the legislature has a right to create, abolish, merge or amalgamate departments.

One of the processes of public administration is human resource, thus for services to be rendered by a department there is a need for personnel to be employed and attached to specific posts within the organisational structure of the particular department. This process is accompanied by; inter alia, allocation of functions, delegation of authority, creation of communication channels and behavioural relationships. Such personnel employed, sometimes referred to as functionaries, are charged with the task of ensuring that a department’s or a municipality’s goals are achieved through efficient, effective performance of duties, the requisite for success being ethical conduct and professionalism on the part of the functionaries (Shafritz & Russel, 2005:15). Put differently, there is little or no hope of success in the delivery of services if the public servants are not professional and their conduct not ethical.

According to Andrews (1988:35), ethics refers to the standard which guides the behaviour and actions of personnel in public institutions and which may be referred to as moral laws. The modernisation of methods and procedures as well as technological progress is useless if the personnel who must apply the methods and procedures do not aspire to high moral standards. The question is whether the South African public service is governed or characterised by a high standard of professional ethics or not. What is the reality on the ground and what effect does it have on public service delivery? These questions need to be answered in relation to the sentiments expressed by President Zuma that government must work faster, harder and smarter (SONA, 2010:4).

According to Gildenhuys (1991:41), poor, dishonest management of public affairs and corruption (immoral acts) are among the most important manifestations of unethical conduct. Maladministration and corruption in the public sector are usually widely broadcast and exaggerated, largely because the public sector is spending taxpayers’ money. For practitioners in the public sector, especially for public managers, it is important that there be guidelines according to which they must cooperate and administer and direct the public service, and place subordinates on the right track precisely to prevent corruption and eliminate maladministration.

Bureaucrats are often suspected of lining their own pockets at the cost of the citizens. Opportunities for public servants to be involved in unethical conduct arise from the power they exercise in both the development and administration of public policy.
PUBLIC SERVICE COMMISSION FINDINGS

The Public Service Commission is an organ of the state established in terms of the constitution to, inter alia, promote the values and principles governing public administration in the Republic and to promote measures that ensure effective and efficient performance within the public service. In its report on the State of the Public Service (2008), the Public Service Commission highlighted some areas of concern about the professional and ethical conduct of public servants. There are activities that constitute unethical and unprofessional conduct in the public service, and some will now be explained.

Activities constituting unethical conduct

The South African Public Service is characterised by activities which constitute unethical conduct and the following may be mentioned as examples with a sample being explained:

- Bribery, graft, patronage, nepotism and influence peddling
- Conflict of interest, including activities such as making financial transactions for personal advantage, and accepting outside employment during tenure in government without declaring this
- Misuse of inside knowledge, for example, through acceptance of a business appointment after retirement or resignation
- Favouring relatives and friends in awarding contracts or arranging loans and subsidies
- Accepting improper gifts and entertainment
- Protecting incompetence
- Regulating trade practices or lowering standards in such a manner as to give advantage to oneself or relatives
- The use and abuse of official and confidential information for private purposes

Diversion of public resources

Public assets or the services of public servants are sometimes used for private purposes. This can be seen as rent-seeking behaviour where the focus is on accessing public resources and services. Larmour (1990:64) makes the point that people are self-interested and opportunistic maximisers. Public equipment, office supplies and other stock may be used for the improvement and maintenance of a public official’s private property. Public servants are sometimes used as workers in political campaigns while on government time – an illegal advantage of incumbency. This is straightforward stealing.
Delivering low quality materials

The delivery of low-quality materials, lower than specified in the relevant contract, is another example of unethical and unprofessional conduct. Higher contract prices for higher quality materials are paid for lower quality materials worth much less. Quality is related to the principle of value for money, which entails that services need to be provided efficiently, effectively and economically.

Bid rigging

Procurement fix involves the rigging of bids or supply of contracts. Potential suppliers agree beforehand among themselves on the bid winner and the winning price – other companies would submit non-competitive tenders at much higher prices. This conspiracy increases the profits of the company as well as the cost to the government. Public officials could be involved and could receive bribes, what is usually referred to as kickbacks, to enlist their cooperation. So rampant is bid rigging in the public service and in municipalities that those who illegally benefit from this practice are referred to as ‘tenderpreneurs’ or ‘tender-licking good’.

This is unethical conduct where business is not conducted with integrity, is unfair and unreasonable. It can also be seen as financial mismanagement, which frustrates the achievement of a departmental goal. Bayat and Meyer (1994) state that people are usually shocked when corruption in a state department is uncovered, or when a politician who occupies a position of public trust is implicated in a scandal. These activities are manifestations of the frailties of men and will be encountered wherever human beings are found.

Corruption taints the image of the public service, and it is therefore a source of concern to most citizens. It deprives the citizens of services due to them. Bayat and Meyer mention possible causes of corruption as greed, presence of an ethos of corruption, unchallenged governments, nepotism, patronage, flouting codes of conduct, differing ethical values and norms, emulating corrupt leaders, unwavering trust in political office-bearers, lack of adequate checks and balances and preoccupation with official secrecy.

Public servants trapped in debt

Public servants are not simply employees of the state, but have a constitutional role to play. These employees must be responsive to the government of the day and play a vital role in ensuring a better life for all by enhancing service delivery through the efficient, economic and effective use of resources. Public servants, however, have lives beyond the office and sometimes these lives have an impact on their work performance. This begs for employee wellness from the perspective that employees are most productive
when they are well physically, mentally and financially. The question is whether or not a public servant who is unable to manage his/her personal finances and is heavily trapped in financial debt is able to efficiently and effectively manage public resources and be productive enough to meet the expectations of the public and the principles of *Batho Pele*, which seek to enhance service delivery without unethical behaviour. This challenge is derived from the Public Service Commission Report (2008:32), which states that public servants are trapped in financial debt and this creates doubt as to their ability to manage personal finances and thus public finances.

According to the Public Service Commission, the total debt owed to micro-lenders by public servants was R13.3 million during the 2006/07 financial year, 25% of which was attributed to national departments’ employees (Public Service Commission, 2008:32). While the Public Service Commission conceded that micro-loans and other credit may sometimes be necessary to alleviate the temporary financial challenges one may face, it was quick to point out that when such is acquired as a result of over-indulgence and as a measure to supplement the monthly salary, the practice raises serious concern. The making of garnishee-related payment by public servants during the 2006/7 financial year reveals that many public servants are trapped in financial debt and thus default on repayments to their creditors, warranting that court action be taken for them to honour the payments. If this is not unethical conduct on the part of public servants, then what is it?

The financial debt trap of public servants has serious repercussions. Not only does it portray a negative unethical image of the public service, but derails service delivery. The following are some of the consequences: public servants engage in irregular remunerative work commonly known as moonlighting. When trying to counter or survive the pressure of high financial debt, the public servants, in particular professionals, perform their duties during the day and engage in other remunerative work at night or vice versa. This places a heavy strain and fatigue on the body, which leads to ill health and low productivity. When public servants have to perform the duties they are employed for in their respective departments, they are half their best, thus professionalism is compromised.

Financially indebted employees become vulnerable to unethical behaviour. If one considers the financial management system’s weaknesses and challenges in various departments, one can observe that some of the weaknesses are deliberately unattended to so as to allow space for corrupt tendencies to manifest themselves. This observation is informed by the oversight reports of various portfolio committees, as well as Auditor General’s reports of the past fourteen years in various departments and municipalities. The Public Service Commission agrees that being in financial debt
could result in an erosion of ethics among public servants, as they could be enticed to commit unethical or corrupt practices.

Recent findings by the Public Service Commission (State of the Public Service Report, 2010:11-12) however, reveal that the situation is improving slightly. Financial disclosure by members of the senior management service has ranged between 73% and 85% for the financial years 2005/06 to 2008/09. It is evident that the compliance levels are continuing to improve but the PSC expects 100% declaration on issues that may have potential conflicts of interest between officials’ private interest, for example a debt trap, and their official duties.

Most public servants suffer from stress and addictive behaviour resulting from being trapped in financial debt. This trend negatively affects people’s work performance and results in low productivity in the workplace. It leads to a dramatic increase in absenteeism as employees will often miss work to avoid debt collectors. In other cases, employees will resign from their jobs to get access to their pensions, pay their debts and end up being jobless, thus increasing the unemployment statistics. Hard earned skills and experience are lost. Social behaviour for the individual changes, family life suffers and people turn to substance abuse as a means of managing. High levels of financial debt over a long period often lead to anxiety and depression. Debt may lead to depression and the display of such symptoms as insomnia and lack of appetite. Employees feel out of control, useless, hopeless, and in some instances resort to committing suicide. It is indeed true that financial worries lead to psycho-social and other health problems and push people to compromise values and act immorally as well as illegally. A situation could arise, for example, where senior public officials borrow money from subordinates and one wonders how discipline, ethical conduct and professionalism in an institution will be maintained in such instances.

One sometimes entertains the notion that some public servants mistakenly believe that they are justified in deviating from generally applicable moral requirements (Price, 2006:60). It is precisely because of the above scenario that the code of conduct of the public service (Chapter M) was introduced.

**CODE OF CONDUCT**

There is a code of conduct, which encourages public servants to think and behave ethically. It sets out expectations about acceptable behaviour and benchmarks for ethical practices. It is structured to promote an ethos of dedication and service, evoke a commitment to high standards of professionalism, contribute to more efficient and effective service delivery and eliminate corruption in the public service. The following are the guidelines on the provisions of the code:
• Relationship with the Legislature and the Executive
• Relationship with the public
• Relationship among employees
• Performance of duties
• Personal conduct and private interest.

The code of conduct is available for all to see, but is it adhered to? Is it effective? The same can be asked of the Batho Pele principles, which were also introduced to promote ethical conduct and professionalism in the public service so as to enhance service delivery. The eyes of the public are on the public service for all the wrong reasons. What then are the consequences of an unethical, unprofessional public service?

CONSEQUENCES OF UNETHICAL CONDUCT AND UNPROFESSIONALISM

According to the United Nations Department of Economic and Social Affairs Division for Public Economics and Public Administration (2000:3), scandals involving public officials have captured world attention with the public not distinguishing between whether those in government are elected or appointed. It is true that any country expects its public service to manifest professionalism and ethics. These are critical elements whose absence can lead to, *inter alia*, the following:

• Minimum development of people and nations
• Disorderliness and anarchy in a society
• Lack of investor confidence, leading to lack of economic growth
• Deterioration of trust by citizens.

What then are the factors that promote public service professionalism and ethics?

FACTORS THAT MAY ENHANCE PROFESSIONALISM AND ETHICS IN THE PUBLIC SECTOR

The following may be seen as factors that encourage ethical conduct and professionalism in the public sector:

• Training in basic skills to carry out official duties. Such training may include financial management so that public servants are able to manage own finances.
• The introduction of a career system based on merit appointments. In the January 8 2010 statement of the ruling party, the point is made that, ‘the process of building a new public sector cadre forms part of the major tasks of
creating a developmental state’. In the statement, the President further warns those placed in positions of responsibility that do nothing, either through incapacity or unwillingness, that they will be replaced. Shoddy service by councillors is also rebuked in the statement.

- Well-articulated and fair human resource policies on remuneration and conditions of service, training and development programmes should be implemented.
- Recognition of good work through incentives and correction of poor performance, thus nurturing professionalism and pride (United Nations, 2000:6).
- Legalising the Code of Conduct and Batho Pele principles – these will then be enforced against misconduct ranging from unethical to criminal acts.
- Strengthening of human resource capacity to investigate unethical conduct in departments. The PSC reports that in KwaZulu-Natal not enough resources were made available to create posts and employ staff for this purpose (2008:19).
- Increasing compliance with the Financial Disclosure Framework – the 70% (2004/05) and 60% (2005/06) compliance is, according to the PSC, inadequate (2008:17). Conflicts of interest are rampant in the public service and in municipalities.
- Discontinuing dual employment. The PSC has noted that some public servants also serve as part time councillors and this poses a threat to honesty, especially in bidding.
- Exemplary leadership and political will are needed to instill ethics and professionalism because at times the problems start from the top and permeate the institution. Junior officials take advantage of such situations.

