

**An exploration into the understanding of Leadership Ethos  
and Critical Success Factors in public management: The case  
of the Department of Trade and Industry, South Africa and  
the Ministry of National Economy in the Democratic Republic  
of the Congo**

**By**

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A dissertation submitted in fulfilment of the requirements for the Degree of  
Philosophiae Doctor (PhD)

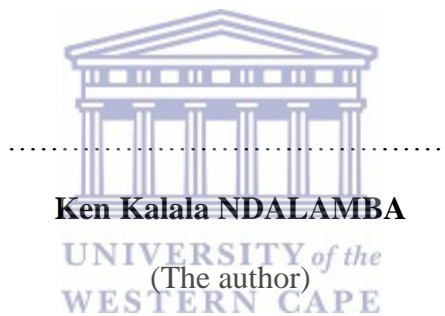
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November 2017

## DECLARATION

I hereby declare that this dissertation has been prepared by me, and that it has not been previously submitted to any university or institution of higher learning. All the sources of information specified in this work have been duly acknowledged both in the text and in the bibliography.



**Professor Michelle Vera ESAU**

(The Supervisor)

## DEDICATION

This work is dedicated to men and women who are committed and engaged in practices aimed at dignifying all human beings for being created in God's image in love, by love and for love.



## ACKNOWLEDGEMENTS

This work would not have been accomplished without the contributions of so many of you who, through your support, showed interests in what was being investigated here. Although it is difficult to name all of you, mention to a few, however, is necessary in representation of all.

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To papa Robert and mère Yves – my beloved parents, “Ne mi fuija, Leza a muendele”. To pai Manuel and mãe Mingas – my beloved parents-in-law, “Muito Obrigado, que Deus continue a abençoar os pais”. My tribute is also extended to all of you my siblings, in-laws, friends and colleagues with a particular attention to a special couple the “Amankosi” – uncle Freddy, aunty Lyz, Amondine, Israela, and Zion for sharing their love and prayers.

Last but not least, appreciation is expressed to authors and publishers whose works have been quoted from or cited in this study.

## LIST OF ACRONYMS AND ABBREVIATIONS

ANC	African National Congress
ASGISA	Accelerated and Shared Growth Initiative for South Africa
B-BBEE	Broad-Based Black Economic Empowerment
BBC	British Broadcasting Corporation
BEE	Black Economic Empowerment
BTI	Bertelsmann Transformation Index
CPS	Cash Paymaster Services
CSFs	Critical Success Factors
CSR	Corporate Social Responsibility
DRC	Democratic Republic of the Congo
DSRP	Document de la Strategic de Réduction de la Pauvreté (The Strategic Document for Poverty Reduction)
DSRP – 1	Document de la Strategic de Réduction de la Pauvreté 1 (The Strategic Document for Poverty Reduction 1)
DSRP – 2	Document de la Strategic de Réduction de la Pauvreté 2 (The Strategic Document for Poverty Reduction 2)
DSRP-I	Document Intérimaire de la Stratégie de Réduction de la Pauvreté (The Interim Strategic Document for Poverty Reduction)
DTI	Department of Trade and Industry
ECONAT	Ministère de l’Economie Nationale (Ministry of National Economy)
EL	Ethical Leadership
ERO	Effectiveness in Reaching the Objectives
GDP	Gross Domestic Product
GEAR	Growth, Employment and Redistribution strategy
GNI	Gross National Income
HDI	Human Development Indicators
IIAG	Ibrahim Index of African Governance
IMF	International Monetary Fund
IT	Information Technology
JSE	Johannesburg Stock Exchange
LE	Leadership Ethos
LHD	Low Human Development

MHD	Medium Human Development
MRM	Moral Regeneration Movement
MTR	Mutually Trusting Relationship
NDP	National Development Plan
NGP	New Growth Path
NPC	National Planning Commission
NPM	New Public Management
OD	Organisational Development
PAG	Projet d'Appui à la Gouvernance (Governance Support Project)
PL	Participatory Leadership
PMR	Public Management Reform
PSNRDC	Plan Stratégique National de Développement pour la RDC (The National Strategic Development Plan for the DRC)
RDC	République Démocratique du Congo (The Democratic Republic of Congo)
RDP	Reconstruction and Development Programme
RPDR	Recognition of Power Dynamics in the Relationship
RSA	Republic of South Africa
SADC	Southern African Development Community
SASSA	South African Social Security Agency
TRA	Theory of Reasoned Action
UCT	University of Cape Town
UNDP	United Nations Development Programme
UNECA	United Nations Economic Commission for Africa
USA	United States of America
VAT	Value Activation Theory

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## ABSTRACT

This dissertation assumes an explorative and descriptive approach rather than a comparative approach. It aims at offering the concept of Leadership Ethos (LE) and its inherent Critical Success Factors (CSFs) as a paradigm in the quest to secure organisational efficiency and effectiveness in public management, with a particular focus on the public policy implementation process.

It begins by presenting the background to the study, providing relevant information about the problem and the methodology followed. It then introduces the context of the problem of the study, sketching the context of civil service leadership before the advent of democracy in the Republic of South Africa (RSA) and prior to independence in the Democratic Republic of the Congo (DRC). These two countries serve as the case study through the Department of Trade and Industry (DTI) and the National Ministry of Economy (ECONAT) respectively. This is followed by the presentation of the theoretical framework of the study, defined within the context of compliance-based and integrity-based approaches to leadership, resulting in discussions on leadership theories. This leads to an examination of public administration reforms (PARs) in the context of LE, illustrating how PARs have resulted in a change in organisational focus and culture of the public sector. The study examines relevant economic policies in the RSA and the DRC with a view to illustrate the effects of LE and its subsequent CSFs on performance in public management, in particular, with respect to the implementation of public policies. Data were then presented and analysed with the purpose of probing the understanding of LE and its inherent CSFs. It considers how LE enhances organisational efficiency, which in turn will enhance social transformation, by guaranteeing the successful implementation of economic policies. The study then presents a summary of the main findings in both case study research areas. In its conclusion, the study proposes recommendations towards a LE that contributes to more effective public policy implementation processes.

Overall, the study presents a two-fold perspective related to LE and its inherent CSFs – one perspective relates to the individual leader and the other relates to the leader creating the right kind of conditions to influence the behaviour of the followers. In this respect, LE attributes including vision, virtues, values and obligations are of paramount importance in shaping the attitudes of the leader. This is fundamental in influencing his/her actions, which are determined his/her roles, functions and responsibilities. In both countries, public administration reforms emphasize an organisational culture that is more flexible, cognisant of the human factor and inclusive of the ordinary citizen. This study foregrounds the importance of ethical leadership, guided by CSFs of Participatory Leadership (PL), Effectiveness in Reaching the Objectives (ERO), Recognition of Power Dynamics in the Relationship (RPDR), and building a Mutually Trusting Relationship (MTR). Unfortunately, the study findings reveal that leaders at the DTI and the ECONAT have not sufficiently demonstrated the awareness of LE and the understanding of its inherent CSFs in the practice of leadership in the implementation process of public policies.

## KEYWORDS

Critical Success Factors (CSFs)

Democratic Republic of the Congo (DRC)

Economic Policies

Leadership Ethos (L.E.)

Public Management

Performance

Public Policies

Republic of South Africa (RSA)

Social Transformation



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# CHAPTER ONE

## INTRODUCTION

### 1.1 Introduction and Background

This study should be understood within the context of widespread public concerns in the Southern African Development Community (SADC) region over the quality of leadership, particularly in public management (Maphai, 1994; M'Bokolo, 2004; Meredith, 2006; Kodi, 2008; Jauch and Muchena, 2011; the 2016 Ibrahim Index of African Governance Report<sup>1</sup>). These concerns touch on issues such as democratic decision-making, institutional transparency and service delivery. As such, they raise questions about not only individual leaders and their leadership practices but also about the ways in which such leaders understand an appropriate Leadership Ethos (LE). The attributes of LE, namely vision, virtues, values and obligation, have inherent Critical Success Factors (CSFs), namely mutual trust in the leadership relationship, recognition of power dynamics in the leadership relationship, promotion of effectiveness in reaching the objectives and participative leadership. These CSFs influence the implementation of public policies, which would promote democratic decision-making, institutional transparency and service delivery – factors ultimately leading to social transformation.

This study focuses on two countries that, subsequent to their successful political struggles and accession to political independence – the case of the Democratic Republic of the Congo (DRC), and democracy – the case of the Republic of South Africa (RSA), still face internal political and socio-economic challenges. In fact, most countries in the SADC region continue to struggle to improve the social and economic conditions of the majority of their citizens. This is prompting discontentment, socio-economic conflicts of various dimensions for some – the case of the RSA, while political unrest and instability prevails for others – the case of the DRC (see Maphai, 1994; M'Bokolo, 2004; Meredith, 2006; Kodi, 2008; Jauch and Muchena, 2011).

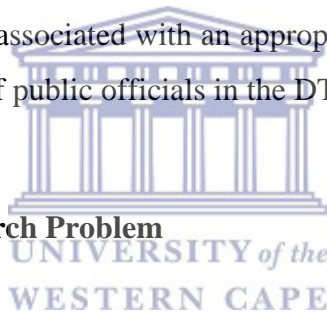
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<sup>1</sup>See the 2016 Ibrahim Index of African Governance Executive Summary Published October 2016.



Furthermore, the Human Development Indices (HDIs) of these countries, according to the United Nations Development Programme (UNDP) reports (UNDP, 2000) over the past two to five decades, suggest slow progress in the process of social transformation, leading to frustrated citizens. Although the levels of socio-economic conditions are to a certain extent different between the different SADC countries, the observation of facts and reports (especially the media) suggests that citizens of these countries are frustrated with leaders at both local and national government levels because of the slow progress in the process of social transformation.

In this context, the aim of the study is to offer the concept of LE and its inherent CSFs as a paradigm in the quest to secure organisational efficiency and effectiveness in public management with a particular focus on public policy implementation process. It does this through the case study of the Department of Trade and Industry (DTI) in South Africa and the Ministry of National Economy (ECONAT) in the DRC. Thus, the study seeks to explore and identify the CSFs associated with an appropriate LE through an exploration of the views and experiences of public officials in the DTI and the ECONAT.



## 1.2 Background to the Research Problem

The problem under investigation in the study is the slow progress in the process of social transformation in countries of the SADC region, with specific reference to South Africa and the DRC. Although governments of these countries have been trying to develop and implement strategies to effect meaningful ways of social transformation in their respective countries since the creation of the regional body, the Human Development Indicators (HDIs) however suggest that the progress is very slow.