These factors may encourage a public service that adapts to the impacts of globalisation so as to achieve better economic performance through promoting investment and trade (United Nations, 2000:24). Can all public servants be painted with the same brush? The answer is no, because there are good public servants who may be referred to as Batho Pele public servants. Batho Pele means putting people first, in other words treating citizens as customers as in the private sector where the customer is seen as always right. The concept entails the principle of consulting the recipients of services, treating them with courtesy and providing them with information on service delivery-related matters. It further encourages openness on the part of public institutions so that the public may know more about the way government institutions operate, and the setting of standards to constantly measure the extent to which citizens are satisfied with the services or products that they receive, as well as emphasising a need to identify quickly and accurately when services are falling below the promised
standards so as to have procedures in place to remedy the situation. These are ethical, professional employees who contribute in ensuring:

- a positive image of the public service
- enhanced service delivery
- citizen confidence in the public service
- investor confidence
- efficient, effective utilisation of resources.

**CONCLUSION**

According to Kernaghan and Dwivedi, (1983:157-158), since the dawn of civilisation, there has been an expected code of right conduct for public officials different from and in many respects superior to private conduct. All practising professionals are expected to follow an agreed pattern of conduct in respect of how they treat other professionals, how they conduct their professional affairs, and how they deal with their clients. They should treat people as significant individuals with feelings, rather than as numbers on a register.

One of the prime responsibilities of a government must be to build an environment of justice, transparency and trust. Around the world, governments and public administrators face crises of confidence. Government itself, in the long term, if not immediately, will fail if it does not carry public confidence. According to Mafunisa (2009:79), the South African public service needs public officials who are competent and loyal to their work. They should use public funds both effectively and efficiently for the benefit of every member of the public. A positive work ethic and attitudes such as loyalty to public service goals and values do not develop automatically. All interested parties should develop ethical norms and the behavioural expectations of public officials.

Public servants are the backbone and heartbeat of the public service, but if this heartbeat is unethical and unprofessional, there will be no blood circulation and the public service will ‘die’. There is a need for political will as well as ethical exemplary leadership, as senior public servants remain critical to the effective promotion of ethics in the public service. The Code of Conduct, *Batho Pele* principles and other prescripts that encourage ethical behaviour and professionalism may need to be considered as legislation so that they are enforceable.

This is so because it is unacceptable that much needed job opportunities are not forthcoming through lack of investor confidence, where disorderliness characterised by protest action becomes the order of the day, and where citizens lose confidence in a government they themselves voted into power.
Furthermore there is a need for the training of public servants, for intolerance of shoddy service to develop, for fair human resource policies, recognition of good work, the strengthening of whistle blowing and protection of whistle-blowers. Public institutions should be capacitated to deal with cases of unprofessional and unethical conduct. Conflict of interest needs to be contained, the Financial Disclosure Framework must be complied with, and dual employment must be discouraged. Key to all is, however, exemplary leadership.

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**AUTHOR’S CONTACTS**

**Thozamile Richard Mle**

Department of Public Administration

University of Fort Hare

TMle@ufh.ac.za
REDEEMING FINANCIAL PLEDGES FOR AFRICA’S IMPLEMENTATION OF THE NEPAD INITIATIVE: AN APPRAISAL

Edwin IJEOMA

ABSTRACT

The New Partnership for Africa’s Development (NEPAD) and challenges of its foreign technical and capital flow need to be appraised after many years of the establishment of the NEPAD initiative and the role out of its African development agenda. The NEPAD’s strategies for implementation of projects and programmes within the foreign technical and capital flow expectations were considered important in taking the initiative forward. NEPAD sought both technical and capital flow support from the international community especially the United Nations agencies and the G8 countries - the United States of America, Britain, Canada, Germany, France, Japan, Italy and Russian Federation and many other development partners. But the high expectations of accelerated implementation of the NEPAD projects and programmes based on the G8 promises dropped following the low pace of fulfilling those promises in spite the perceived acceptance of the NEPAD initiative by the international community. As an Africa’s own agenda towards fast-tracking development, little or no impact has been recorded within the foreign technical and capital flow component of the NEPAD initiative. In the NEPAD 2012 business plan, it was also eluded that redemption of these pledged remains a huge challenge for the organization hence the need for this appraisal.

INTRODUCTION

The 2001 first African Union Summit in Lusaka, Zambia produced a blue print for a new partnership for development in Africa, the New Partnership for Africa’s Development (NEPAD). As the partnership proposed re-energizing of the socio-economic and political insertion of African countries within the global configuration. The NEPAD document presents a new set of objectives, goals and expectations for international trade, debt-reduction, access to technical and financial aid, support for conflict-resolution initiatives, material and political support for implementation of strategies to curb HIV/AIDS and other infections diseases and support for nation-building efforts such as initiation and enhancement of human and physical infrastructure and institutions and processes of governance. The NEPAD initiative was prepared to achieve these goals and objectives through partnership collaborations between Africa and the government of technically advanced countries and multi-lateral organizations.
such as the International Monetary Fund (IMF), the World Bank and the World Trade Organization (WTO).

Central to the NEPAD framework is the need for African countries to pool their resources together. Therefore the NEPAD initiative emphasizes strengthening the five Sub-Regional groupings on the continent namely, the Southern African development Community (SADC), the Mahreb Arab Union (MAU), the Economic Community of West African states (ECOWAS), The Central African Development Community (CENSAD) and the East African Economic Community (ECC) through capacity building and within the rationalization of existing regional organizations. NEPAD also solicits funds towards regional studies, infrastructure development programmes and poverty alleviation projects that would become an integral part of the NEPAD initiative.

A multi-faceted approach was envisaged to harmonize economic and investment policies, provide essential public goods in the areas of transportation, energy, water, education and health facilities and to promote intra African trade and investments, as to enhance Africa’s competitiveness and enable economic growth within the current context of globalization. The paper profiled an appraisal of promises versus commitments made by countries and organizations alike with a view to finding out how far these promises were redeemed towards envisaged fast-tracking of the NEPAD initiative.

A BRIEF BACKGROUND OF NEPAD

Most African countries export mainly primary products such as agricultural produce and mineral resources, which limits international trade. In addition, African economies are characterized by small domestic markets, huge structural weaknesses such as underdeveloped physical infrastructures, ineffective financial sectors and poorly developed manufacturing sectors, which are highly dependent on imports for capacity utilization and accumulation. These factors, among others, render Africa unattractive to potential investors, with the low levels of investment in essential infrastructure limiting the continent’s progress in diversifying the production base and export range. Against this backdrop, Presidents Mbeki of South Africa and Wade of Senegal proposed two initiatives -the New Millennium for African Recovery Programme [MAP] and the Omega Plan [OP] respectively. The major thrust of the policy would be to ignite a path of sustainable economic growth, substantial infrastructure development and alleviate poverty across the continent. Following an agreement reached through the Organization of African Unity (OAU), both the MAP and OP proposals were merged to form the New Africa Initiative (NAI), which was later, renamed The New Economic Partnership for Africa’s Development (NEPAD), at the OAU Summit in Lusaka in 2001.
Subsequently, NEPAD was adopted by the African Union (AU) as a programme that would ensure economic development and growth in Africa.

It may be necessary to recall the perception that NEPAD was conceived outside the continent, which often raised the issue of African ownership. The element of ownership is clearly defined towards seeing the programme as a homegrown initiative that would enable Africa to take her destiny on her hands. Similarly, the element of partnership is not only between Africa and the G8, but essentially included African domestic partnership among member States. The element of International partnership, which operated under donor relationship, must give way to equal partnership.

**NEPAD PRIMARY GOALS AND OBJECTIVES**

NEPAD identified the main objectives of the initiative to include: the promotion of peace, security and political stability; the entrenchment and protection of democracy; a human right culture and good governance; poverty eradication; sustained high economic growth and development; improving Africa’s competitiveness and strengthening Africa’s participation in global institutions, including working for a new global finance and trade architecture. The objectives of NEPAD is to consolidate democracy and sound economic management on the continent in such a manner that the African leaders would make commitment to the African people and the world, as to work together in rebuilding the continent. Therefore, NEPAD was conceived as a pledge to promote peace and stability and a people centered development in African countries and to enable countries hold each other accountable in terms of the agreements listed in the programme. NEPAD further explained that the principles which underpin the achievement of these objectives includeljeoma 2007:66);

- African ownership and responsibility,
- promotion of self-reliance,
- democratic principles,
- human rights,
- the rule of law and good governance,
- promotion of gender equality,
- respect for sanctity of human life,
- promotion of social justice and fostering a new relationship with the developed countries that would be based on mutual respect and
- responsibility and accountability.

The accomplishment of these socio-economic and developmental objectives rests on mobilizing substantial levels of investment in infrastructure development, especially in the areas of energy, information and communications technology, human resource
development including education, skills development, reversing the “brain drain” problem, health services, and agriculture and making Africa’s exports more accessible to the markets of the developed world. The most important trade-related areas of NEPAD include infrastructure inter-linkages within Africa, encouraging capital flows within Africa, common and coordinated regulatory frameworks, complementary and/or combined cross-border production, agricultural development and food security, the African debt problems.

GLOBAL TECHNICAL AND CAPITAL ASSISTANCE

The NEPAD framework is based on the need to address the deep dissatisfaction emanating from almost two decades of policy reforms aimed at resolving the socio-economic stagnation of many African economies. Poverty is rife in Africa where an estimated about half of the total population lives on less than US $1 per day. Furthermore, in the past two decades, economic growth across Africa has lagged behind population growth. For Sub-Saharan Africa (SSA), economic growth in both the 1980s and 1990s remained below 2.5 per cent while population growth was above 2.7 percent.

The per capita income of many African countries was extremely low. In 2000, South Africa’s gross national product of US $130 billion was exactly equal to the combined GNP of 46 of the 47 [minus Nigeria] Sub-Saharan African countries. Social indicators aptly demonstrate the extent of poverty and vulnerability across the continent. For example, life expectancy at birth is only 54 years [and for Sub-Saharan Africa this reduces to 47 years]; the mortality rate of children under 5 years is 140 per 1000 persons.

Furthermore there are only 16 doctors per 100,000 inhabitants. The illiteracy rate for persons over 15 is estimated to be 41 per cent with the continent being the only region in the past decade where school enrolment has declined at all levels especially among women and girls. In terms of infrastructure, only 58 per cent of Africa’s populace have access to safe water while the number of telephones per 1000 persons, is 18 compared to 146 for the world as a whole (Hammonds and Osakwe 2008:26).

Africa’s trade and investment initiatives are also lagging. While the continent accounts for 13 per cent of the world’s population, its exports as a share of global trade is less than 1.6 per cent. As a crucial input of finance and economic growth, foreign direct investment has also declined. Africa as a whole currently attracts less than 1 per cent of total global investment. In addition, per capita investment and savings have declined since 1970 with gross domestic savings as a percentage of Gross Domestic Product(GDP) only 16.1 percent in 2002 compared to 20.2 percent in 1984. Political
crises and low rates of return on investments have meant that as much as 40 percent of Africa’s own savings are invested outside the continent (Global development Finance 2006:18).

Most African countries export mainly primary products such as agricultural produce and mineral resources, which severally limits international trade. In addition, African economies are characterized by small domestic markets, huge structural weaknesses such as underdeveloped physical infrastructures, ineffective financial sectors and poorly developed manufacturing sectors, which are highly dependent on imports for capacity utilization and accumulation. These factors, among others, render Africa unattractive to potential investors, with the low levels of investment in essential infrastructure limiting the continent’s progress in diversifying the production base and export range hence the need for foreign technical assistance and capital flow through well coordinated cross-border coordination among African countries.