Furthermore, various reports, including this statement from the Mo Ibrahim Foundation<sup>2</sup> support this claim:

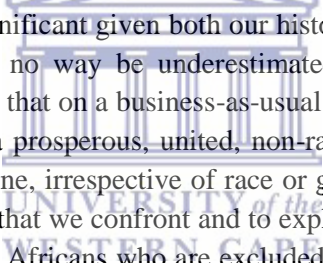
London, Monday 3 October 2016 – The 2016 Ibrahim Index of African Governance (IIAG), launched today by the Mo Ibrahim Foundation, reveals that improvement in overall governance in Africa over the past ten years has been held back by a widespread

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<sup>2</sup>The Mo Ibrahim Foundation is an African Foundation. It was established with one clear objective – to put governance at the centre of any conversation on African development. It is a belief of the Foundation that governance and leadership lie at the heart of any tangible and shared improvement in the quality of life of African citizens. See the Mo Ibrahim Foundation at <http://www.moibrahimfoundation.org/>, accessed in October 2015.

deterioration in the category of Safety & Rule of Law Over the last decade. Overall governance has improved by one score point at the continental average level, with 37 countries – home to 70% of African citizens – registering progress. This overall positive trend has been led mainly by improvement in Human Development and Participation & Human Rights. Sustainable Economic Opportunity also registered an improvement, but at a slower pace. (Mo Ibrahim Foundation, 2016).

In such a context, South Africa for instance, despite being the largest and most established economic powerhouse in the region (SADC), is still struggling to significantly improve the socio-economic conditions of the majority of its citizens since the advent of democracy over two decades ago (Ardington and Case, 2015; Gumede, 2015; Mlatsheni and Leibbrandt, 2015; Valodia, 2015). Moreover, after reviewing the situation the National Planning Commission of South Africa commended what has been accomplished thus far to consolidate democracy and its culture, but however, raised concerns over the socio-economic conditions in the following terms:



Our successes so far are significant given both our history and international comparisons. These successes should in no way be underestimated or glossed over. Despite these successes, our conclusion is that on a business-as-usual basis, we are likely to fall short in meeting our objectives of a prosperous, united, non-racial and democratic South Africa with opportunity for everyone, irrespective of race or gender. Our task is to identify the weaknesses and challenges that we confront and to explain the underlying causes of these challenges. For those South Africans who are excluded from the formal economy, live in informal settlements, depend on social services which are either absent or of very poor quality; the political transition is yet to translate into a better life. The continued social and economic exclusion of millions of South Africans, reflected in high levels of poverty and inequality, is our biggest challenge (RSA, 2014c).

Similarly, the poor state of the socio-economic conditions in the DRC continues to prevail five decades after independence. This period is marked by decades of mismanagement of natural resources by previous governments and chronic armed conflicts. This prompted the current government and leadership across the sectors in the DRC to develop a programme called *Cinq Chantiers* - “Five Construction Sites”. The objective of this programme is to improve the living conditions of the Congolese citizens by tackling issues considered to be at the heart of living conditions. These include infrastructure, housing, jobs, water and electricity, health and education.

More specifically, the socio-economic conditions as presented by the SADC Human Development Report 2000 (UNDP, 2000) and the UNDP's Human Development Reports for 2015 (UNDP, 2016a, 2016b), raise concerns that require immediate attention from both academics and non-academics. The following examples, according to the reports, shed more light on the problem:

**Table 1: Human Development Index and its components**

		Human Development Index (HDI)	Life expectancy at birth	Expected years of schooling	Mean years of schooling	Gross national income (GNI) per capita	GNI per capita rank minus HDI rank
		Value	(years)	(years)	(years)	(2011 PPP \$)	
HDI rank		2014	2014	2014	2014	2014	2014
<b>Medium Human Development (MHD)</b>							
116	RSA	0.666	57.4	13.6	9.9	12,122	-29
<b>Low Human Development (LHD)</b>							
176	DRC	0.433	58.7	9.8	6.0	680	11

Source: UNDP, 2014.

Table 1 above ranks countries by 2014 HDI value and details the values of the three HDI components: longevity, education (with two indicators) and income. The table also presents the difference in rankings by HDI and Gross National Income (GNI).

**Table 2: Human Development Index trends, 1990 – 2014**

		Human Development Index (HDI)							HDI rank		Average annual HDI growth			
		value								Change	(%)			
HDI rank		1990	2000	2010	2011	2012	2013	2014	2013	2009-2014	1990-2000	2000-2010	2010-2014	1990-2014
<b>MHD</b>														
116	RSA	0.621	0.63 2	0.64 3	0.65 1	0.65 9	0.66 3	0.666	117	4	0.17	0.18	0.87	0.29
<b>LHD</b>														
176	DRC	0.355	0.32 9	0.40 2	0.41 8	0.42 3	0.43 0	0.433	176	3	-0.77	2.18	1.52	0.83

Source: UNDP, 2014.

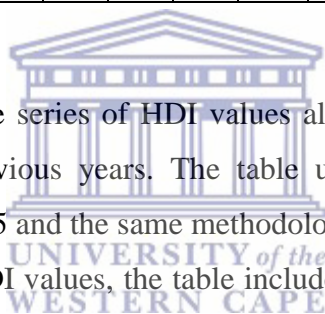


Table 2 above provides a time series of HDI values allowing 2014 HDI values to be compared with those for previous years. The table uses the most recently revised historical data available in 2015 and the same methodology applied to compute the 2014 HDI. Along with historical HDI values, the table includes the change in HDI rank over the last five years and the average annual HDI growth rates across four different time intervals, namely 1990–2000, 2000–2010, 2010–2014 and 1990–2014.

**Table 3: Supplementary indicators: Perceptions of well-being**

		Perceptions of individual well-being					Perceptions of work and labour market					Perceptions of government		
		Education quality	Health care quality	Standard of living	Feeling safe	Freedom of choice	Overall life satisfaction index	Ideal Job	Feeling active and productive	Volunteered time	Local labour market	Trust in national government	Actions to preserve the environment	Confidence in judicial system
		(% satisfied)	(% satisfied)	(% satisfied)	(% answering yes)	(% satisfied)	(0, least satisfied, to 10, most satisfied)	(% answering yes)	(% answering agree or strongly agree)	(% answering yes)	(% answering good)	(% answering yes)	(% satisfied)	(% answering yes)
HDI rank		2014	2014	2014	2014	Female/male	2014	2013	2013	2014	2014	2014	2014	2014
<b>MHD</b>														
116	RSA	74	57	44	31	80/77	4.8	51	33	28	25	49	51	44
<b>LHD</b>														
176	DRC	37	22	35	30	49/59	4.4	49	47	14	25	31	40	29

Source: UNDP, 2014.

Table 3 above includes indicators that reflect individuals' opinions and self-perceptions of relevant dimensions of human development—quality of education, quality of health care, standard of living and labour market, personal safety and overall satisfaction with freedom of choice and life. The table also contains indicators reflecting perceptions of government policies on preservation of the environment and overall trust in the national government and judicial system.

Table 1 (HDI) presents the status and position of the socio-economic situation of the RSA and the DRC through an analysis of the HDI. With respect to life expectancy at birth, expected years of schooling, mean years of schooling, gross national income (GNI) per capita, the GNI per capita ranks minus the HDI rank. Although the interpretation of the data in the table suggests that the RSA (MHD) presents better indicators than the DRC (LHD) both countries still found themselves in the bottom half of the table in the list of around 188 countries and territories surveyed globally. RSA was ranked at 116 and the DRC at 176 (DRC); this is a phenomenon that requires immediate attention from both academics and those responsible for addressing the issue (practitioners). To shed light on the phenomenon, data in Table 2 (HDI trends, 1990 – 2014) point to the fact that no

significant growth with respect to HDI has been registered since 1990 to date in both countries – 0.29% (RSA) and 0.83% (DRC), although a variation in figures can be noticed in the table along the years. However, such variation in figures does not translate into a significant and noticeable growth insofar as HDI is concerned in the two countries, suggesting that little in terms of growth, development and progress has been done. As a result, data on perceptions with regard to well-being touching on education (access and quality of basic, secondary and tertiary education), health care services (access and quality of the services), basic services (access and quality of running water and electricity); work and labour market, touching on employment (job creation and opportunity of employment for youth); and government as presented in Table 3 suggest that a lot of work must be done to bring about satisfaction. The interpretation of data in Table 3 suggests that the level of perceptions is below satisfaction in overall, calling thus for action to reverse such a trend. This is a reality that is echoed by subsequent reports from various organisations including the Ibrahim Index of African Governance in Table 4.



The 2015 Ibrahim Index of African Governance report suggests the following about the two countries:

**Table 4: The 2015 Ibrahim Index of African Governance Report**

	<b>RSA</b>	<b>DRC</b>
<b>Countries</b>	<p>South Africa (Mo Ibrahim, 2015b) – A historically strong performer in the IIAG, South Africa continues to rank highly in many governance aspects, including overall governance and each of the four categories. However, high ranks conceal some concerning trends at the subcategory level, including deterioration in the issues of Rights, Gender, Public Management, Rural Sector and Health. South Africa is one of only 13 countries to show a decline in Health, and is the only country in the top five performers to show a negative trajectory in this issue.</p> <p>The country's Personal Safety score continues to be of concern, with not only a low score and rank position, but a recent score drop (-3.0), triggered by a fall in the measure of Social Unrest.</p>	<p>The DRC (Mo Ibrahim, 2015c) - remained at a low rank within the IIAG despite gains in ten of the IIAG's 14 sub-categories. Some dramatic deterioration in the indicators of National Security have a large impact on the country's performance in Safety &amp; Rule of Law, while more widespread declines in Participation &amp; Human Rights also require attention. In contrast, DRC's gains in many elements of Sustainable Economic Opportunity are widespread and large in magnitude, creating the country's most positive story in the 2015 IIAG.</p>
<b>Sustainable Economic Opportunity</b>	<p>With regard to Sustainable Economic Opportunity, although the scores and ranks are high, they mask a mixed picture within the sub-categories. South Africa's best sub-category performance is in Business Environment, scoring 79.6, while its weakest sub-category performance in Sustainable Economic Opportunity is in Rural Sector, scoring 62.3. Meanwhile, Public Management shows its weakest score yet (since 2000) in 2014, following a deterioration of -5.0 score points since 2011, and Infrastructure exhibits the largest improvement of the category (+10.6). The drop in Public Management is driven by four indicators out of the nine, including Statistical Capacity (-9.0), Diversification (-3.8), Ratio of External Debt Service to Exports (-8.6) and Access to Financial Records of State-owned Companies (-25.0). Conversely, in Infrastructure, four of the seven indicators show improvement with the measure of Telephone &amp; IT Infrastructure displaying the most noticeable gains (+66.7) since 2011.</p>	<p>With regard to Economic Development Opportunity – the DRC's score in the category Sustainable Economic Opportunity is the country's second weakest within the IIAG. The category houses DRC's weakest sub-category score, 11.5 in Infrastructure, as well as its second highest subcategory score, 44.8 in Rural Sector. This range of results places DRC as 44th on the continent in Sustainable Economic Opportunity with a score of 31.4. DRC demonstrates its best ever performance since 2000 in 2014, one of only 11 countries to achieve this. Notable aspects of DRC's performance in Sustainable Economic Opportunity are improvement in each of the four underlying sub-categories, creating an overall gain of +5.4 score points at the category level, the fourth largest improvement seen in Africa since 2011, albeit from a low base. Moreover, DRC features in the top five improvers on the continent in three of these sub-categories: Public Management (+5.8), Business Environment (+7.4) and Rural Sector (+7.5). Many indicators contribute to this achievement, but some show notable improvement, including, within Public Management, Public</p>