The most important trade-related areas of NEPAD are as follows (Ijeoma 2007:183)

**INFRASTRUCTURAL INTER-LINKAGES WITHIN AFRICA**

NEPAD argues for the building of cross-border and trans-African road networks, railways and other means of transport and communication, and the consolidation of joint energy, water and other systems to attract investment.

**ENCOURAGING CAPITAL FLOWS WITHIN AFRICA**

NEPAD recommends promoting intra-Africa trade and investment through the harmonization of economic and investment policies. The bulk of the needed resources for the investment will be obtained from outside the continent.

**COMMON AND COORDINATED REGULATORY FRAMEWORKS**

The programme proposes a coordinated regulatory framework to facilitate cross-border cooperation in terms of national sector policies, harmonization of economic and investment policies, monitoring regional decisions, drafting regulations dealing with manufacturing processes and standards of trade regulations.

**COMPLEMENTARY AND/OR COMBINED CROSS-BORDER PRODUCTION**

The programme argues that most African countries are vulnerable because of
dependence on primary production and raw materials. It thus emphasizes inter-regional pooling and production strategies with increased inter-regional trade.

**AGRICULTURAL DEVELOPMENT AND FOOD SECURITY**

NEPAD sees improved agricultural performance as critical in increasing rural people’s purchasing power, which will also lead to higher demand for African industrial goods. There are some references in the programme to small-scale farming and women farmers but the thrust is on large-scale private investment in agriculture.

**THE AFRICAN DEBT PROBLEM**

Thirty-three of the 41 countries identified by the World Bank as “Heavily Indebted Poor Countries” (HIPC) are in Africa. Even North African countries, none of which is labelled a HIPC country, are using almost one-fourth of export earnings to pay off debts. For an individual, debt is financially “unsustainable” when it is impossible to keep up with the payments. Debt is morally “unsustainable” when keeping up with payments takes money about from the basic necessities of life.

When debt repayment is considered exclusively in economic terms, other consequences are ignored. Africa’s debt is so large in comparison to the continent’s income that it cannot be repaid. But as long as it is not cancelled, the constant pressure to pay it off is unrelenting. When debt payments come first, with macro-economic adjustment policies imposed by creditors, health and education budgets are squeezed to the bone. So are other long-term investments necessary for development. Most ominously, international efforts to address the debt burden offer no exit strategy for most indebted African countries.

**GLOBAL RESPONSE TO NEPAD: AN APPRAISAL**

A multi-faceted approach was implemented to harmonize economic and investment policies, provide essential public goods [in the areas of transportation, energy, water, education and health facilities], and to promote intra African trade and investments, to enhance Africa’s competitiveness and enable economies to grow within the current context of globalisation. The accomplishment of these socio-economic and development objectives rests on mobilizing substantial levels of investment in infrastructural development [especially in the areas of energy and information and communications technology], human resource development [including education, skills development, reversing the “brain drain” problem], health services, agriculture and making Africa’s exports more accessible to the markets of the developed world.
NEPAD was warmly welcomed by the G8, the European Union, the international financial institutions, the organization for Economic cooperation and Development (OECD) and the United Nations (UN) and many other donor agencies. At the Genoa summit, G8 leaders met the NEPAD Steering Committee and agreed to make specific response to their proposals of funding NEPAD projects and programmes. And in 2002 at Kananaskis Canada, the G8 Action Plan for NEPAD was adopted which among others, encouraged the NEPAD operatives to engage with a wide range of others-non G8 major donors, the private sector, civil society-in helping to realize the potentials of NEPAD.

The NEPAD’s $8BN Short Term Action Plan for infrastructure includes 20 priority projects designed to lay the foundation for an integrated African economy and attract medium and long-term investments to close the continent’s infrastructure gap. These prioirities includes.

- West African gas pipeline
- Expansion of container handling facilities in Kenya
- The Nile basin initiative
- Improved African regional integration

NEPAD GLOBAL CONSENSUS AND COMMITMENTS

Following the establishment of NEPAD 2002, the NEPAD Steering Committee chairperson and the NEPAD initiating Heads of Sates Implementation Committee made of the presidents of Algeria, Egypt, Nigeria, Senegal and South Africa started attending the global meeting for financing development. These meetings include; the Monterrey Consensus, the Rome Marrakesh and Paris Declaration.

Though, there were many other meetings held in different part of the world from the NEPAD inception till the present period. But the above mentioned will form the basis for the analysis on this paper.

THE MONTERREY CONSENSUS

The Heads of State and governments attended an international conference for financing development held on the 21st and 22nd of March 2002. This was the first meeting of this kind aimed at financing development in developing countries whose domain is largely in Africa. Financial challenges that could derail the attainment of the Millennium development goals (MDGs) by 2015 were discussed. The World leaders agreed on a partnership between the developed and developing countries. This was in line with the financing strategy of NEPAD. The consensus agreed
on several global financial concerns ranging from mobilizing domestic financial recourse, attracting international capital flows, promoting international trade as an engine for development, increasing international financial and technical cooperation for development, sustainable debt financing to external debt relief and enhancing the coherency of international monetary, financial and trading systems for development.

THE DECLARATION IN ROME

Following the Monterrey consensus, several conferences took place with declarations on financing development. In February 24 and 25 2003 in Rome, Rome declaration was adopted to reduce the transition costs of aid financing, country’s ownership to development projects and programmes and to implement good standards of practice in development cooperation. In that same declaration World leaders committed themselves to provide development assistance in accordance with partner country’s priorities, Implement good practice, standards or principles in development assistance delivery and management, adapt harmonization efforts to the country context, and harmonise donor policies and procedures.

THE MARRAKECH DECLARATION

Similar, to the Rome declaration, in February 2004, an international roundtable on managing for development was held. The meeting resulted to a joint Marrakech Memorandum endorsed by the heads of major global development financial institutions. They include; African Development Bank, Asian Development Bank, Inter-American Development Bank. European Bank for Reconstruction and Development, the World Bank and the Organization for Economic Cooperation and Development. And in the Memorandum, they were committed to steering a global partnership on managing for development results.

THE PARIS DECLARATION

Following the Rome and Marrakech declarations which define the objectives for the aid effectiveness agenda which led to an expansion in activities for improving the effectiveness of aid delivery. The Paris Declaration was a representation of a bold attempt development partners and developing countries to take actions that can be properly monitored in reformation of aids delivery and management. The Paris aid effectiveness conference was held on March 2nd 2005 with a focus on five key areas namely: ownership, harmonization, alignment, managing for results and mutual accountability between donors and recipient countries.
THE GLENEAGLES DECLARATION

In July 2005, the G8 summit agreed to increase the momentum derived from previous Summit and Declarations by the World leaders. It was aimed at increasing aid flows and reducing the burden of external debt on developing countries aimed at enhancing their prospects of meeting the Millennium Development Goals (MDGs).

The G8 Commitment to Africa at Gleneagles.

Table. 1

<table>
<thead>
<tr>
<th>Country</th>
<th>Interim Targets</th>
<th>Final Targets</th>
</tr>
</thead>
<tbody>
<tr>
<td>European Union</td>
<td>• ODA/GNI target of 0.56% by 2010</td>
<td>0.7% by 2015</td>
</tr>
<tr>
<td></td>
<td>• Double ODA between 2004 and 2010</td>
<td></td>
</tr>
<tr>
<td></td>
<td>• 50% of the increase will go to Sub-Saharan Africa</td>
<td></td>
</tr>
<tr>
<td>Germany</td>
<td>• 0.51% ODA/GNI in 2010</td>
<td>0.7% in 2015</td>
</tr>
<tr>
<td>Italy</td>
<td>• 0.51% ODA/GNI in 2010</td>
<td>0.7% in 2015</td>
</tr>
<tr>
<td>France</td>
<td>• 0.5% ODA/GNI in 2007 of which two-third will go to Africa</td>
<td>0.7% in 2012</td>
</tr>
<tr>
<td>United Kingdom</td>
<td>• Double bilateral spending in Africa between 2003/4 and 2007/8</td>
<td>0.7% in 2015</td>
</tr>
<tr>
<td>United States of America</td>
<td>• Double aid to Sub-Saharan Africa between 2004 and 2010</td>
<td></td>
</tr>
<tr>
<td>Japan</td>
<td>• Increase aggregate ODA volume by $10 billion over five years</td>
<td></td>
</tr>
<tr>
<td></td>
<td>• Double ODA to Africa over three years</td>
<td></td>
</tr>
<tr>
<td>Country</td>
<td>Interim Targets</td>
<td>Final Targets</td>
</tr>
<tr>
<td>----------------------</td>
<td>--------------------------------------------------------------------------------</td>
<td>------------------------------------------------------------------------------</td>
</tr>
<tr>
<td>Canada</td>
<td>• Double international assistance from 2001 to 2010</td>
<td></td>
</tr>
<tr>
<td></td>
<td>• Double assistance to Africa from 2003/4 to 2008/9</td>
<td></td>
</tr>
<tr>
<td>Russia Federation</td>
<td></td>
<td>• Cancel $11.3 billion worth of debts owed by African countries</td>
</tr>
<tr>
<td></td>
<td></td>
<td>• Write off the entire stock of HIPCs debt on non-ODA loans</td>
</tr>
</tbody>
</table>

**Source:** Financing Development in Africa: Trends, Issues and Challenges 2006.

The above table implies that the G8 recognizes the need for substantial increase in ODA to consolidate and build on progress in Africa and stimulate the growth to reduce dependency. The declaration at Gleneagles also indicates that commitments to of G8 and other donor countries will increase ODA to developing counties by $50 billion a year by 2010 and half of those increase will go to Africa.

The G8 agreed to a proposal to cancel 100% of outstanding debts of eligible HIPCs to the IMF, international Development Association (IDA) and African Development Fund. And to provide additional resources to ensure that financial capacity of the international financial institutions were not reduced.

The G8 reaffirmed effectiveness of aid delivery and management but also called the developing countries to me more accountable to their people and development partners.

**SOURCES OF FOREIGN CAPITAL FLOWS IN SUB-SAHARAN AFRICA 1998-2005 (US$ BILLIONS)**

*Table 2*

<table>
<thead>
<tr>
<th></th>
<th>1998</th>
<th>1999</th>
<th>2000</th>
<th>2001</th>
<th>2002</th>
<th>2003</th>
<th>2004</th>
<th>2005</th>
</tr>
</thead>
<tbody>
<tr>
<td>Net private flows</td>
<td>13.7</td>
<td>16.7</td>
<td>9.9</td>
<td>12.1</td>
<td>6.3</td>
<td>15.8</td>
<td>20.7</td>
<td>28.5</td>
</tr>
<tr>
<td></td>
<td>1998</td>
<td>1999</td>
<td>2000</td>
<td>2001</td>
<td>2002</td>
<td>2003</td>
<td>2004</td>
<td>2005</td>
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</tr>
<tr>
<td><strong>Net equity flows</strong></td>
<td>15.5</td>
<td>18</td>
<td>10.7</td>
<td>14</td>
<td>9.1</td>
<td>14.3</td>
<td>18</td>
<td>24.7</td>
</tr>
<tr>
<td><strong>FDI inflows</strong></td>
<td>6.9</td>
<td>9.0</td>
<td>6.5</td>
<td>15.0</td>
<td>9.5</td>
<td>13.6</td>
<td>11.3</td>
<td>17.6</td>
</tr>
<tr>
<td><strong>Portfolio equity inflows</strong></td>
<td>8.7</td>
<td>9.0</td>
<td>4.2</td>
<td>-1.0</td>
<td>-0.4</td>
<td>0.7</td>
<td>6.7</td>
<td>7.2</td>
</tr>
<tr>
<td><strong>Net debt flows</strong></td>
<td>-1.8</td>
<td>-1.3</td>
<td>-0.7</td>
<td>-2</td>
<td>-2.8</td>
<td>1.5</td>
<td>2.8</td>
<td>3.8</td>
</tr>
<tr>
<td><strong>Medium/Long/Short Term</strong></td>
<td>-0.5</td>
<td>-0.6</td>
<td>-1.1</td>
<td>-2.1</td>
<td>-1.8</td>
<td>-1.0</td>
<td>1.1</td>
<td>1.5</td>
</tr>
<tr>
<td><strong>Net Official Flows</strong></td>
<td>10.6</td>
<td>10.3</td>
<td>10.7</td>
<td>10.7</td>
<td>16.6</td>
<td>23.3</td>
<td>25.1</td>
<td>25.2</td>
</tr>
<tr>
<td><strong>Bilateral aid</strong></td>
<td>10.1</td>
<td>9.9</td>
<td>10</td>
<td>10</td>
<td>14</td>
<td>22</td>
<td>24.2</td>
<td>28.4</td>
</tr>
<tr>
<td><strong>Net debt flows</strong></td>
<td>0.5</td>
<td>0.4</td>
<td>0.7</td>
<td>0.6</td>
<td>2.6</td>
<td>1.2</td>
<td>0.8</td>
<td>-3.2</td>
</tr>
</tbody>
</table>