		<p>Administration (+14.6) in which DRC is the most improved country in Africa, Statistical Capacity (+17.9), Budget Management (+12.5) and Revenue Mobilisation (+10.3). Within Business Environment, the measure of Competitive Environment is the only driver of positive change.</p> <p>DRC is the only resource-rich country to show improvement in Business Environment since 2013. In Rural Sector, the indicators Agricultural Research &amp; Extension Services (+14.0), Engagement with Low-income Rural Populations (+13.3) and Land &amp; Water for Low-income Rural Populations (+12.5) contribute most of the gains at the sub-category level. The remaining component of this category, Infrastructure, does also show improvement, but to a lesser extent (+1.1), driven by Digital Connectivity (+5.0) and Access to Water (+0.7).</p>
<p><b>Human Development</b></p>	<p>With regard to Human Development, although South Africa ranks 12th in Health, it is one of only 13 countries in Africa to show any deterioration in these issues since 2011 (-1.9). This is driven almost entirely by Immunisation (Measles, DPT &amp; Hepatitis B) (-11.4) and Public Health Campaigns (-25.0). Many of the Welfare indicators have remained static since 2011, with the only improvement in the measure of Welfare Regime (+7.7) which has had a noticeable impact on the sub-category trajectory (+1.1).</p>	<p>With regard to Human Development, the country scores 43.4, ranking 48th on the continent. Within the Human Development category, DRC's best sub-category performance is in Health, scoring 55.9, while its weakest sub-category performance is in Welfare, scoring 32.5. Similar to its performance in Sustainable Economic Opportunity, DRC shows improvement across the board in Human Development (+1.8). Although starting from a low base, the country has shown gains of +3.8 score points in Welfare, +0.9 points in Education and +0.6 points in Health. Only three underlying indicators show any deterioration since 2011, whilst every other measure in Human Development is either static or showing improvement.</p>




Although these statistics and indicators do not point directly to the failure of leadership or administrative leadership for that matter, the information in the tables above presents challenges and highlights the significant role of leadership in the process of public policy making and implementation with reference to socio-economic development programmes (Bryson, 1995; Hilliard, 1995; Crosby, 1996; Hartley and Allison, 2000; Kroukamp, 2007; Getha-Taylor, 2008; Muhammad, 2014; Smith, *et al.*, 2016).

If we consider the sustainable economic opportunity category in the table above, with regard to South Africa the results may have been much better and the situation on the ground much improved if areas including Statistical Capacity (-9.0), Diversification (-3.8), Ratio of External Debt Service to Exports (-8.6) and Access to Financial Records of State-owned Companies (-25.0) presented positive and better scores. In the DRC, the story may have been different going from country's second weakest within the IIAG to a better position should there have been a different way of seeing and doing things. In the human development category, the picture may have been different in South Africa should areas including Immunisation (Measles, DPT & Hepatitis B) (-11.4) and Public Health Campaigns (-25.0) presented better scores. In the DRC, coming from a low base would have improved considerably should there have been consistency in producing positive results as demonstrated in the table above.

In this respect, the socio-economic issues including the well-being touching on education, health care services, basic services, work and labour markets, touching on employment, require strong leadership abilities to drive and champion the public policy implementation process (Kroukamp, 2007; Muhammad, 2014; Smith, *et al.*, 2016). In this case, the question is not really about whether the policies are appropriate and relevant, but rather whether the right skills, motivation, capacity and qualification exists to contribute to the implementation and administration of socio-economic policies. Of all the factors, the focus of this study is on leadership, specifically Leadership Ethos (LE). The fundamental reason for this is that history teaches that change resonates on leadership (Eisenbach, *et al.*, 1999; Brower, *et al.*, 2000; Depree, 2004; Brown, 2005; Cameron, *et al.*, 2006a; Covey, 1991, 2004, 2005 and 2006; Southall and Melber, 2006; Bennis and Nanus, 2007; Burns, 2010; Caldwell and Hansen, 2010; Block, 2013; Ciulla, 1998, 2003 and 2014; Daneshgari and Moore, 2016 to mention but a few).

From the vast array of literature on leadership, it is evident that leaders in every type of organisation and institution struggle to obtain the trust, followership, commitment, and extra-role effort to secure performance and organisational efficiency (Bennis and Nanus, 2007). Many, including DePree (2004) have written about the importance of leading with an eye on both instrumental and normative outcomes and the importance of treating employees as valued partners. Block (2013), Hernandez (2012), and Ciulla (2014) have all addressed the stewardship obligation of leaders. Organ (1988 and 2005), Pava (2003), and DePree (2004) have all associated leadership with covenantal relationship regarded as sacred obligations. However, it has emerged that regardless of all that have been written, today's leaders often "fail" to meet the standards and expectations of those whom they seek to lead. This problem has been affirmed as the challenge of leadership by such experts as Barnard (1938), Simon (1956), Pfeffer (1998), Covey (2005), and Christensen (2016) for the past several decades, prompting the need to explore the notion of LE and its inherent CSFs as an alternative leadership approach in public management, in particular. Therefore, the study is guided by the following research questions:

- 
- 1) On Leadership Ethos (LE):
    - Is LE given due consideration in the public policy implementation process?
    - Is LE considered by public managers when interacting with their followers?
  - 2) On Critical Success Factors (CSF):
    - What role do CSFs play in the implementation of public policies?
  - 3) On Performance in Public Management:
    - How is the notion understood in the light of organisational efficiency and effectiveness in relation to LE and CSF?

The proposed thesis, therefore, will try to provide answers to these questions by exploring an awareness of the concepts of LE and CSF in relation to public management.

### 1.3 Guiding Assumptions / Hypotheses

The study is guided by the following assumptions:

- 1) Public sector leaders from the DTI and the ECONAT have a limited knowledge and understanding of the practice of LE encompassing vision, virtues, values and obligations as it relates to policy implementation within their specific area of focus. This may be a contributory reason for the slow pace of implementation of socio-economic policies.
- 2) Public sector leaders do not demonstrate an awareness, understanding and application of CSFs in the public policy implementation process.
- 3) Effective public policy implementation is an expression of the understanding and consideration of LE that comprises of CSFs. Therefore ineffective public policy implementation is a reflection of a lack of knowledge, understanding and practice of the CSFs inherent in LE. In other words, public sector leaders from the DTI and ECONAT do not necessarily consider LE and the application of specific CSFs when interacting with their followers or in the application of their main roles, functions and responsibilities.
- 4) Performance as a realisation of public values is a result demonstrating the awareness and understanding of LE and its inherent CSFs. These should be embodied and practiced for effective public policy implementation.

## 1.4 Research Aim and Objectives

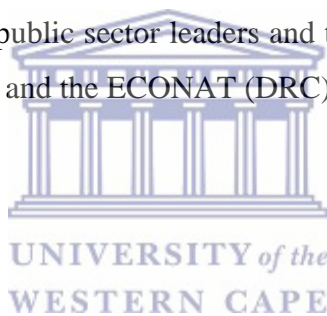
By assuming an explorative and descriptive approach rather than a comparative approach, this study aims at offering the concept of LE and its inherent CSFs as a paradigm in the quest to secure organisational efficiency and effectiveness in public management with a particular focus on public policy implementation processes at the the DTI and the ECONAT. Therefore, the objectives are as follows:

### 1.4.1 General Objective

The primary objective of the study is to explore the understanding, awareness and application of LE and its inherent CSFs in the public policy implementation process, on the part of public sector leaders and their followers through the case study at the DTI (RSA) and the ECONAT (DRC).

### 1.4.2 Specific Objectives

- 1) Critically examine the theoretical discourse and scholarly debates on leadership with a view to highlighting the importance of LE in public policy implementation.
- 2) Identify and critically discuss the CSFs that comprise a LE towards more effective public policy implementation.
- 3) Develop a conceptual framework for understanding the nature of CSFs and their effect on organisational efficiencies and effectiveness.
- 4) Explore, present and critically discuss the understanding and experience that public officials have of LE and CSFs and their value with regard to performance in public management in the public policy implementation process at the DTI and the ECONAT.
- 5) Present the main findings and conclude the study.



## 1.5 Significance of the Study

This study will contribute to the current debate on LE and public management with a view of raising awareness of the importance of CSFs in public policy implementation processes as a way to demonstrate an appropriate LE for social transformation. The literature reviewed, as well as local and international database information (including Emerald Insight: Management Plus and Review, Academic Search Complete, Africa Development Indicators, The African Journal Archive, Global Economic Monitor, Google Scholars, to mention but a few) suggest that little has been said and done in terms of engaging and demonstrating the role and importance of LE and its subsequent CSFs in relation to public management from an Afrocentric paradigm.<sup>3</sup>

By proposing adapted theoretical paradigms on leadership that borrows from the Western and African contexts, the unique contribution of this work resonates with the dearth of work that takes into consideration an adapted LE paradigm. Considering that most scholarly debates on leadership derive from a Western context, this work takes into consideration both the Western and African paradigms. The work outlines CSFs, characterising an LE needed to establish organisational efficiencies and effectiveness with a view of promoting successful leadership practices in public management with regard, in particular, to public policy implementation.

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<sup>3</sup> Refer to <http://lib.uwc.ac.za/index.php/a-z-database.html>. 19 May 2014

## 1.6 Research Methodology

### 1.6.1 Thesis Method (Approach)

Given the nature and complexity of this work – exploring a substantive area about which little is known (Stern, 1980; Strauss and Corbin, 1990; Eisner, 1991), the approach suitable to the study is the case study. Yin (1994, 2003, and 2014) provides reasons for undertaking case study research: (a) when the focus of the study is to answer “how” and “why” questions; (b) when it is difficult to manipulate the behaviour of those involved in the study; (c) it is necessary to cover contextual conditions because of their relevance to the phenomenon under study; and (d) the boundaries are not clear between the phenomenon and context.

This means that “case studies are analyses of persons, events, decisions, periods, projects, policies, institutions, or other systems that are studied holistically by one or more methods. The case that is the *subject* of the inquiry will be an instance of a class of phenomena that provides an analytical frame — an *object* — within which the study is conducted and which the case illuminates and explicates” (Thomas, 2011). Further studies suggest the usefulness of the case study approach being in exploratory, descriptive and explanatory research in which the benefits in research are in exploring the ‘how’ and ‘why’, as mentioned earlier (Hancock and Algozzine, 2006).

Considering the views above, the subject of inquiry in this study is the understanding and awareness of LE and its subsequent CSFs in public management, with specific regard to the policy implementation process for socio-economic transformation. The case study approach allows the researcher to use multiple sources of information. In this respect, both secondary and primary research approaches were executed, as discussed below.

### 1.6.2 Methodological approach

The study is essentially qualitative and uses a case study design to explore the problem of LE and CSFs in public policy implementation.

### 1.6.3 Research Design

A design refers to the steps that the researcher will undertake to complete the project (Creswell, 2014). In this respect, given the widespread public concerns in this regard, senior officials at top management level may not necessarily practice such an LE. It may be interesting to articulate and describe their own understanding of such an appropriate LE. On this basis, the tensions between their understanding of an appropriate LE and the way in which they embody and practice such an ethos may be highlighted. Using a semi-structured interview schedule (see appendices H and I), senior officials at top management level were probed on their leadership style and approach in relation to CSFs. The sample comprises senior officials at top management level in the Department of Trade and Industry (DTI) in South Africa and the *Ministère de l'Économie Nationale* (ECONAT, Ministry of National Economy) in the DRC, two of the fifteen SADC countries<sup>4</sup>. These two departments, the DTI (RSA) and the ECONAT (DRC) have specific tasks and responsibilities, which are to initiate the process of socio-economic policy formulation, to oversee and monitor the implementation process of such policies in the respective countries (Drucker, 1943). However, it is important to mention that the primary intention of this work was to consider a case study of three strategic countries in the SADC region. The first country is South Africa, the largest but struggling economic power in the region, which experienced apartheid but since 1994 is now a democratic country – see appendices B and E. The second country is Angola, an emerging economic power in the region, which experienced colonialism under the Portuguese, but attained its independence in 1975 – see appendix D. The third country is the DRC, a potential economic power in the region, which experienced colonialism under the Belgians, but has been independent since 1960 – see appendices C and F. Unfortunately, Angola had to be excluded from the study because of the lack of cooperation and collaboration with the relevant stakeholders important in the context of this work (see appendix G).

It is fundamental to underline that the intention of this study is not to compare the two countries but to explore the phenomenon under investigation through the case studies of these countries. As mentioned earlier, the choice of these countries was informed by their social, political and economic historical development. While both experienced oppression

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<sup>4</sup> SADC member States at <http://www.sadc.int/member-states/>, accessed in October 2016

and discrimination through colonialism and apartheid, within the SADC region, it is important to recognise that the nature of the political regimes and environments is very different. South Africa is an emerging democracy that transitioned peacefully from apartheid to democracy in 1994. On the other hand, the DRC is regarded as a failed state, having experienced wars of different types after independence. While multiparty elections were first introduced in 2006 since independence in 1960, the political, social and economic context is very different to that of South Africa, hence the need to explore the phenomenon in these contexts.

### **1.6.3.1 Secondary research and data gathering techniques**

This includes literature and government documents (including project documents, annual reports and official websites, books, journals) to identify relevant policies and practices associated with LE and CSFs that have emerged over time and shown to impact the style and approach of leadership (Barañano, 2008; Saunders, 2009).

### **1.6.3.2 Primary research and data gathering techniques**

The researcher used both an interview schedule and survey questionnaire to gather information with regard to LE and CSFs. In this view, semi-structured interviews were conducted with senior officials (one from each country), accompanied by survey questionnaires administered to officials at middle and lower management levels in order to reduce personal biases inherent in the responses of the senior officials' interview schedules.

In light of the qualitative nature of this study, an interview schedule was administered on a face-to-face basis with the relevant senior officials on pre-determined dates according to their availability within the period of this study; they were identified and contacted prior to the fieldwork. In order to reduce personal biases that could possibly emerge when respondents are asked to reflect on their own behaviour and attitude, a survey questionnaire (see appendices J and K) was administered to officials at middle and lower managerial levels who report to the senior officials. This is a data collection technique whereby data are collected from a sample of elements (e.g. public servants in the RSA) drawn from a well-defined population (e.g. public servants in the RSA at the DTI



reporting directly to the Director-General) through the use of a questionnaire (Fowler, 1988; Babbie, 1990; Visser, *et al.*, 1996). Such a questionnaire was self-administered with rating questions to enable respondents not only to reveal their attitudes and preferences on the object of the study but also to reveal how different his or her evaluations of the object of the study are (Visser, *et al.*, 1996; Saunders, 2009). As opposed to interview schedules, survey questionnaires through self-administered questions are appropriate here considering the number of respondents involved in the inquiry, suggesting that it “provides an efficient way of collecting responses from a large sample” (Saunders, 2009: 361). While the interview schedules would require more time and resources to collect the much-needed information, the survey questionnaire’s technique, through self-administered questions enables the researcher to reach out to all respondents saving time and resources in the process. The results are reliable because questions are standardised – the same set of questions, and focused on the object of the study (Saunders, 2009).

This approach enables the researcher to verify the reduction of bias accompanying self-assessments, therefore ensuring the validity of the research findings in terms of the accuracy that is reflected in the situation and evidence that supports the findings (Webb, 1966; Smith, 1975; Denzin, 1978a, 1978b; Jick, 1979). A total of 16 respondents were interviewed at the DTI in South Africa and 13 at the ECONAT in the DRC.

In this respect, considering the difficulties that may arise as far as reaching out to the respondents was concerned, the survey was conducted electronically (online) through emails. The questionnaires were sent to the respondents and they scanned and returned them to the researcher after responding adequately to the questions. The method was appropriate based on an assumption that the targeted respondents used computers (considering the environment and the nature of their work) and had access to the internet, implying that it was easier for them to respond to the survey.

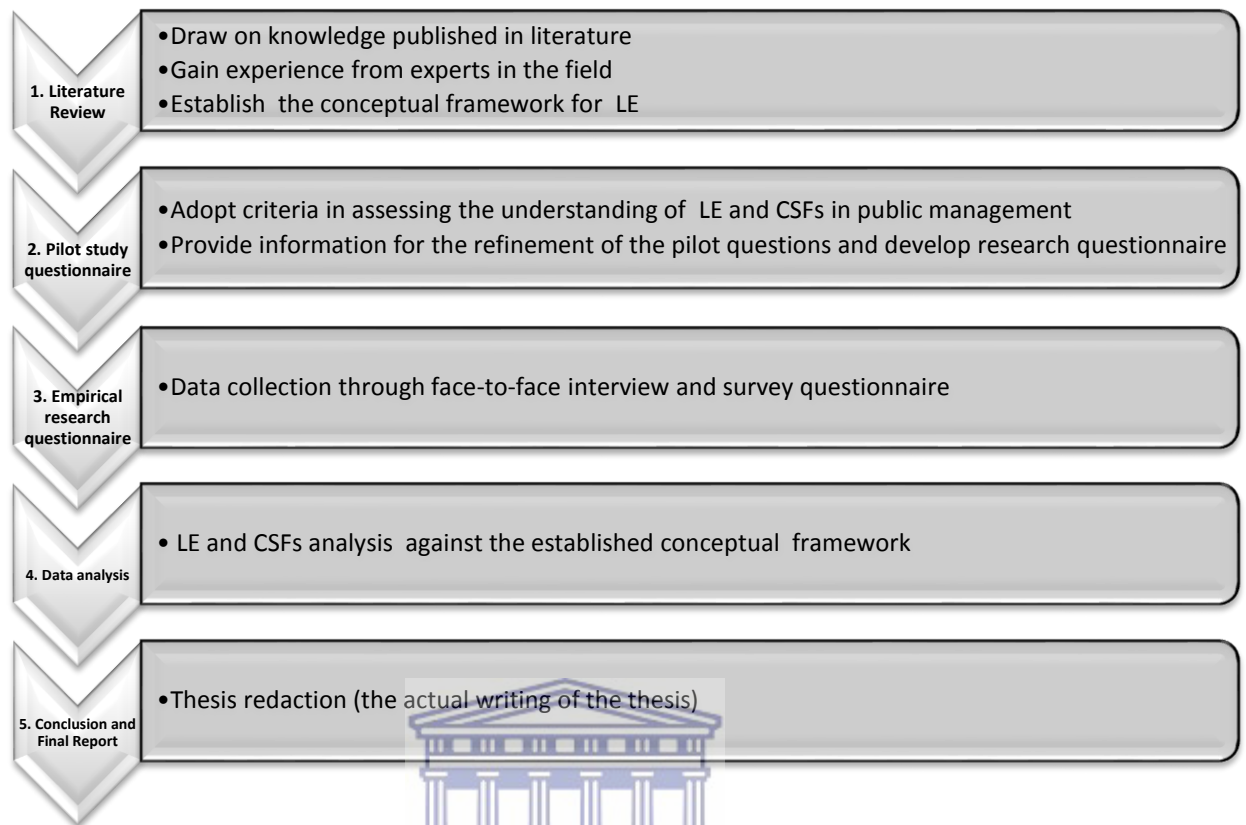
Such an online approach to administering the survey is intended to minimize the time it ordinarily takes to administer the questionnaire via the post or with the help of research assistants. It allows for managing time in a very efficient manner since respondents can answer in their own free time. Most importantly, it presents a low administration cost.