**Source:** Global development finance 2006

**FOREIGN PRIVATE CAPITAL FLOW (FPCF)**

Private capital flows is another key source of foreign finance in sub-Saharan Africa. In the late 1990s’ it was a more important source of foreign capital flow for the region. For example, in 1998 and 1999 before the establishment of the NEPAD initiative, net private flows to the sub-region were 13.7 and 16.7 billion dollars respectively. Over the same period, net official flows to the sub-region were 10.6 and 10.3 billion dollars respectively. Relative to 1999, however, net private capital flows to Sub-Saharan Africa was low over the year 2000-2002 when NEPAD was already on the ground with all its international support and promises, but it would have been too early to begin to consider the gains of foreign capital flow into Africa due to promises made to NEPAD.

In 2003 private capital flow picked up although not as fast as the increase in the net official flows (See the above table).

A large part of recent private capital flows to the sub-region are in the form of equity as opposed to debt. In 2005, when NEPAD was barely three year in operation, net equity
flows accounted for 86 per cent of net private capital flows. Further more, between 1998 and 2002, net debt flows to the region was negative reflection largely the fact that during this period several countries in the region were more interested in servicing existing debt rather than accumulating further debt. The decline in the debt-equity ration of private capital flows in the sub region at the time was a welcome development as it limited the incidence of debt overhand in several countries.

FOREIGN DIRECT INVESTMENT (FDI)

Net Inward Foreign Direct Investment across Regions (US$ Billions)

Table 3

<table>
<thead>
<tr>
<th></th>
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<th></th>
<th></th>
<th></th>
<th></th>
<th></th>
</tr>
</thead>
<tbody>
<tr>
<td>All developing countries</td>
<td>168.7</td>
<td>172.4</td>
<td>183.3</td>
<td>168.8</td>
<td>176.9</td>
<td>160.3</td>
<td>161.6</td>
<td>211.5</td>
<td>237.5</td>
</tr>
<tr>
<td>East Asia and Pacific</td>
<td>62.1</td>
<td>57.8</td>
<td>50.8</td>
<td>44.3</td>
<td>48.5</td>
<td>52.2</td>
<td>59.8</td>
<td>64.6</td>
<td>65.3</td>
</tr>
<tr>
<td>Europe and Central Asia</td>
<td>24.6</td>
<td>27.4</td>
<td>29.8</td>
<td>30.2</td>
<td>34.9</td>
<td>35.9</td>
<td>62.4</td>
<td>75.6</td>
<td></td>
</tr>
<tr>
<td>Latin America and the Caribbean</td>
<td>66.7</td>
<td>74.1</td>
<td>88.3</td>
<td>79.3</td>
<td>71.1</td>
<td>48.2</td>
<td>41.1</td>
<td>60.8</td>
<td>61.4</td>
</tr>
<tr>
<td>Middle East and North Africa</td>
<td>2.1</td>
<td>2.7</td>
<td>2.4</td>
<td>4.1</td>
<td>3.4</td>
<td>3.7</td>
<td>5.6</td>
<td>5.3</td>
<td>9.1</td>
</tr>
<tr>
<td>South Asia</td>
<td>4.9</td>
<td>3.5</td>
<td>3.1</td>
<td>4.4</td>
<td>6.1</td>
<td>6.7</td>
<td>5.6</td>
<td>7.2</td>
<td>8.4</td>
</tr>
<tr>
<td>Sub-Saharan Africa</td>
<td>8.3</td>
<td>6.9</td>
<td>9</td>
<td>6.5</td>
<td>15</td>
<td>9.5</td>
<td>13.6</td>
<td>11.3</td>
<td>17.6</td>
</tr>
<tr>
<td>Angola</td>
<td>0.4</td>
<td>1.1</td>
<td>2.5</td>
<td>0.9</td>
<td>2.1</td>
<td>1.7</td>
<td>3.5</td>
<td>1.4</td>
<td>1.5</td>
</tr>
<tr>
<td>South Africa</td>
<td>3.8</td>
<td>0.6</td>
<td>1.5</td>
<td>1</td>
<td>7.3</td>
<td>0.7</td>
<td>0.8</td>
<td>0.6</td>
<td>6.3</td>
</tr>
</tbody>
</table>

Source: Global Development Finance 2006
Following the above table, Africa is presently attracting less FDI than most developing countries in spite of the introduction of the NEPAD initiative and its international political and corporate recognition. However, in 2005, there was a huge record of FDI into the Sub-Saharan African countries. Net inward FDI flows to the sub-region reached an all-time high of $17.6 billion. The UNCTAD also confirmed that this increase in FDI flows at that time was as a result of high commodity pricing and rising corporate profits. But in 2005, a large percentage of FDI inflows to the sub-region went to a few countries.

- **South Africa**: $6.3 billion
- **Nigeria**: $5.4 billion
- **Sudan**: $4.8 billion
- **Egypt**: $4.5 billion
- **Morocco**: $4 billion

The large FDI inflow in South Africa was due largely to the acquisition of a bank (ABSA) by Barclays Bank of the United Kingdom for $5 billion was a milestone for the country in that year. The FDI inflows into Sub-Saharan Africa in 2005 were mainly in the oil and gas sector which combines some technical assistance and capital inflow. Nigeria,, Angola and Sudan were the main beneficiaries in this sector. Sub-Saharan African countries have also made inroads into banking and other corporate services, though most banks are foreign owned. However, African countries continue to face difficulties in attracting enough technical assistance and FDI into manufacturing for lack of diversification of production structures, low human capital base and poor infrastructure.

**Rising cost of foreign technical and capital flow to Africa (Infrastructure) Aid and Loans. $bn.**

*Table 4*

<table>
<thead>
<tr>
<th></th>
<th>2005</th>
<th>2006</th>
<th>2007</th>
</tr>
</thead>
<tbody>
<tr>
<td><strong>G8</strong></td>
<td>2.5</td>
<td>1.9</td>
<td>3.6</td>
</tr>
<tr>
<td><strong>Multilateral</strong></td>
<td>408</td>
<td>5.8</td>
<td>8.8</td>
</tr>
<tr>
<td><strong>Total</strong></td>
<td><strong>7.3</strong></td>
<td><strong>7.7</strong></td>
<td><strong>12.4</strong></td>
</tr>
<tr>
<td>China (estimates)</td>
<td>1.5</td>
<td>7.0</td>
<td>4.5</td>
</tr>
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*Source: United Nations Renewal from ICA and World Bank data*

The above table had proven that NEPAD puts regional integration at the centre of its ambitious infrastructural blueprint. NEPAD calls for investment in Agriculture,
power, water, transport and information and communications systems. The cost of foreign technical and capital flows to Africa up till 2007 especially in infrastructure sector is a pointer that though, there has been an increase over the years ranging from 2005 to 2007, but the rate on increase may not be outcome-oriented in delivering on other sectors and in meeting the Millennium development goals.

**POLICY LESSONS**

The NEPAD foreign technical and capital flow initiative was one of its strategic components that were envisaged to assist in all its development projects and programmes. NEPAD estimated that about 7% annual growths rate is needed to meet its objectives including meeting the Millennium Development Goals (MDGs) in African countries, especially the goal of reducing poverty by half the proportion of Africans living in poverty by the year 2015. This implies that for NEPAD to meet these challenges, it needs to fill in an annual resource gap of about 12% of the continent’s gross domestic products. It is also important to note that for these gaps to be filled and followed with a reasonable level of sustainability there is a need for increased domestic savings and public revenue collections. NEPAD has high expectations of both foreign technical and capital flow to come from the international community, but NEPAD’s ability look inwards into Africa, developing its people and creating domestic wealth will go a long way to alleviating its widespread poverty.

However, according to Mills,(2011:4), Economic growth does not demand a secret formula. African poverty is not because the world has denied the continent the market and financial means to compete: far from it. It has not been because of aid per se. Nor is African poverty solely a consequence of poor infrastructure or trade access, or because the necessary development and technical expertise is unavailable internationally. Corruption, mismanagement and other social ills may have contributed immensely to the level of underdevelopment found in Africa which has undoubtedly posed a huge challenge to the NEPAD initiative.

The NEPAD strategy on infrastructural development is a good mechanism that will foster free movement of people and goods across many borders in Africa. Similarly, if Africa is going to achieve the markets needed for efficient infrastructure development at levels of economic growth, a lot of infrastructure is cost effective if implemented on a large scale.

Given the facts and figures appraised and examined in this paper, using NEPAD as a channel for foreign technical and capital flows in Africa may not deliver on the myriads of economic and social challenges facing the continent. NEPAD however, is likely to
do well on regional interventions and representing the continent as one economic block in the global terrain.

It is important to underscore that socio-economic challenge facing the whole world as a result of unfettered globalisation of the economy and regional integration around political and corporate governance has resulted to the present global financial crises. The G8 countries and their developed counterparts are experiencing serious economic melt down. Obviously this will put a squeeze on the promises and commitment made through the NEPAD development platform.

The 9/11 attack on the United states of America shifted the developed couturiers’ interest from honoring their financial and technical assistance to the developing ones which are largely found in Africa. The hunt for Osama Bin Laden, the Taliban and other related terrorist groups had made current and future promises difficult to be realized.

CONCLUSION

The article has undoubtedly profiled earlier financial commitments made towards the implementation of the NEPAD initiative during a number of Africa’s development Summit. In the 2012 business plan of NEPAD going forward, the redemption of the promises mentioned in this article remains a huge challenges. In view of the fore goings, NEPAD owe a duty to advice African leaders, governments and people towards taking their destiny in their own hands. Corruption and mismanagement of public funds must be condemned in strong terms. Infrastructural development and domestic and foreign resource mobilization need to target big business as against the present approach that targets developed governments whose duty and allegiance is to satisfy their domestic need before a consideration is given towards assisting African countries.

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www.nepad.org

AUTHOR’S CONTACTS:

Edwin Ijeoma
Department of Public Administration
University of Fort Hare
eijeoma@ufh.ac.za
GENDER AND HIV/AIDS: EXPLORING MEN AND VULNERABILITY TOWARDS EFFECTIVE HIV/AIDS POLICY INTERVENTIONS IN SUB-SAHARAN AFRICA

Ogochukwu NZEWI

ABSTRACT

This article examines the dynamics between HIV/AIDS gender policy strategies and the socio-political demands on HIV/AIDS interventions in sub-Saharan Africa. Gender in HIV/AIDS intervention seems inescapable. Nowhere else is this more marked than in the social dimensions of HIV/AIDS prevention in sub-Saharan Africa. This has resulted in prevention strategies, which are encumbered by the reality of poverty, gender, access, power and the various debates on behavioural change.