#### **1.6.4 Data presentation and analysis technique**

The study employed both qualitative and quantitative techniques in analysing the responses from participants. With regard to the interviews, the qualitative analysis techniques were appropriate because of the procedures, which usually consist of conceptualizing and reducing data, elaborating categories in terms of their properties and dimensions and relating through a series of propositional statements (Strauss and Corbin, 1990; 1998; Corbin and Strauss, 2008; 2015). Such an analytical approach allowed for the exploitation of data from the interviews in a way that is coherent and consistent with the set objectives.

The use of survey questionnaires to reduce self-bias results in the need for a technique that enables the researcher to make sense of the data obtained from the questionnaires. Therefore, descriptive statistics was employed to highlight the differences and similarities of responses. Descriptive analysis refers to a technique that enables “the transformation of raw data into a form that will make them easy to understand and interpret; rearranging, ordering, and manipulating data to generate descriptive information” (Zikmund, 2003:1). In summary, the study applied the following research methodology framework:

**Figure 1: Research Methodology Framework**



Source: Walker, 1997 (cited in Chan, 2004).

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### 1.6.5 Ethical Considerations

The research process observed the Code of Conduct for Research of the University of the Western Cape. In this regard, the following ethical obligations were observed: first, the researcher requested, in writing, the consent of all the people to be involved in the research. Second, all the participants were informed about the objectives of the research. Third, confidentiality and anonymity of all the participants were protected by storing and protecting the data in a personal computer and electronic device. Both soft and hard copy documents related to the research were out of reach of the public. Fourth, the researcher was honest in the processes of data gathering, analysis and presentation. This means that the researcher was truthful with the information passed on to and received from everyone involved in the study, upholding his own integrity and that of the other stakeholders. Fifth, the researcher did not misuse any information gathered. Sixth, the participation in this study was entirely voluntary, which means that participants were free to withdraw from participation. It was their decision whether or not to take part. If they volunteered

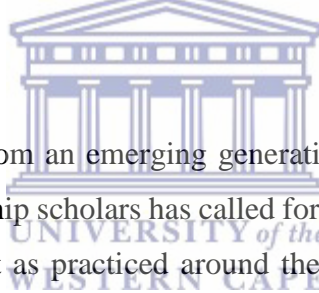
to be in this study, they could withdraw at any time without consequences of any kind. If they decided to participate in the study, they were free to withdraw at any time – and without giving a reason.

## **1.7 A Brief Initial Review of the Literature**

Public Administration is a discipline that has successfully captured the attention of scholars and practitioners over several decades as they seek to improve and develop best practices that will help serve better the society through the administration of public resources. It is against the backdrop of the above that LE, constituting the topic of this thesis, is being explored with a view of contributing to the debates aimed at improving practices that will enhance better results insofar as public administration is concerned. In this respect, research evidence suggests that a formal definition of the concept of “leadership” implied guidance, control, the office and position of a leader and premiership (Hunter and Morris, 1898). The New English Dictionary based on Historical Principles (1908) defined leadership as “the ability to lead” – which was used by all subsequent twentieth century lexicographers. These definitions did not prevent people from attaching different connotations to the notion of leadership. In the first three decades of the twentieth century, leadership was understood as “the ability to impress the will of the leader on those led and induce obedience, respect, loyalty, and cooperation” (Moore, 1927:124). The control and centralization of power is thus emphasised in such concepts of leadership. This understanding led leadership scholars from the 1930s and late 1970s to understand and define leadership in terms of the following concepts: “Do the leaders’ wish”, “achieving group or organisational goals”, “management”, “the ability to influence”, “character traits”. These concepts were largely held by social psychologists and managerial theorists’ (Rost, 1991:68-95).

In his classic summary of leadership, Burns (1978:1) asserted that “the mediocrity” and “irresponsibility” of men and women in positions of power, is likely to lead to a crisis of leadership. This mediocrity and irresponsibility implied the importance of morality in leadership and according to Burns, leadership and ethics were closely related constructs. Burns conceptualised leadership as “the reciprocal process of mobilizing by persons with certain motives and values, various economic, political and other resources, in a context

of competition and conflict, in order to realise goals independently or mutually held by both leaders and followers” (1978:425). Building on Burns’ definition, Rost (1991) suggested that “leadership is an influence relationship among leaders and followers who intend real changes that reflect their mutual purposes” (Rost, 1991:102). This definition suggests that leadership is a multi-directional and non-coercive relationship between leaders and followers. Within this relationship, influence is exerted by leaders in order to achieve specified purposes that the leaders and followers have in common. Both Burns and Rost implicitly suggest that leadership is ethically-based through their emphasis on specific attributes including values, motives, and relationship of influence. It is this implicit assumption about a leader’s obligation to exercise “power with,” rather than “power over” others that Mary Parker Follett suggested was the key to effective organisational relationships (Graham *et al*, 2013). It is this ethical perspective, the exercise of “power with” as opposed to “power over” others, about the relationship between leaders and followers that form the basis of the LE which leaders owe to followers (Caldwell, 2012).



However, voices emanating from an emerging generation of African scholars with the support of some global leadership scholars has called for caution in defining the concepts of leadership and management as practiced around the world (Blunt and Jones, 1997; Kuada, 2010; Nkomo, 2011, Wanasikaa, *et al.*, 2011). For these scholars, a “Western” view of leadership has dominated scholarly leadership thought and has imposed notions about leadership and management that are biased and not inclusive of other life experiences – African in this instance. They argue that Western concepts of leadership and management disregard and undermine African life experiences, which they argue contribute positively in shaping best practices about both leadership and management. African management development focuses on the need to develop capable leadership and management and emphasises the leader’s moral obligation to serve others (Safavi, 1981; Kiggundu, 1991; Waiguchu, *et al.*, 1999 *apud* Nkomo, 2011). Waiguchu, *et al.* (1999), for instance, believe that getting things done harmoniously and empowering others – followers in this case, are amongst attributes that characterise what they refer to as “good management leadership”. In other words, there is no other way of achieving the organisational efficiency and effectiveness unless there is harmony in the ways in which things are done through the empowerment of followers. Harmony stands for peace, solidarity, collaboration, cooperation, consideration and respect that the leader is called

upon to uphold and promote within an organisation, summarised as *ubuntu* from an African perspective (Wanasikaa, *et al.*, 2011; Carey, 2016). This is the essence of the leader's moral obligation to serve others.

To this end, this body of literature emerged as an attempt to respond to issues related to leadership and management in Africa and the African public sector in particular, which is often characterised as ineffective and deficient (Therkildsen, 2001; UNECA, 2003; Ayee, 2005 and 2008; Dza, *et al.*, 2013; Fourie and Poggenpoel, 2016). However, in their analysis of African leadership as an approach to working with others, it transpires that those who critiqued “Western” leadership often fell into the trap of imposing Western ideas and approaches to African leadership and management (Bolden and Kirk, 2009; Avolio, *et al.*, 2009; Perkins, 2009). This Western lens focused on the legacy of colonialism in the underdevelopment of managerial talent in Africa, suggesting that colonialism led to the imposition of Western cultures, values and practices through the placement of leaders and managers from the West to ensure the implementation of Western cultures, values and practices (Mutahaba and Ally, 2008). Furthermore, the use of Western assumptions about leadership as benchmarks by which to evaluate African leadership and management became problematic because of what Nkomo (2011) referred to as “the inappropriate” fit between African contexts and those Western biases about what constituted effective management and administration.

Leadership and management literature has traditionally suggested that leadership theories emanate primarily from the United States of America (USA) by American scholars and American perspectives have thereby come to be considered as “universal” principles that apply in every context (House and Aditya, 1997). However, African scholars have argued that such “universal” theories of leadership and management may not necessarily apply nor be successful beyond the US boundaries because of unique differences in national culture (Nkomo, 2011). National culture is widely understood as, “the collective programming of the mind which distinguishes one group or category of people in a nation from another” (Hofstede, 1993:89). Hofstede (1993) explained that each group or category of people have distinguished ways of thinking, leading to different ways of understanding values and practicing beliefs which comprise their own culture. This suggests that there cannot be “universal” leadership theories and management practices because of the uniqueness of the underlying cultures associated with each group of

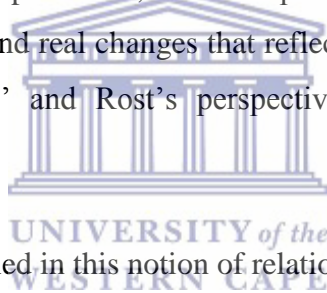
people. In the context of Africa, a fundamental problem associated with leadership and management lies in what scholars refer to as the “homogenization” of the diversity of cultures within the many African countries across the entire continent (House, *et al.*, 2004). African culture presents a sense of high power distance; it values collectivism and avoids uncertainty while showing a strong humane orientation. In other words, African culture promotes unity in diversity, implying unity as a people but diversity in beliefs and practices (Nkomo, 2011).

African scholars argue that the high control, top-down approach to organisational governance associated with Western leadership and management is inadequate when applied to the African context. Both African and Western scholars suggest that this Western approach is incompatible with the African reality because of the fact that the African culture is much less individualistic, far less control oriented, and more informal in its cultural, political, economic and social context (Blunt and Jones, 1997; Jackson, 2004). The Western leadership approach has been described by Mbigi (2005: v) as “narrow, arrogant, empty, (reflecting the) materialistic values of hamburger and cocaine.” Although Mbigi’s critique of Western thinking is harsh, it typifies both the defensiveness of many African scholars about their own values and reveals the perspective that African academics perceive that the context of their own culture differs from the Western context. To African scholars, the stereotypical way of looking at Africa as primitive must be challenged and strongly rejected. In Africa, concepts such as traditionalism, communalism, cooperative teamwork, mythology, the belief that an individual’s relationship to nature, to supernatural beings and to ancestors, are critical and influential in the understanding and practice of leadership (Blunt and Jones, 1997; Mbigi, 1997; Anyansi-Archibong, 2001; Edoho, 2001; Mangaliso, 2001; Ngambi, 2004; Nkomo, 2011). This African perspective is portrayed through the humanist African philosophy called *Ubuntu*, that impacts the leadership assumptions that apply in the African context. The Archbishop Tutu states the following:

“Ubuntu is very difficult to render into a Western language. It speaks of the very essence of being human. When we want to give high praise to someone we say, ‘Yu, u nobunto’; ‘Hey so-and-so has ubuntu.’ Then you are generous, you are hospitable, you are friendly and caring and compassionate. You share what you have. It is to say, ‘My humanity is caught up, is inextricably bound up in yours.’ We belong in a bundle of life” (Tutu, 1999: 31).

Essentially, *Ubuntu* means, “I am, because you are” from the Zulu expression *Umuntu ngumuntu ngabantu*, which literally means that a person is a person through other people (Shutte, 1993; Ramose, 1999; Tutu, 1999; Van Binsbergen, 2003). At the core of *Ubuntu* is communalism, implying that the interests of the individual are subordinate to that of the group (Broodryk, 2002), creating thus a value system (ethos) that sustains various practices, including leadership.

In the context of this study the leadership perspective organic to Africa is regarded as a third paradigm of leadership. This African perspective is in addition to the perspective presented by Burns who understands leadership as “the reciprocal process of mobilizing of persons with certain motives and values, various economic, political and other resources, in a context of competition and conflict, in order to realise goals independently or mutually held by both leaders and followers” (Burns, 1978:425). It is also in addition to the perspective of Rost, who opined that, “leadership is an influence relationship among leaders and followers who intend real changes that reflect their mutual purposes” (Rost, 1991:102). Implicit in Burns’ and Rost’s perspectives are four key attributes of leadership, namely:



- (1) The mutuality of trust implied in this notion of relationships;
- (2) The consent implied in the notion of “followers”, while recognising a certain inequality in the relationship;
- (3) The goal-oriented instrumental emphasis on effectiveness in reaching intended aims;
- (4) The participatory process required to identify common purposes.

These same four attributes are also part of the Afrocentric perspective of leadership. They are particularly a part of the African emphasis on communalism and co-operative teamwork as portrayed in the practice of *Ubuntu*. This commonality in attributes suggests that there is a connection between the “Western” and African concepts of leadership. The four attributes collectively constitute CSFs that have profound moral and ethical implications and that are major elements of the LE.



## 1.8 Organisation of the Study

The chapter outline for the thesis is as follows:

### Chapter One

This chapter presents the background to the study. It provides relevant information about the problem that is explored (including the context) and the methodology followed.

### Chapter Two

This chapter introduces the context of the problem of the study. It sketches the context of civil service leadership before the advent of democracy in South Africa and independence in the DRC. It provides an overview of the role of the civil service, as instrumental in the implementation of public policies and laws introduced to divide, oppress and discriminate along the lines of race and ethnicity. It engages with issues of unethical leadership post-independence in an effort to illustrate that the demise of oppressive regimes does not naturally lead to ethical leadership. The chapter concludes by illustrating the on-going challenges facing South Africa and the DRC in their efforts to develop and nurture leaders who uphold ethical values and principles in the exercise of their duties and responsibilities.

### Chapter Three

This chapter presents the theoretical framework of the study, which is defined within the context of compliance-based and integrity-based approaches to leadership particularly, and further discussions on the leadership theories introduced earlier. This chapter provides a critical review, analysis and interpretation of the key leadership theories which allows for the identification of CSFs that comprise LE, important to implementing sound socio-economic policies of social transformation.

### Chapter Four

This chapter focuses on public administration reforms and LE. It illustrates how public administration reforms have resulted in a change in organisational focus and culture of the public sector. In this context, the chapter is organised into two sections. The first section focuses on public administration reforms with the view to illustrate how reforms speak to integrity-based approaches that emphasise attention to vision, values and virtues.

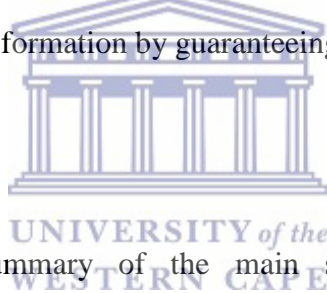
The second section focuses on organisational development and culturally oriented strategic management for underscoring the need to invest in organic structures and humanistic strategies as a means to achieve organisational efficiency and effectiveness, which spells the objective of LE.

#### Chapter Five

This chapter presents and engages with relevant economic policies in the RSA and the DRC with a view to illustrate the effects of LE and its subsequent CSFs on performance in public management, in particular, with respect to the implementation of public policies.

#### Chapters Six

This is a presentation and analysis of empirical evidence from the RSA and the DRC. The purpose is to probe the understanding of LE and its inherent CSFs and the way in which it is practiced in public management with a view of enhancing organisational efficiency, which will enhance social transformation by guaranteeing the successful implementation of economic policies.



#### Chapter Seven

This chapter contains a summary of the main study findings and proposes recommendations towards an LE that contributes to more effective public policy implementation processes and concludes the study.

## CHAPTER TWO

### A CONTEXTUAL BACKGROUND TO THE PROBLEM OF THE STUDY

#### 2.1 Introduction

This chapter introduces the context of the problem of the study. The chapter is organised into three sections. The first section sketches the context of civil service leadership before the advent of democracy in South Africa and the DRC. It provides an overview of the role of the civil service, as instrumental in the implementation of public policies and laws introduced to divide, oppress and discriminate along the lines of race and ethnicity. The second part focuses on issues of unethical leadership post-independence in an effort to illustrate that the demise of oppressive regimes does not naturally lead to ethical leadership. The chapter concludes by illustrating the on-going challenges facing South Africa and the DRC in their efforts to develop and nurture leaders who uphold ethical values and principles in the exercise of their duties and responsibilities.

#### 2.2 Sketching the context of oppressive and ineffective leadership: The case of the Republic of South Africa (RSA) and the Democratic Republic of the Congo (DRC)

The literature suggests that scholars across the disciplines appear to agree and point out that the society suffers because of ineffective and oppressive leadership practices. Goody (1969) and Krivokapic (2014) illustrate the argument when attempting to explain leadership practices and their consequences on civilisations during the primitive or pre-industrial era, drawing from the slave-owning and feudal societies characterised by a social ladder composed of nobility, slaves, serfs and foreigners. The legacy that this type of leadership promoted in these societies is of inequality as a fundamental principle. This led to great cruelty in punishment, as torture became an integral part of the judicial system. Collective punishment, extermination of opponents, and other inhuman treatments were all administered, as Krivokapic (2014:5-36) states:

Generally speaking, this period and the first centuries that followed were characterized by great brutality. This is best seen with death sentences that were executed by burning, stoning, throwing the convict to the lions, crucifixion, decapitation, impalement, skinning, and the like. One of the characteristics of this period is very widespread corporal punishment - mutilation (severing arms, legs, tongue, nose, ears, blindness, stamping), hard

beating (whipping, flogging) and the like. These penalties imply extreme current (physical) and subsequent (mental) pain. Despite the fact that they were sometimes only an expression of a whim of the person who was in a position to decide on the fate of the other, in many cases, these sentences were stipulated in advance for particular criminal acts by the appropriate legal documents.

The same view and argument were echoed in the writings of various authors including Biko and Arnold, 1978a, 1978b; Cone and Wilmore, 1979; McFague, 1993; Allen, 1994; Cobb and Daly, 1994; Mandela, 1994a, 1994b; Dawsey, 2001; Fogel, 2004; Kraay, 2004; Goklany, 2007; Maddison, 2007; Staley, 2008; Jauch and Muchena, 2011; Whatley and Gillezeau, 2011; De La Escosura, 2015).

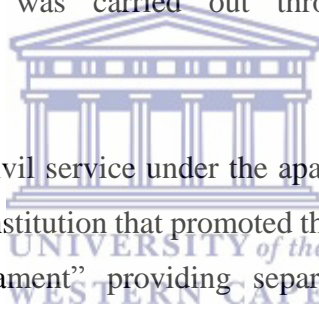
In South Africa, for instance, this type of leadership is portrayed through the ways in which the apartheid<sup>5</sup> regime ran the country. They did this through public policies implemented by civil servants whose role was significant in ensuring that the state machinery was up and running by complying with the administration of public policies focused on ensuring inequality in society. People were classified based on race, gender, and ethnicity, thus enforcing the policy of “apartheid”. This is an Afrikaans word meaning “apartness”. It describes an ideology of racial segregation that served as the basis for white domination of the South African state from 1948 to 1994. Apartheid was the codification of the racial segregation that had been practiced in South Africa from the time of the Cape Colony’s founding by the Dutch East India Company in 1652. Its emergence in 1948 was antithetical to the decolonisation process begun in sub-Saharan Africa after World War II. Widely perceived internationally as one of the most abhorrent human rights issues from the 1970s to the 1990s, apartheid conjured up images of white privilege and black marginalisation implemented by a police state that strictly enforced black subordination (Chipkin and Lipietz, 2012; Franks, 2014; Muthien, 2014; Naidoo, 2015).

To this end, civil servants carried out the implementation of policies of separatist development that included policies regulating Informal settlements (Turnley, 2008), education (Cowell and Turnley, 1988), racial discrimination (Subiros, 2007), repression and violence (McSharry and Rosen, 1991), homelands administration (Rogers, 1980), poverty and inequality (Saunders, 1988) to mention but a few. This suggests that the civil

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<sup>5</sup> See Apartheid, [Northwestern University \(2017\)](#).

service, during various apartheid administrations, was designed along racial lines to ensure the success of apartheid through compliance with policies and laws. Consider for instance, the Population Registration Act of 1950 requiring every South African to be classified into one of a number of racial “population groups”, officialising the practice of apartheid. The Group Areas Act of 1950 divided urban areas into “group areas” in which ownership and residence was restricted to certain population groups. The Reservation of Separate Amenities Act of 1953 required public premises, vehicles and services to be segregated by race, even if equal facilities were not made available to all races. The Bantu Education Act of 1953 promoted an education policy aimed at directing black or non-white youth to the unskilled labour market. These are among the public policies that were passed under the administration of Ernest George Jansen (1881–1959). Civil servants were required to guarantee the successful implementation of these policies by complying first with the legislation and then with the laws associated with its implementation. Such a design for civil service was carried out throughout subsequent apartheid administrations.