The social constructions of gender roles and power relations play a significant role in the region’s HIV/AIDS dynamic. To this end, the mainstreaming of gender issues into national political, social and economic agenda and policies has been championed by international development and economic institutions. In developing HIV/AIDS intervention policies, gender has also been mainstreamed, especially where epidemiological data show the disparity in infection rates between men and women, where women are seen as more susceptible to infection. The gendered approach to HIV/AIDS appears to typecast women as the vulnerable and suffering face of HIV/AIDS, while men, as ‘the other’, are generally regarded as the perpetuators and spreaders of the virus. While there is no doubt that women’s vulnerability in this milieu has been proven within known research evidence to exist, the neglect of institutional (social, cultural and economic) and historical vulnerabilities of African men’s realities are sometimes overlooked. Recently, greater focus has shifted to curbing infection rates in men based on new scientific evidence that shows that risk of transmission in circumcised men is reduced.

The article argues that such movement towards showing areas of men’s vulnerability as a focus in HIV/AIDS policy interventions may have the potential to shift the observed burden that current HIV/AIDS policy thrusts inadvertently place on African women. The article will put forward an argument for ‘the vulnerable other’ in HIV/AIDS policy intervention, suggesting a new continental policy strategy that sees men going from peripheral footnotes to the centre of HIV/AIDS policy and intervention programmes.

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INTRODUCTION

This paper examines what seems to be bias in gender-based HIV/Aids policy approaches and strategies in many countries in sub-Saharan Africa, which tend to marginalise men as potential targets for intervention strategies aimed at behavioural change. Public policy discourses on the HIV/Aids pandemic usually perceive men as the primary purveyors of the virus, mainly due to their sexually risky and promiscuous behaviour. Women are primarily seen as the victims of this behaviour of men. As a result, women tend to be the primary subjects of such strategies. In other words, policy strategies tend to focus greater attention on the victims – women – than on men. MacBride (2004) points out that among the reasons for women’s greater vulnerability is their “greater biological susceptibility to transmission than men, gender inequalities and transactional sex, where impoverished women, often starting in their teens, sell sex in order to provide for themselves and their families.”

This article argues that strategies which focus on women as victims are inherently flawed and so limit the potential effect of efforts to combat the spread of HIV/Aids in sub-Saharan Africa. While there is good news in the decline and plateauing of the rate of new infections of HIV/Aids in sub-Saharan Africa, these figures still show high prevalence rates (UNAIDS, 2011). Additionally, statistics also show that the number of new HIV infections far exceeds that of people added to HIV treatment yearly where for each person added, two more are infected, especially as more than 60% of people living with HIV/Aids are unaware of their status (UNAIDS, 2011). Thus, innovative policy intervention strategies are still important. This means that prevention is still central to not only reversing the infection rates but also in relieving the financial and economic toll of HIV/Aids in African states. HIV/Aids policies and behavioural intervention strategies should strive to increase the number of men brought into the ambit of these efforts. The article will not attempt to delve into issues related to HIV/Aids infections and risks in same sex relationships.

HISTORIOGRAPHY OF THE ISSUE: GENDER BIAS IN HIV/AIDS INTERVENTIONS

While acknowledging that there has been greater acknowledgement and policy direction on men focused-issues in HIV/Aids in recent years, this article posits that there is still a fundamental flaw in applying a gender-based approach to HIV/Aids in sub-Saharan Africa. To understand the evolution of thought on this issue, this section examines the growth in calls for men-focused interventions in HIV/Aids policy from the turn of the century to date.

A gendered response explores differences between men and women within a
particular human endeavour, be it in the social, political or cultural fields. It makes assumptions based on these differences; using these assumptions to best position the issues of development within the various gender structures. Shirin (2002) argues that the gendered arena examines the position of women and men in the ladder of social, political and cultural interaction, their access to resources, and how they mobilise within their various spaces. The United Nations Economic and Social Council (UN ECOSOC) considers gender mainstreaming to be a strategic tool in achieving gender equality. ECOSOC defines ‘gender mainstreaming’ as “the process of assessing the implication for women and men of a planned action, including legislation, policies or programmes in any area and at all levels” (UNESCO, 2003:18). Consequently, “a gender-based response to HIV/AIDS and STDs focuses on how different social expectations, roles, status and the economic power of men and women affect and are affected by the epidemic” (KIT & SAfAIDS, 1998:3).

While the characterisations of gender-based responses and approaches to HIV/AIDS interventions seem to embrace the notion of equality between male and female experiences, in practice women have appeared to have a higher priority than men, and are therefore the central recipients of the gender-based approaches to the mainstreaming of HIV/AIDS (Rayah & Maposhere, 2003). This woman-focused approach has produced scholarship over the years which argues that there has been a bias in the greater attention placed on the experiences of women in respect of HIV/AIDS (Kisoon, Caesar & Jithoo, 2002), even though men are and continue to be, responsible for the social behaviour patterns central to the spread of the HIV/AIDS epidemic in the continent, particularly in sub-Saharan Africa (Walker et al., 2004).

In 2003, Sayagues (2003:4) stated that “twenty years into the pandemic, the bulk of studies and interventions have centred on women and girls. There is greater understanding of the gender dimensions of HIV/AIDS but little funding and effort has gone into working with the men who interact with women and girls, as partners, husbands, fathers, teachers and so forth.” A year later, Akeroyd (2004) argued for a new agenda which emphasises and focuses attention on men and their responsibilities. The author pointed out that, although AIDS prevention strategies aim to alter men’s behaviour to minimise the spread of the pandemic, the focus of attention is usually on women.

Other observers and analysts (Barolsky, 2003:49; Jackson, 2002:366) also began to draw attention to the deleterious consequences of this apparent gender bias which, they argued, was leading to the possible alienation and disaffection of men from HIV/AIDS policy interventions and mainstreaming efforts. For instance, Barolsky and Jackson argue that while many continental and even global policy initiatives and campaigns (including the 2000 World Aids Day Campaign whose theme was ‘Men
and Aids-gendered approach’), do attempt to bring the role of men into their ambit, there is still an inadequate focus on this. In 2008, the UNAIDS 2008 global Aids report did acknowledge the need for programmes based on gender equity with particular attention focused on men and boys (UNAIDS, 2008:64).

In recent years however, there seems to be greater acknowledgement of the need to maintain an equal focus on interventions targeting men. For instance, new research showing that male circumcision reduces the risk of HIV transmission in men has resulted in South Africa instituting a roll out of a ‘national medical male circumcision (MMC) programme’, with a goal to reach 80% of men between the ages of 15 and 49 (RSA, 2011).

However, gender bias remains entrenched in mainstream policy response areas. An example is that the guideline number eight of the international guidelines for HIV/Aids and Human Rights (UNAIDS, 2006:52) stipulates that state action must provide an enabling and supportive environment for women, children and other vulnerable groups. While the 2006 UNAIDS guideline clearly defines vulnerable groups in terms transcending gender\(^2\) (UNAIDS, 2006), a large focus of this guideline is on women. In terms of this guideline, a supportive environment is supposed to encourage the establishment of national and local forums to examine the impact of the HIV/Aids epidemic on women. States are also encouraged to champion women-centred multi-sectoral initiatives (involving the state and civil society) which should include primary health services, counselling and information on prevention, and minimising the risk of transmission in childbirth. In addition, the UNAIDS HIV/Aids human rights international guidelines contain specific human rights stipulations which pay greater attention to women (UNAIDS, 2006). In many sub-Saharan African countries gender bias in national HIV/Aids policies is entrenched in HIV/Aids policies, plans and strategies. This is referred to in a UNAIDS (2008:1) report on policies related to women’s vulnerability to HIV, which indicated that sub-Saharan Africa is the most inclined to put in place policies focusing mainly on women to combat their vulnerability.

Malawi’s national HIV/Aids policy is an example. It focuses on women and girls as vulnerable groups and details a comprehensive response strategy that targets women’s rights in the home and the workplace (Republic of Malawi, 2003). All South African HIV/Aids strategic plans between 2000 and 2012 have focused greater attention on women and children, especially in terms of key goals, such as reducing mother-to-child transmission, and developing and expanding care of children and orphans\(^3\). Also in earlier strategic plans such as the 2000-2005 HIV/Aids/STD strategic plan, national

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2 See this definition in subsequent sections.
indicators for monitoring programme success have been largely female-oriented. For instance, in the 2000-2005 strategic plan the first indicator which is the ‘general trend of the epidemic’ was measured in terms of the prevalence of HIV in antenatal visits; another indicator, ‘youth’, was measured in terms of the same information on antenatal visits. A third indicator, ‘teenage pregnancy prevention’ was measured by the number of sexually active women using condoms and, finally, another female-oriented indicator is ‘abuse of women’, measured by the number of reported rape cases (RSA, DOH, 2000:17). While these indicators are based on certain acceptable standards that include need, feasibility and technical merit, the fact is that women still remain the easy source for HIV/Aids generalisable statistics. However, the South African HIV/AIDS 2007-2011 strategic plan (RSA, 2007) showed a more comprehensive set of indicators and measurement tools, which reflect indicators and measurements targeted at many vulnerable groups including men.

In Nigeria, one of the key HIV/AIDS strategies is to promote safe sexual behaviour among women by empowering them through education and legislation to protect themselves against unsafe sex (FGN, 2003:18). The point being made here is, again, that general policies, programmes and strategies to combat HIV/AIDS in sub-Saharan Africa appear to concentrate on women, virtually excluding men, even though the latter play a central role in the spread of the pandemic. Although many of the countries in sub-Saharan Africa also have national HIV/AIDS policy provisions which target other vulnerable groups, such as the youth (FGN, 2003:23; RSA, DOH, 2000:25), clearly there is an absence of targeted policy responses to bring men and boys firmly into the ambit of all these policies and programmes.

CONSEQUENCES OF GENDER-BASED APPROACHES

The gender-based approach to the mainstreaming of HIV/AIDS appears to have achieved significant results in many countries in sub-Saharan Africa. These policy interventions have yielded huge results as evidenced in South Africa’s globally recognised successful Prevention of Mother to Child Transmission (PMTCT) programme which achieved its target of a less than 5% transmission rate (RSA, 2011). Another of these consequences is a greater general awareness and knowledge of the risks of HIV/AIDS among women. This has also succeeded in fostering greater willingness among women to adopt risk-reducing activities, including getting tested for the virus, which is vital for the timely administering of the necessary medical treatments to reduce the incidence of mother-to-child-transmission. Women are therefore generally better armed with lifesaving knowledge and information on the risks of HIV/AIDS than men. In addition, more and more women are acquiring a range of adaptive social skills and behaviour patterns, such as developing and/or joining women-run, dedicated social support groups.
groups and networks, and engaging in home-based care activities for their families or communities. These activities have rendered women better prepared socially and psychologically than men in terms of coping with, and adapting to living with, HIV/AIDS. However, the greater focus of attention on women’s health and well-being in terms of HIV/AIDS policy interventions has also led to a number of burdensome consequences for women, as outlined below.

**Burden of disclosure and negotiation of safer sex**

In some countries, policies relating to antenatal HIV/AIDS screening have made women the primary bearers of HIV/AIDS status information. This is the case with Malawi’s policy of HIV testing without consent for pregnant women (Republic of Malawi, 2003). This puts pressure on women and places on them the burdensome responsibility of having to disclose their HIV/AIDS infections to their families and partners, often risking ostracism. Because of this policy practice in Malawi, the fear of abuse or rejection by husbands and families has caused a great deal of reluctance among pregnant women to test for HIV/AIDS (BBC, 2005 [http://news.bbc.co.uk/2/hi/africa/4551767.stm]). However, a study in Malawi (Bobrow, 2008) on factors that influence disclosure in pregnant women showed that a huge percentage (90%) of pregnant women who become aware of their HIV positive status, tend to disclose their status to their partners. Thus, one can argue that while Malawian women are likely to disclose their status to their partners, the fear of stigma makes disclosure a burden in itself. What this means is that the success of the efforts to educate and empower women with vital information and knowledge about HIV/AIDS have also resulted in them becoming not only the bearers of the responsibility to disclose their HIV/AIDS status, but also the bearers of the responsibility to negotiate safer sex as well as to educate their partners on the risks of HIV/AIDS. Such a responsibility is best handled in social and family contexts, where women enjoy equal decision-making powers with their partners and are able to negotiate the usage of protective measures such as condoms, rather than in a situation, prevailing in many sub-Saharan countries, where women are still vulnerable to various forms of abuse and sexual violence by their partners, families and society in general. For many women in sub-Saharan Africa, such an enormous responsibility often becomes unbearable.

**The burden of care and social support**

Due to their greater exposure to HIV/AIDS interventions and information dissemination, combined with their traditional social roles as caregivers in their families, women have also become central to caregiving for those infected and affected by the Aids pandemic (Cabrera et al., 1996). According to Barolsky (2003, 40) “instead of HIV compelling a re-examination of gender roles, the burden is being displaced vertically
across generations along the female lines.” In Uganda’s Rakai district of about 40 000 inhabitants, there is a record of about 300-400 various women’s support and home-based care groups (Cabrera et al., 1996). In South Africa, women are more likely to be seen forming support groups and running home-based care groups. A report by the South African Department of Health (http://www.doh.gov.za/aids/) shows that in March 2003, a total of 466 home/community-based care programmes were in place, with 9 553 volunteers and 370 172 people accessing the services regularly, most of them women. This disproportionate statistic has not changed over the years as there is evidence that the major proportion of people involved in home-based care remains women as shown in several UNAIDS recent reports (UNAIDS, 2008; UNAIDS, 2012). All this serves to reinforce the idea that women have not only become resourceful in dealing with HIV/AIDS, but have also come to shoulder the burden of responsibility for supporting their families and communities in coping with the pandemic, often with extremely limited resources and support from their governments.

**Serving as ‘guinea pigs’ for information-gathering activities**

Women are the sources of HIV/AIDS policy-relevant data. South Africa is a case in point, where vital HIV/AIDS policy indicators depend on statistical data gathered mainly from women, particularly from antenatal HIV/AIDS tests, reported rape cases, reported teenage pregnancies and usage of condoms. While the latest indications show a stabilising of national epidemics and prevalence in sub-Saharan Africa and South Africa in particular, where there is evidence of a plateauing of infection rates (UNAIDS, 2008:5; RSA, 2011), HIV/AIDS prevalence still tends to reflect a higher incidence among females in particular 59% in sub-Saharan Africa (UNAIDS, 2011). This article argues that perhaps a more inclusive gendered approach to policy may result in a reversal in this trend. This is because a possible unintended consequence of this greater policy focus on women could be that men become less willing – or assume that it is not necessary – to share the responsibilities and burdens of disclosure, care and prevention. It is critical for policy researchers and policy makers to understand the extent to which this inequity could be explained by referring to the seeming gender bias in HIV/AIDS mainstreaming intervention strategies. Behavioural change intervention strategies in sub-Saharan Africa continue to be based on the premise that men are the primary spreaders of the virus, because of their promiscuous behaviour, without necessarily pursuing relevant and effective strategies to target them and place them at the centre of HIV/AIDS mainstreaming efforts in sub-Saharan Africa.

**UNDERSTANDING WOMEN’S VULNERABILITY**

UNAIDS considers that vulnerability results from a range of factors outside the
control of the individual, which reduce the ability of individuals and communities to avoid the HIV risk (UNAIDS, 2008). UNAIDS defines vulnerable groups as ‘groups that may be disproportionately affected’ by HIV/AIDS, depending on the local environment (UNAIDS, 2006). These include ‘women, children, those living in poverty, minorities, indigenous people, migrants, refugees and internally displaced persons, people with disabilities, prisoners, sex workers, men having sex with men and injecting drug users – that is to say groups who already suffer from a lack of human rights protection and from discrimination and/or are marginalized by their legal status’ (UNAIDS, 2006:78). The relevance of looking at this definition is to appreciate that vulnerability to HIV/AIDS transcends gender and thus must be a credible starting point in developing HIV/AIDS policy interventions.

The social constructions of gender roles and power relations play a significant role in many countries in Africa, as they do in other countries around the world, and these have important implications, not only for domestic policies but also for HIV/AIDS intervention strategies in sub-Saharan Africa. In sub-Saharan Africa, gender-based intervention strategies have tended to put women at the centre of political, social and economic policy agendas as part of broader efforts to combat the pandemic. In the course of developing appropriate national and continental HIV/AIDS intervention policies, women have been prioritised, especially on the basis of a wide range of evidence, including epidemiological, which illustrates beyond doubt the disparity between women and men in terms of vulnerability to HIV/AIDS infection. This is understandable and beyond debate, because of a number of critical factors that can be grouped into different categories: physiological, socio-cultural, economic and financial factors.

In terms of the physiological dimensions of the human body, the physiological aspects of women’s bodies render them more susceptible to HIV/AIDS infections than men. MacBride (2004) regards this as women’s “greater biological susceptibility to transmission than men”. For instance, a report by the United Nations (UNAIDS, 1998a:4) points to the fact that “the physiological differences in the genital tract directly contribute to women running a higher risk of acquiring HIV infection and STDs than men.” The report goes on to add that “in women, many STDs are asymptomatic, so that many women are unaware that they need to seek care” (UNAIDS, 1998a:4). However, the more critical factors that render women more vulnerable to infections than men fall within the other categories identified above – socio-cultural, economic and financial – and these are well documented in literature and numerous reports produced by a wide range of organisations internationally and on the African continent. For instance, Gupta (2000) provides an outline of a range of socio-cultural, economic and financial circumstances shaping women’s experiences in a number of countries
in Africa, thus rendering them more vulnerable to infections. Also, the UNAIDS fact sheet on women, girls and HIV (UNAIDS, 2011) shows that inequalities which exist culturally and socio-economically, such as denial of property and inheritance rights for women and early marriage, all contribute to shaping women’s experiences in sub-Saharan Africa.

Gupta also argues that dominant cultural beliefs in many countries on the continent imply that ‘good’ women are ignorant and less informed about sex in general, as they are usually assumed to be more circumscribed than men in their sexual behaviour and experience (Gupta, 2003:3). Consequently, they are not expected to be knowledgeable about the ‘risks reduction’ behavioural aspects of their sexual interactions with men. As a result, well-informed women tend to feign ignorance of this knowledge and usually adopt passive attitudes during sexual interactions, which prevent them from adopting proactive attitudes to negotiating safe sex (Gupta, 2000:3). Gupta lists a number of other cultural norms and traditions in many societies on the continent that increase women’s vulnerability to infections. For instance, widespread traditional normative expectations or assumptions of young girls’ virginity, which prevents them from acquiring information about sex, lest they are assumed to be sexually active; strong norms and traditions of female sexual passivity combined with economic dependence on men, which reduces their ability to negotiate safe sex options; and violence against women.

Finally, UNAIDS also points to how even the advancement in prevention technology, in the form of female condoms, has to face the problem of gender-based cultural obstacles. The report points out that for many cultures “condoms are associated with illicit sex and STDs, and women who attempt to introduce them into a relationship encounter problems such as being perceived as unfaithful or ‘over-prepared’” (UNAIDS, 1998a: 9).

**HIV/AIDS AND MEN’S VULNERABILITY**

As already argued, the greater vulnerability of women to HIV/Aids infections has influenced and shaped policy responses in such a way that women have become the primary targets of national and continental policy actions. Men, on the other hand, are not as central to intervention strategies, and while behavioural change messages do focus some attention on men, these do so predominantly in the context of men being identified as the ‘perpetrators’ (spreaders of the virus) and culprits, rather than as vulnerable groups, even if less so than women.

However, a small but increasing number of studies (see Peacock & Levack, 2004; Mutonyi & Greig, 2002; Gupta, 2000; Cornell, 2003) on the continent are beginning
to focus greater attention on the situation of men, especially in terms of the nature of their socialisation into specific roles and attitudes, and the way these have contributed to their vulnerability to HIV/Aids infections. These studies are seeking ways to understand the complexity of men’s social and cultural realities in order to contribute comprehensive behavioural intervention strategies and policies to address the situation of men in sub-Saharan Africa, particularly with regard to issues of men’s sexual behaviour and the social and cultural norms and traditions that underpin these persisting behavioural patterns. For instance, Peacock and Levack’s research into the Men as Partners Program in 2004 showed that the work of this local NGO in collaboration with other civil society networks makes men the central target of workshops and programmes aimed at “changing knowledge, attitudes and behaviour; mobilising men to take action in their own communities” (Peacock & Levak, 2004:175). Also, South Africa’s 2007-2011 strategic plan calls for “a comprehensive package that promotes male sexual health” (http://www.tac.org.za/documents/NSP-Draft10-2007-2011.pdf). UNAIDS’s latest report calls for a scale-up of programmes based on gender equity, with particular attention focused on men and boys (UNAIDS, 2008:64). Zambia’s growing emphasis on the situation of men and boys is evidenced by the growth of male caregivers in Zambia’s Kara Counselling Centre, which works with local chiefs and church elders (Sayagues, 2003).

Despite these developments, dominant policy paradigms, not only in the literature but also in public debates, about the role of men in society in general and in the spread of the HIV/Aids pandemic in particular, serve as a critical obstacle to our ability to perceive men as a possible vulnerable group. While it is essential and justifiable that current policies and programmes proceed from the idea that men are crucial in the spread of the pandemic, strategically this should be reflected in terms of behavioural change intervention strategies and programmes specifically targeted at them as a group.

In other words, the fact that men are also vulnerable to infections, due to a number of important factors outlined below, needs to be made an integral part of policy responses to the pandemic. That this is not is an important aspect of current policy responses in many countries in sub-Saharan Africa, whether due to deliberate neglect or not, tends to lead to HIV/Aids intervention strategies that gloss over the realities of African men, constructing their behaviour in a manner that decontextualises them from their social, cultural, economic and even historical circumstances.

For purposes of analysis, the subsections that follow will explore a number of factors that render men vulnerable to HIV/Aids infection. These factors will be categorised into three groups: socio-cultural, economic and financial. The literature also makes
reference to political and historical factors that contribute to men’s vulnerability to HIV/AIDS infections.

**Socio-cultural factors leading to men’s vulnerability**

Before any strategy aimed specifically at the situation of men in sub-Saharan Africa could be formulated and put in place, a critical paradigm shift will be necessary. Policy makers and strategists would have to begin perceiving men and boys as more than just the culprits and perpetrators in spreading HIV/AIDS. They would have to also be perceived and treated as a vulnerable group – vulnerable to HIV/AIDS infections. For instance, a UNAIDS report (1999) identifies traditional norms of masculinity prevalent in many sub-Saharan countries as problematic. In terms of these norms, men are expected to be well informed, knowledgeable, and experienced in matters of sex, which in turn prevents them from admitting their ignorance about matters of sex and risky sexual behaviour, thus preventing them from seeking help and information on how to avoid risky sexual behaviour. Gupta *et al.* (1994) point to traditional beliefs in many societies which encourage men to have multiple partners as a sign of manhood, which in turn undermines messages of abstinence and faithfulness to change behaviour. This places men and boys at risk of infection. A UNAIDS report (1999) also draws attention to the traditional norms of masculinity in many countries, in terms of which sexual domination of women, combined with sexual aggression and sometimes coercion and violence, are considered vital aspects of men’s sense of power and control. Richter and Morrels’s edited work, *Baba: Men and fatherhood in South Africa*, gives some insight into men’s feelings of disempowerment in their experiences of poverty, incarceration and unemployment in South Africa (Richter & Morrel, 2006). These factors, combined with drug and alcohol abuse, invariably place men and boys in situations where they are exposed, and therefore rendered extremely vulnerable, to HIV/AIDS infection.