The design and structure for civil service under the apartheid regime became clear and was facilitated by the 1983 Constitution that promoted the system of governance referred to as the “Tricameral Parliament” providing separate houses of parliament for “Coloureds”, “Whites”, and “Indians” excluding the majority, black population (Christopher, 1994; Reynolds, 2005). The implication of such a system from an administrative perspective suggests that the South African civil service was structured along the lines of race, hence different administrations attending to matters of different race groups (Christopher, 1994). Christopher (1994) talked of racial separation being operated at the three distinct levels namely “petty apartheid”, urban segregation and “grand apartheid”. Detailed social segregation, including separate sections of facilities such as post offices and other official buildings for whites and others characterised what was referred to as petty apartheid. Such practice was extended to separate recreational facilities, transport and churches. Urban segregation aimed at segregating places of residence and commerce through the “Group Areas Act” prompting a new design of South African cities as the majority black populations were moved out of urban centres to leave zones for whites. Grand apartheid is characterised by the forced resettlement and restriction of the majority black populations to the new “homelands” – leading to the establishment of of Homelands Administration (TBVC - Transkei, Bophuthatswana,

Venda and Ciskei states). Since the majority black population was not allowed to live in the “whites only” suburbs, but could only work there, they were forced to carry on their person, a “pass”. The South African Police Force (as it was known during apartheid) was not there to serve and protect, but instead to forcibly and brutally ensure that separate development was enforced. Civil servants in these contexts and times were not focused on the right or wrong of policies but merely complied with policies and laws. This suggests that credit for the successful implementation of these policies from an administrative point of view is given to civil servants whose role, function and responsibility is limited to complying with rules and regulations underlying compliance-based approaches. These approaches proved to be less people-centred and people-driven with no code of ethics and functioning under what is referred to as “covert operational methods” (Maphunye, 2002: 5). In this view, the 1995 White Paper on the Transformation of the Public Service (WPTPS) states the following:

The Government of National Unity is committed to continually improving the lives of the people of South Africa by a transformed public service which is representative, coherent, transparent, efficient, effective, accountable and responsive to the needs of all (WPTPS, 1995, paragraph 2.1).

Furthermore, in his last parliamentary speech as the first democratically-elected President of democratic South Africa, the late and former President Nelson Mandela describes the vision and challenges facing the new civil service in the following terms:

Last year, we spoke of the need to cut expenditure on personnel, as part of reducing a bloated civil service and changing its orientation. That commitment remains. The new civil service regulations based on each individual's output, especially management, rather than just observance of rules, should see to the improvement of service to the public (Mandela, 1999).

Mandela's view supports the argument that civil service during apartheid was characterised by lack of individuals' outputs, suggesting that at an individual level, people demonstrated lack of equity, quality, timeousness and strong ethical principles – things that are associated with personal integrity, but rather the focus was just on observance – in other words, compliance with rules. Such an approach is based on the civil service structure which was arguably inherited and could be traced back to as far as the former British colonies and Boer republics (Transvaal, Orange Free State, Cape Colony and Natal) and which was less people-centred and people-driven (Posel, 1999; Maphunye, 2002).

In the case of the Democratic Republic of the Congo (DRC), its colonial history bears many similarities to that of South Africa. During Belgian colonisation, particularly under the leadership of King Leopold II, the implementation of public policies in the Belgian Congo was characterised by violent exploitation of the native population. There was large-scale repression, murder, forced labour and racism. This was particularly evident in the rubber plantations, which promoted a lucrative business for Belgian colonialists in Europe, considering the invention of the rubber tyre in 1891 which made the rubber trade more lucrative (Doyle, 1909; Martelli, 1962). Natives were forced to work in a most inhuman way to boost rubber production for exportation purposes, leading to arbitrary executions, repression, the amputation of hands, and mass killings of the native workers if rubber production quotas were not met (Birmingham and Martin, 1983; Gondola, 2002; Meredith, 2006; Vanthemsche, 2006; Simms, 2009). Remarkably, those policies were carried out by civil servants although the majority of them were not natives of the Congo<sup>6</sup>. Civil servants were obliged to forcibly and brutally implement the policies without evaluating their consequences in terms of what was right or wrong. Like the case of South Africa, the roles, functions and responsibilities of public servants in the DRC during the Belgian colonisation period were designed under compliance-based approaches, meaning that civil servants were required to comply with policies and laws. There was no room for what Mandela (1999) called “individual’s output” in terms of making use of personal qualities associated with ethical principles to assess the situation independently before making a decision on implementing policies, especially in management.

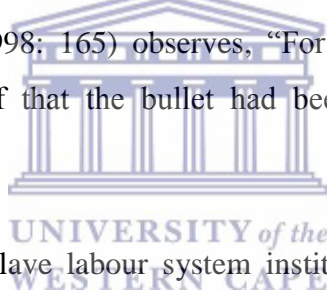
As in the case of South Africa, the compliance-based approaches applied in the Belgian Congo were based on the civil service structure which was inherited. This approach could be traced to as far back as during the reign of King Leopold II of Belgium who assumed control of the Congo as his private property (1885-1908) soon after the Berlin Conference. During that period, Hochschild (1998) observes that Leopold devised an economic system in which the Congo was sectioned into different areas leased to different European corporations that paid Leopold 50 percent of the extracted wealth. In setting up this structure, Leopold was like the manager of a venture capital syndicate today. He had

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<sup>6</sup> For more information on the brutality, repression and forced labour of native Congolese under King Leopold II’s colonization, consult the Casement Report (1904). This is correspondence and report of an Irish diplomat – Roger Casement from his Majesty’s Consul at Boma (Congo) on the administration of the Independent State of the Congo presented to the House of Parliament by command to his Majesty in February 1904.

essentially found a way to attract other people's capital to his investment schemes while he retained half the proceeds. It was within such a context that King Leopold II instituted a virtual slave labour system that used the natives as tools to extract wild rubber, ivory, and other natural resources from the Congo for the benefit of private enterprises owned or controlled by Leopold.

It was during that period that the massacre of more than 10 million natives took place, a massacre arguably on the scale of the Jewish Holocaust dimensions. However, this story was not told; women and children were brutally raped and murdered and treated like animals. They were even hunted like animals for fun and for sport; limb amputation was a joy for many Belgian soldiers. Hands, heads, and other body parts were severed for not only proof of kill, but for the cannibalistic needs of the Belgian soldiers (Birmingham and Martin, 1983; Gondola, 2002; Meredith, 2006; Vanthemsche, 2006; Simms, 2009). Even the homes of some Belgian officers were lined with the skulls of the natives for decoration, as Hochschild (1998: 165) observes, "For each cartridge issued to their soldiers they demanded proof that the bullet had been used to kill someone, 'not wasted'..."



It became apparent that the slave labour system instituted by King Leopold II as a structure to administer the Congo oriented civil servants actions – suggesting that their roles, functions and responsibilities were limited to complying with rules and regulations.

Since independence in 1960, the country has been embroiled in political shambles, from the administrations of Joseph Kasa-Vubu and Patrice Lumumba, through Mobutu Seseseko and Laurent Kabila, who practiced dictatorship in their respective administrations, to the current Joseph Kabila administration. These dictatorships resulted in the disorganisation, disorientation, dysfunctioning and the weakening of the civil service including the police and armed forces. The instability in the political environment led to the promotion of corruption in the civil service. The report of the Enterprise Survey on the DRC (2013) for example states that, "corruption in the public services sector presents a very high risk for companies. One quarter of companies identify business licenses and permits as a major constraint to doing business" (GAN Integrity, 2016a). Furthermore, half of businesses believe that offering gifts to officials is part of the process



of “getting things done”, and expect the same when applying for a water or electrical connection (GAN Integrity, 2016a).

For Transparency International (TI) the high levels of petty corruption can be attributed to a weak administrative capacity and a shortage of resources, combined with low salaries or unpaid staff (TI, 2014 in GAN Integrity, 2016a). The Bertelsmann Stiftung's Transformation Index confirms such corrupt practices within the civil service in the DRC suggesting that companies starting up a business may encounter demands for bribes disguised as dubious payments, non-existent taxes, or fees (BTI, 2016). Furthermore, the reports suggest that petty corruption is often the only means of survival for employees of the public administration (BTI, 2016). The state administration is almost non-existent outside major Congolese cities. Several parts of the country are subject to two parallel administrations – one is operated by the state, the other by armed groups. These major dysfunctionalities in the public administration, coupled with pervasive corruption, ambiguous and unfair economic policies have served as a breeding ground for the country's large informal sector (BTI, 2016)<sup>7</sup>.

In spite of the introduction of multi-party democracy, the DRC remains a conflicted political, social and economic space. Multi-party democracy did not necessarily result in a democratic state; some describe it as a ‘failed state’ (BBC News, 2011) suggesting that it is more likely in societies where the political environment is unstable and corrupt that the administrative environment will be equally unstable and corrupt. Such seems to be the case with the DRC.

The overview of the South African history and that of the DRC illustrates a highly centralised “command and control” structure in the public sector putting a strong emphasis on compliance-based approaches instead of integrity-based approaches to leadership in order to perpetuate domination. With such an approach, leadership loses its essential moral and ethical duty (Solomon, 1992; Covey, 2005; Burns, 2010; Cameron, 2011). This is because organisational leaders are not treating colleagues, civil servants, as valued and respected individuals but as fungible or interchangeable things who are meant to receive orders without questioning them and implementing them regardless of

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<sup>7</sup> See also: DRC corruption report from GAN integrity business and anti-corruption portal (GAN Integrity, 2016a).

the results and consequences (Buber and Smith, 2011). In this view, the South African and Congolese cases above are helpful in illustrating the point that civil servants in oppressive regimes are merely compliant and do not necessarily consider what is good or right for the citizens but are merely loyal to the government of the day.

### **2.3 Unethical leadership, corruption and mismanagement post-independence**

In the context of oppressive regimes, the problem associated with unethical forms of leadership in public management has to do with the “blind” implementation of public policies by public managers. Although public managers are required to comply with rules and regulations particularly with regard to policy implementation, it has to be noted that compliance-based approaches to leadership are not sufficient by themselves, unless they are complemented with integrity-based approaches. The latter approaches aim to promote “moral leadership that helps public servants to build good character and thus the will to do the right thing” (Stevulak and Brown, 2011: 103). The arrival of independence (DRC) and the advent of democracy (RSA) were welcomed with cheers by all for one fundamental reason – freedom. It meant that the black person would no longer be a shell, a shadow of a man, completely defeated, drowned in his own misery, a slave, an ox bearing the yoke of oppression with sheepish timidity, but instead that “black people” were masters of their own destiny. They were free to choose what to do, how to do it and when to do what they thought was good to them and would contribute to their development and put an end to suffering that they had been enduring all along.

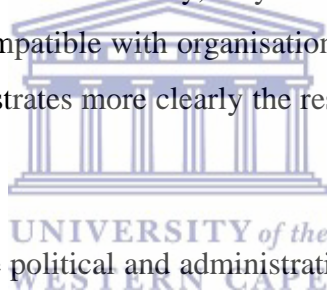
Unfortunately, this has not been the case. Recent historical facts about levels of unemployment, equality, access to basic services suggest that many liberation movements that are now political parties in power since the advent of independence and democracy, have done little to significantly improve the socio-economic conditions of their people. It transpires that the same liberation movements (political parties in power today) which fought for the freedom of people and independence of the countries have taken their own people as hostages (Maphai, 1994; M’Bokolo, 2004; Meredith, 2006; Kodi, 2008; Jauch and Muchena, 2011). It is significant, however, judging from the media headlines, that civil society is questioning the undemocratic practices of their leaders, e.g. the DRC’s

Joseph Kabila “clinging to power” (BBC News, 2016b) and nationwide protests taking place in the RSA against a corrupt Jacob Zuma (BBC News, 2017a).