**Economic and political factors leading to men’s vulnerability**

Bringing men effectively into mainstream HIV/AIDS policy responses and intervention strategies must be accompanied by a paradigm shift that constructs a different role for men as more than mere spreaders of the pandemic. Men also have to be viewed as partners in the fight against HIV/AIDS. But more than that, it is critical that men are also seen as a vulnerable group. As Oppong and Kalipeni (2004) argue, this will entail targeting men’s behavioural change within the wider context of the macro-economic and political environment, in addition to the socio-cultural factors as outlined in the previous subsection.

The broader negative macro-economic context in sub-Saharan Africa has created
widespread problems of economic deprivation, unemployment and inequality in many countries. This serves as a context and backdrop to what risky sexual behavioural patterns among men and boys have developed, and therefore needs to be understood by policy makers. In particular, the devastating economic collapse in Zimbabwe and the grinding poverty in other countries – such as Lesotho, Swaziland, Malawi, Zambia and Mozambique – and war and conflict in several other countries including the Democratic Republic of Congo (DRC), have led to the widespread phenomenon of economic and political migration in sub-Saharan Africa. A study on the Zimbabwean male psyche with respect to reproductive health, HIV/AIDS and gender issues suggests that there is a relationship between levels of education and income bracket and men’s perceptions of sexual roles, pointing to negative sexual convictions which may harm women (Chiroro et al., 2002).

In South Africa, the history of legalised racial inequality, enforced economic deprivation, forced removals of whole communities from economic nodes and the resultant internal economic migration, have made the disparity in wealth between the rich and the poor in South Africa one of the highest in the world. For instance, in 1993 the richest 10 per cent of the population in South Africa received 47.3 per cent of the national income, while the poorest 40 per cent received only 9.1 per cent. The internal economic migration and social displacement of the economically active population in South Africa, exacerbated by rapid levels of urbanisation and high rural-to-urban migration, have also created conditions that are highly conducive to the ceaseless spread of HIV/AIDS. While no research has conclusively linked gender violence in post-apartheid South Africa to the emergence and promotion of women’s rights and emancipation through legislation and policy, it is suggested that perceptions among men of their traditional roles being undermined or disrespected by women, may lead to negative reactions and mistreatment of women.

The impact of these broader macro-economic and political factors (including conflict and war) has been to compel men and women in many countries in sub-Saharan Africa having to leave their families and communities to seek employment opportunities or safety in the cities and/or other countries. The resultant refugee populations or migrations across towns, cities, regions and the continent are the creation of migrant populations of men and women, many of whom have been socially displaced from their families and social support networks, leaving them exposed to risky social behaviours, especially in cases where women and girls turn to sex work to support themselves (UNAIDS, 1997; UNAIDS, 1998b). In addition, men in sub-Saharan Africa are usually engaged in a range of highly mobile (and sometimes transitory) economic activities, such as trucking or mining. The UNAIDS best practice collection on HIV (UNAID 1998b) points out the vulnerability of the men in the military, and identifies
vulnerability factors such as military risk-taking culture and attitudes to civilian populations which often expose them to risky sexual behaviour, thus rendering them vulnerable to infections.

CONCLUSION: TOWARDS A GENDER-BALANCED APPROACH

There are indications that men’s vulnerability is becoming a policy focus as seen in the draft 2012-2016 South African strategic plan (RSA, 2012) in which key HIV/Aids policy target populations include track drivers, mine workers, clientele of taverns and shebeens, people living in unstable communities and men between the ages of 12 and 49. However policy and programme interventions in many countries in most sub-Saharan African states show a pattern which prioritises women over men, thus allowing men to fall through the cracks. Understandably, the premise from which policy makers and activists in this field proceed is to focus greater attention on women and girls, as they are perceived to be the most vulnerable group.

This article has argued for the need to revisit the gender approach to HIV/Aids as it presently exists. The current approach, which targets women’s rights, empowerment and the mainstreaming of women’s issues into HIV/Aids policy and legislation should be balanced by an equally aggressive action that directly targets issues of concern for men, especially their health, rights, empowerment and education, particularly in the context of the pandemic. It is therefore necessary for policy research to problematise HIV/Aids policy approaches that tend to marginalise and neglect the situation of men, especially as they are the main spreaders of HIV/Aids. It is critical for policy responses to the pandemic to ensure that men become as much the focus and targets of policy responses as women, if not more so, given the important role that they play in the spread of the disease.

Prioritising the situation of men in sub-Saharan Africa means having to address issues such as improving men’s access to health infrastructure and support services relating to men’s reproductive health. Additionally, it will be important to shift interventions towards long-term and viable strategies that focus attention on factors that perpetuate the spread of HIV – for instance by addressing poverty and unemployment, and internal and regional migration, with particular emphasis on displaced men and women. The need to ensure universal education for boys and girls, as well as building and upgrading the economic infrastructure, is critical. It is also important to encourage and create an environment for debate and dialogue, particularly within men’s social networks, to bring communities together to mobilise through strong male community structures and opinion groups. This will entail, among other things, extending HIV/Aids experiences and research to incorporate men’s stories, as well
as projects, programmes and campaigns that are mainly targeted at men. Finally, in the long term a continuous commitment by the state and other stakeholders, such as community-based organisations, traditional leadership structures and civil society, to addressing poverty reduction, education and unemployment will provide a more holistic and integrated strategy that will help stem the tide of HIV/Aids in sub-Saharan Africa.

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**AUTHOR’S CONTACTS:**

Ogochukwu Nzewi  
Department of Public Administration  
University of Fort Hare  
onzewi@ufh.ac.za
ABSTRACT

Adoption of a performance management system in municipalities presented a serious challenge for its implementation. This scenario is implicitly manifesting itself in the reports of the Auditor-General on the financial statements and performance of municipalities, as well as in the state of local government in South Africa overview report (2009). These reports called for the conceptualisation of a model that to strengthen the implementation in municipalities of a performance management system that is efficient and effective. And most importantly, this model could be beneficial for growth, development and effective service delivery.

INTRODUCTION

The concept of performance management is somewhat new in the South African public sector, particularly in municipalities. Curtis (1999:260) states that performance management is a set of management practices that are used in many countries around the world, such as Britain. Performance management was developed internationally about thirty years ago, and originated in the Management-by-Objectives (MBO) approach (Cameron & Sewell, 2003:243). The concept was only introduced in South African municipalities in 1998 through the publication of the White Paper on Local Government.

Hughes (1998, in Cameron & Sewell, 2003:243) further indicates that performance management was initially implemented in the private sector, but at present this management style is embedded and entrenched in the public sector’s operations. The White Paper on Local Government (1998) and the resultant local government laws and regulations, which will be considered later in this article, state categorically how municipalities in South Africa should implement a performance management system.

Consequently, municipal systems of operations need to comply with legisatory requirements and provide frameworks through which service delivery can be realised. Thus, a performance management system is obligatory for municipalities.

The aim of this article is to propose a comprehensive approach that can be used to enhance performance in municipalities. The article also takes into consideration that the local government system is a new phenomenon in South Africa and is continuously
evolving and therefore enhancements to the systems will be needed. The focus of this article is on organisational, departmental, and individual performance management.

**MUNICIPAL PERFORMANCE MANAGEMENT SYSTEM**

Performance management is a managerial task that includes activities that are meant to ensure that the goals and objectives of an organisation are consistently being achieved in an efficient and effective way (Wikipedia.org). Therefore managing performance in municipalities involves monitoring performance in relation to:

- key performance indicators (KPIs)
- the targets of development priorities
- objectives as laid down in the Integrated Development Plans (IDPs)

According to Risher (2003:25), managers should be held accountable for creating an environment that strives for peak performance in municipalities. The indication is that in order for managers to create an environment that encourages good performance they should go beyond the basic aspects mentioned above which need monitoring, reviewing, and measuring in order to determine performance.

Meyer and Kirsten (2005:62) indicate that performance management would be beneficial to municipalities if it addresses the following objectives, which are to:

- create a supportive environment that promotes the culture of good performance
- establish clear performance standards
- ensure implementation of municipal development strategies
- provide performance feedback to employees
- promote the development of employees through training, counselling and coaching, in order to realise job opportunities
- improve career development by discussing municipal plans for career advancement and promotion
- improve communication and relationships by establishing mutual goals
- establish a framework for linking remuneration to performance
- improve the quality of services rendered by municipalities.

When the above performance management objectives as suggested are considered, it becomes obvious that management of performance should be comprehensive and strategic towards the promotion of effective service delivery. It is therefore relevant that at this juncture the prescriptions of the laws and regulations on this concept be
highlighted so as to make sense of the legal expectations during the implementation of performance management in municipalities. Thus the next section focuses on the manner in which performance management should be implemented in South African local municipalities.

**Laws and regulations regarding the municipal performance management system**

Chapter six of the *Municipal Systems Act*, Act 32 of 2000 concerns the manner in which municipalities should deal with performance management (Swanevelder, 2004:31). Sections 38-40 of the Act provide for the establishment of a performance management system that is appropriate to municipal resources; the development of a performance management system; and the manner in which the municipality should monitor and review its performance management system. As example, monitoring and review should focus on the efficacy of the system, particularly on its components.

Section 41 of the act spells out the core components of the municipal performance management system. These are the establishment of appropriate key performance indicators as a measure for performance; measurable performance targets with regard to the development priorities and objectives; monitoring, measuring and reviewing of performance; action to improve performance with regard to the development priorities and objectives where there is under-performance; and the creation of a regular mechanism reporting to the council, political structures, political office bearers, staff of the municipality, the public, and other organs of the state.

Section 42-48 of the act deal with the community involvement necessary to ensure the development, implementation and review of the municipality’s performance management system and the manner in which the Minister should establish appropriate key performance indicators that can be applied to local government in general. This latter aspect is captured in the Municipal Planning and Performance Management Regulations (2001).

The Performance Management Guide for Municipalities (2001) presents guidelines on development and implementation of an organisational performance management system; at the same time it highlights some of the linkages to the employee or personnel performance management system, which should also form part of broader performance management systems in municipalities.

When considering the reports of the Auditor-General as highlighted by Duvenhage (2008:3) regarding the performance of municipalities and the findings of the State of Local Government in South Africa overview report (2009) as shown below, this article considers the implementation of municipal performance management systems to
still be a serious challenge. The efforts at implementation need to be strengthened in order to promote the culture of good performance.

THE STATE OF PERFORMANCE IN MUNICIPALITIES

The publication of reports by the Auditor-General on financial statements and the performance of municipalities shows that municipalities in South Africa are still struggling to perform efficiently and effectively. The root cause of this is the lack of internal controls and of governance principles, and the mismanagement in municipalities (Local Government Turnaround Strategy, 2009:11).

The South African Government has also admitted in Sake Rapport that some areas of mismanagement have occurred within public institutions (Duvenhage, 2008:3). This admission is contained in a report, which indicates that, according to past information about municipalities, 57% of financial statements for 2004/5 were unsatisfactory. What is even worse is that the Government acknowledged the fact that great concern is voiced about the rendering of basic services to all South Africans (Duvenhage, 2008:3).

To this end, national state of local government assessments (State of Local Government in South Africa overview report, 2009:10) were conducted and they revealed that the difficulties in municipalities pointed, among others, to poor compliance with the legislative and regulatory frameworks. Furthermore, the State of Local Government in South Africa overview report (2009:30) indicates that in most municipalities performance management systems were either not established or not complied with. Over and above this, this report reveals that many municipal managers do not have signed performance contracts.

In view of these reports’ findings, this article recommends a model to strengthen performance management system implementation in an attempt to alleviate shortcomings in municipalities.

PROPOSED PERFORMANCE MANAGEMENT MODEL

The performance management system in municipalities should assist employees by promoting an organisational culture in which groups or departments and individuals take the initiative for continuous improvement of their performance. It should also encourage employees to register with institutions of higher learning to improve their skills, which in the long run would enable them to perform efficiently and effectively. Learning is the basis of empowerment. Thus, performance management systems in
municipalities should make use of recommended steps in the proposed model of a performance management system as shown in Figure 1 below.

**Figure 1: Proposed model of performance management system in Municipalities**

![Proposed model of performance management system in Municipalities](Adapted from Meyer & Kirsten, 2005:62)

The figure indicates the conceptual approach framework of separated, but related, performance managerial processes in the implementation of a performance management system. Primarily the model is applied to individual processes, yet its components lie at the heart of performance management as they integrate planning, action and monitoring, as well as evaluation to ensure continuous improvement and the achievement of service delivery objectives.

This model also accentuates the alignment of systems, since motivation, recruitment and promotion, and training and development of personnel are inherent organisational aspects for achieving effective performance in any organisation. These four steps of the model are discussed below.

**Performance planning**

Planning is a prerequisite for effective execution of performance management in any organisation (Meyer & Kirsten, 2005:62). Therefore, performance management frameworks should be planned in such a way that they are based on key performance areas reflected in the Integrated Development Plans (IDPs) in municipalities (Municipal Finance Management Act, Act 56 of 2003). These frameworks should differentiate between organisational, departmental and individual performance management. This means that IDPs should be the basis for performance management systems, and should also serve as a tool to measure municipalities’ performance (SALGA performance management series vol. 1).

Further than that, Service Delivery Budget Implementation Plans (SDBIPs) as a legislative requirement, and developed from the IDPs, should be used to measure departmental performance; and consequently, assistant managers should use monthly and quarterly workplace plans to measure individual performance (Municipal Finance Management Act, Act 56 of 2003).
The drawing up of monthly and quarterly workplace plans in departments or teams should be treated as a learning process by including and involving all employees working in departments or teams. During these meetings, employees should be given a clear understanding of municipal processes that relate and inform their goals at their respective levels. Blanchard (2007:97) asserts, “An important way to motivate your people is to make sure they know where they are going. See that each person’s goals are clearly defined and that he or she knows what it means to perform well.”

In this way, employees’ roles and responsibilities should be clarified and monthly or quarterly workplace plans should relate to the goals and performance standards set in the SDBIPs for the individuals or teams in the department.

Table 1 below illustrates an example of a Service Delivery Budget Implementation Plan (SDBIP) template that could be used by municipalities as a performance plan in various departments, which could be used to measure departmental managers’ performance.

**Table 1: Example of Service Delivery Budget Implementation Plan (SDBIP) template**

<table>
<thead>
<tr>
<th>KPA</th>
<th>Objective</th>
<th>KPI</th>
<th>Baseline indicator</th>
<th>Target</th>
<th>Date</th>
<th>Budget</th>
<th>Responsibility</th>
</tr>
</thead>
<tbody>
<tr>
<td>Installation of water meters</td>
<td>Accuracy of measuring water consumption</td>
<td>Installation of 90% water meters</td>
<td>10% of water meters installed in households</td>
<td>Installation of 90% water meters</td>
<td>30/06/08</td>
<td>R2 m</td>
<td>Infrastructure, Departmental manager, Senior manager</td>
</tr>
<tr>
<td>Availability of water meters</td>
<td></td>
<td>10% of water meters in other households</td>
<td>Storing and control of water meters</td>
<td>30/07/08</td>
<td></td>
<td></td>
<td>Infrastructure, Stock, Stock controller</td>
</tr>
<tr>
<td>Installing 8% water meters per month</td>
<td></td>
<td>10% of water meters in other households</td>
<td>Installing 90% of water meters</td>
<td>01/08/08 to 30/06/09</td>
<td></td>
<td></td>
<td>Infrastructure, General workers</td>
</tr>
</tbody>
</table>

(Adapted from SALGA performance management series volume 1)

As illustrated above, municipalities should use an SDBIP to manage the performance of departments. Individual performance management in every municipal department should be developed according to its SDBIP. The municipal manager and departmental managers, normally referred to as section 57 managers, should enter into annual performance agreements and have performance plans to keep track of their performance (Municipal Systems Act, Act 32 of 2000).

Performance plans should be developed together with annual performance agreements, and should clearly stipulate the performance requirements for a specific financial year. Through SDBIPs, departmental managers should enter into a performance agreement with municipal managers.
As illustrated in Table 1, information related to sections in a particular department, for example, the Department of Infrastructure/Technical services, should provide functional plans for the stock control section as well as for other relevant sections. In the same way, information related to general workers should also provide for an individual performance plan in that particular department, and should be reflected in the job descriptions of individuals. The performance plan should clearly identify tasks related to an individual staff member or a team for that specific financial year. In this way, job descriptions should be developed to manage and assess operational staff performance.

Managing performance

Management in municipalities should be aware that operational staff would not automatically implement performance plans and strive for defined standards or objectives. On the one hand, assistant managers should make themselves available and be able to guide and assist workers when problematic issues arise. On the other hand, operational staff needs necessary resources in order to perform as expected. Blanchard (2007:57) captures the foregoing sentiment explicitly by saying “being responsive to your people’s needs sets them free to be responsible (able to respond) for getting the job done”. Therefore, the required resources should be made available timeously. Furthermore, it is essential that assistant managers are able to provide continuous coaching to inspire and encourage staff members.

Departmental managers and assistant managers should also ensure that regular meetings are held where staff members report and voice their opinions about job-related issues. In order for operational staff to be effective, departmental managers and assistant managers should give them the freedom to carry out tasks independently and make decisions about work methods. Nonetheless, their independence should not be unrestricted; there must be guidelines that should serve as parameters within which they operate. Therefore all workers should be trained on those policy guidelines.

Meeting sessions should also be held to give staff members feedback concerning their performance. All errors revealed should be exposed and corrected. Operational staff members should also be encouraged to learn from their mistakes. These meetings should be treated as platforms to promote communication and a culture of good performance in municipalities. Thus, communication should serve as part of the performance management of departmental managers and assistant managers.

Since a performance appraisal relates to a performance management system, it should also be seriously considered to promote effective service delivery and to address developmental and training needs of employees in municipalities. Thus this aspect is discussed below.
Performance appraisal

Performance appraisal is a systematic and periodic process in which individual employees’ performance is evaluated based on the predetermined goals and objectives of an organisation or department. It forms part of a performance management system, in that it ensures the availability and usage of precise and timeous assessment data, in order to recognise, reinforce or correct behaviour that can contribute to poor performance (Swanepoel, Erasmus, Van Wyk & Schenk, 2003:372; Cameron & Sewell, 2003:257). To this effect, a performance appraisal should be carried out as regular performance reviews during the course of the year towards an annual performance assessment in municipalities.

As part of the performance management system, a performance appraisal should concentrate on assessing performance outputs in relation to performance standards or objectives set in the Integrated Development Plans (IDPs), Service Delivery Budget Implementation Plans (SDBIPs) and job descriptions. Performance appraisal should assist municipalities to facilitate skills development and the competency of employees, creating a working culture and motivation, providing more communication channels, and identifying training and developmental needs (Bolton, 1997:129).

It is also recommended that the following people should administer appraisal in municipalities:

- Mayors/councillors: should assess performance of the municipal council and the established committees, as well as that of administration
- Municipal managers: should assess performance of departmental managers or heads of departments (HODs) on a quarterly basis
- Departmental managers: should appraise performance of assistant managers on a quarterly basis
- Municipal managers and departmental managers: should assess performance of the municipalities on a monthly basis
- Assistant managers: should assess performance of operational staff members reporting to them on a quarterly basis.

Systems linkages

In considering Cameron and Sewell’s (2003:256) argument, it is important that municipalities encourage good performance. They should not focus on poor performance and subsequently take disciplinary action against employees, but rather take actions such as mentoring and developing, as well as encouraging good performance through rewards. In addition, municipalities should acknowledge good performance, in the event of employees who have successfully met or exceeded targets or objectives stipulated in the IDPs, SDBIPs, and job descriptions. The
performance management system should be implemented as a tool or measure to reward performance in various ways; for example, financial rewards or recognition of achievement should be used in municipalities.

Thus, municipalities should consider developing reward systems that would assist and persuade employees to put more effort into their work and to perform as expected. Employees should also be informed about the way their efforts would be rewarded. This gesture would accentuate the importance of employees as partners in municipalities. For this reason, it is imperative for municipalities to treat employees as important assets. In order to achieve this, municipalities should develop reward systems policies that prescribe the kind of rewards that should be awarded to employees for good performance (Hersey, Blanchard & Johnson, 2001:211).

Furthermore, performance management systems should provide opportunities for employees’ training and development for skills acquisition, so that they can be taken into consideration for promotion and for career paths available to them within municipalities. Personal development plans should be devised to address skills shortages. Over and above these issues, it is a matter of policy requirement that municipalities should continuously train and develop their employees to realise and achieve their visions, missions and strategic goals or objectives (Dessler, 1997:693; Municipal Systems Act, No. 32 of 2000).

The training and development in municipalities should thus be managed and directed, taking into consideration national policies and legislation. Managers in municipalities should have clarity of thought and be able to practise an inclusive approach to human resource (HR) management. Training and development should be based on effective human resource practices, such as the development of an HR plan for future filling of posts (through promotions, succession, career pathing, and recruitment from outside), establishment of job descriptions, as well as making use of results obtained from regular performance appraisal and performance management (c:\docs\MM PDP 24 5 2006.doc).

It is also crucial that municipalities develop a performance management system as well as a development system that could update the personal development plans of employees. The purpose of a personal development plan is to identify, prioritise, and implement, training needs in municipalities. A recommended personal development plan is illustrated in Table 2 below.

**Table 2: Example of a development plan template**

Personal development plan of: Mr/Mrs: ........................................................................................................

Compiled on (date):........................................................................................................................................
A personal development plan should:

- identify expected outcomes and time frames for achievement of such outcomes
- recommend training and development activities
- recommend a training institute
- recommend the way acquired knowledge and skill should be practised in the workplace
- allocate or mention a mentor.

Therefore it is important that all employees in municipalities should draft personal development plans. For section 57 managers, personal development plans should form part of their annual performance agreements, and these plans should be concluded at the beginning of the performance cycle or financial year.

In order to address their individual training needs, municipalities should compile workplace skills plans to serve as a basis for all training and education activities for employees in a specific financial year. Since there are external organisations that assist municipalities to train employees, it is important that municipal management should ensure that training and education activities provided by an external provider are relevant to the identified unit standards in order for municipal employees to be able to accumulate credits towards qualifications over time.

Unit standards refer to registered statements of desired education and training outcomes and their associated assessment criteria, as well as administrative and other information as specified in the regulations (Open Learning Group, Training the Assessor Learner Guide, 2005:23). Therefore, for municipalities to achieve the needed education and training, these should be aligned with the Local Government Education and Training Authority (LGSeta). This would enable municipalities to address the
scarce skills exposed during the national state of local government assessments (State of Local Government in South Africa Overview Report, 2009:32).

CONCLUSION

It can be concluded that strengthening the performance management system could be the basis of effective service delivery in municipalities. As shown from the findings on the Auditor-General’s reports and state of Local Government in South Africa Overview Report (2009), a serious challenge is posed in implementing a municipal performance management system to promote the culture of good performance in municipalities. As highlighted by Kroukamp (2007:27), the challenge of local government relates to an effective way of measuring organisational excellence that is both understood and accepted nationally and internationally.

Therefore municipalities should establish a comprehensive way of measuring and managing performance, since it would not serve any purpose to only assess the end product or service. Monitoring and evaluation of processes towards the outcomes are critical. It is in this regard that more rigorous activities should be integrated in the performance management systems of municipalities in South Africa in order to improve performance. The recommended model could serve as a guideline to improve the performance of local government.

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AUTHOR’S CONTACTS:
Malefetsane Molofo
Faculty of Management Sciences
Governance & Public Management
Walter Sisulu University of Technology
mmofolo@wsu.ac.za