During the early 1990s in the former Zaire there was turmoil regarding the former government’s way of handling the political and economic challenges that the country was facing. The response by the government of then President Mobutu Seseseko was captured under the directive of “Debrouillez-vous”, which means “find your way out”, indicating to ordinary citizens that they needed to do whatever they could to survive in such circumstances. That was widely understood to condone crime and corruption (BTI 2016: 16). That directive was soon referred to as “Article 15” in order to highlight that the government’s response was unconstitutional as there were only 14 articles in the country’s constitution at that time. It became apparent that Mobutu allowed his citizens to behave as he did himself. As a leader, Mobutu assumed the right to plunder the state and the nation without any regard for the consequences of his actions.

Such an attitude grew and developed into a “system” characterised by impunity and lack of accountability. Public managers could presumably adopt the same attitude in the implementation of public policies and the running of the state administrative machine (Meredith, 2006). Unfortunately, the same leadership attitude seems to have been inherited by various generations of public managers and can still be observed even in recent years as reports from the media, international NGOs and UN agencies operating in the DRC suggest (see the 2015/2016 Ibrahim Index of African Governance Reports). A further illustration is the rating in the Audit Report of the Global Fund Grants to the Democratic Republic of the Congo (Global Fund, 2016c). It was evident that there would be operational risks on the basis of observed inefficiencies and serious irregularities. The Global Fund therefore called for significant improvement on issues regarding: (1) the effectiveness of Global Fund supported programmes to ensure adequate access to care and quality of health services; (2) the design and effectiveness of internal controls over procurement and supply chain management in the country; (3) the design and effectiveness of internal controls over programmatic data and grant performance; and (4) the design and effectiveness of internal controls over financial and fiduciary management.

The above illustration points to the lack of organisational efficiency and effectiveness that would lead to the successful implementation of programmes to ensure adequate access to care and quality health services in the DRC. The same applies to the design and effectiveness of internal controls over procurement and supply chain management in the country, the design and effectiveness of internal controls over programmatic data and grant performance and the design and effectiveness of internal controls over financial and fiduciary management. It is to be understood that organisational efficiency and effectiveness is a product, result or fruit of the awareness of LE and the application of its inherent CSFs (Kroukamp, 2007; Muhammad, 2014; Smith, *et al.*, 2016) in public services in this particular case. Unless public managers demonstrate an awareness of LE, which summarises in moral leadership ability that helps build good character and thus the will to do the right thing and apply its inherent CSFs, there would always be questions around organisational efficiency and effectiveness. Inefficiencies and irregularities do not in any way associate with LE; on the contrary, they are associated with unethical forms of leadership. They are not compatible with organisational efficiency and effectiveness. The above case, therefore, illustrates more clearly the results of a public manager's lack of awareness of LE.



In recent years in the RSA, the political and administrative leadership on the part of the President has come under intense scrutiny, resulting in both the opposition political parties and civil society organisations calling for President Jacob Zuma to step down (BBC News, 2017a). A number of political misdemeanours, characterised by arrogant and dismissive responses from the president, were deemed acceptable by the ruling African National Congress (ANC), who chose to close ranks behind their leader rather than observe the country's Constitution. Most noteworthy on the lengthy list of questionable deeds attributable to the president, is the "Nkandla saga". This refers to a project aimed at upgrading the sprawling private residence of President Jacob Zuma in his home village of Nkandla in Kwazulu-Natal, using money from the taxpayer (Rossouw and Roper, 2009). However, lack of transparency and honesty when dealing with finances, contractors, and tender procedures, is the outstanding feature in this saga. As such, this underscores what is regarded as "unethical" leadership practices from public managers. As a result, the opposition parties exposed the perceived corruption and succeeded in escalating the matter to the Office of the Public Protector, whose Office produced a damning Report (RSA, 2014e) ordering the President to repay a significant

portion of the money spent on the upgrade. After his refusal to repay the money, the Constitutional Court stepped in to ensure that this constitutional obligation was fulfilled.

In another bizarre move, President Zuma recently took a decision to reshuffle the cabinet without consulting with his ministers and other officials in his party, the African National Congress (ANC). This risky demeanour raised serious questions, from both the opposition parties as well as from within his own party, about his awareness of LE (News24, 2017). His decision had an immediate negative impact on the economy of the country – Standard & Poor's, being one of the big three ratings agencies (the other two are Moody's and Fitch) has lowered South Africa's sovereign debt to below investment grade. Additionally, the country's currency, the rand, has lost ground, bonds and banking shares have fallen and there is a general air of impending doom and uncertainty (BBC News, 2017b).

What is adding to the country's woes, is the President's perceived close (and corrupt) relations with an influential family of businessmen (the Gupta family). Of greatest concern is the Gupta family's influence and manipulation of public officials and their seeming interference in the appointment of political leaders, with underlying corruption and shady deals at the core of their relations with the president (BBC News, 2015a).

In the cases cited above, it is evident that as a public leader, the President fell short in demonstrating awareness of LE – which translates into a moral leadership ability that helps build good character and thus the will to do the right thing (i.e. being transparent and honest) and apply CSFs inherent in LE.

Still in South Africa, another scandal erupted, involving this time the Department of Social Development and the agency responsible for the disbursement of state pensions and grants (the South African Social Security Agency – SASSA). This serves as another illustration pointing to the need to explore the awareness by public managers of LE and the application of its CSFs that should lead to organisational efficiency and effectiveness. In fact, the issue under scrutiny has to do once again with transparency in the tender process, wherein a company – Cash Paymaster Services (CPS) was awarded the contract to pay out pensions and grants, was declared unlawful and declared invalid by the Constitutional Court (*Herald*, 2017b). As a result, there was much anxiety about whether

grants would be paid out on the stipulated date (01 April 2017), leading to the resignation of the Director General of that department (*Herald*, 2017a). Although grants were paid on 01 April 2017 following the extension of the contract with the CPS for one more year, the question here is on the unnecessary court processes and the anxiety that pensioners and social welfare grant holders faced as a result of seemingly poor leadership. There has also not been any mention of any corrective action to be taken against the Minister for orchestrating this debacle.

These scandals have exposed the inefficiencies and serious irregularities in the ways in which certain government departments conduct their business, at great expense to the South African tax-payers. Within the context of this study, such inefficiencies and irregularities demonstrated in public management, point to unethical forms of leadership, which are inconsistent with the concept of LE, which aims at promoting integrity-based approaches to leadership. Failing to conform to the appropriate requirements and procedures with regard, particularly, to the finances, contractors, and tender processes, raises questions about the very notion of “integrity” in the practice of leadership in public management. Integrity in leadership is amongst the attributes that enhance moral leadership that helps public servants to build good character and thus the will to do the right thing. These illustrations demonstrate the shortcomings of leadership in public management in the RSA in this particular instance.

Practices associated with leadership in public management in the illustrations above, underscore what is being referred to here as unethical forms of leadership. These unacceptable practices invariably result in rampant corruption amongst managers, stealing of resources, trade barriers stopping exports, poorly developed property rights and appalling infrastructure, chronic malnutrition and disease, lack of sanitation, drinking water and energy (electric power) to sustain the economy, and significant levels of illiteracy (Staley, 2008). The independence of the DRC and the advent of democracy in the RSA were supposed to lead to transformed socio-economic structures creating the basis and conditions to improve the lives of the citizens. In most cases, this has not been happening because of the unethical leadership practices in public management, in particular, as illustrated above.

## 2.4 Efforts towards developing an awareness of Ethical Leadership

The general public's reaction towards such leadership practices in public management prompted a number of initiatives to promote an appropriate LE. In South Africa, the Moral Regeneration Movement (MRM)<sup>8</sup> was established as a vehicle to help orient attitudes and behaviours towards ethically informed principles, values and norms. Richardson (2003:4) argues that every discussion within the movement was centred on things that were being done, things that should be done or things that could be done in order to realise moral regeneration in the society. This was due to the unacceptable state of public morality within the South African society. As the preparatory document of the launch stated: "The moral assault on the majority of South Africans has left clearly visible manifestations of a society urgently in need of targeted and concrete efforts to extend the scope of the transformation process beyond the redefinition of our political institutions..." (Richardson 2003:5).

Following its vision, main aims and objectives, the MRM has been very well positioned and placed to address issues associated with poverty and unethical leadership in particular. However, the above-mentioned illustrations underscore the inability of the MRM to address these issues. Thus the need to strengthen, explore and create other similar initiatives aiming at promoting awareness of LE that falls within the integrity-based approach to leadership, where individuals reflect and consider certain values, principles and virtues in the exercise of his/her duties and responsibilities.

Leadership practices in public management in the independent DRC and post-apartheid South Africa are not of the best as demonstrated in the previous section. It seems like public servants fail to demonstrate the much needed good characters which would prompt the will to do the right thing (see the 2015/2016 Ibrahim Index of African Governance Reports). What is being portrayed, on the contrary, are practices associated with greed and cruelty, laziness and egotism transmitting the sense of a lack of good spirit, as pessimism, or lack of hope and faith for socio-economic conditions have barely changed since independence and the advent of democracy in the DRC and the RSA (Maphai, 1994; M'Bokolo, 2004; Meredith, 2006; Kodi, 2008; Jauch and Muchena, 2011, the 2015/2016

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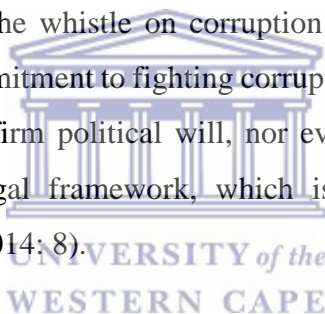
<sup>8</sup> Refer to <http://mrm.org.za/about-us/history/>.

Ibrahim Index of African Governance Reports).

Nelson Mandela again pointed to this phenomenon by stressing the following:

The symptoms of our spiritual malaise are only too familiar. They include the extent of corruption in both the public and private sector, where office and positions of responsibility are treated as opportunities for self-enrichment. The corruption that occurs within our justice system; violence in interpersonal relations and families in particular, the shameful record of abuse of women and children; and the extent of evasion of tax and refusal to pay for services used (Mandela, 1998).

With regard to corruption in both the public and private sector and the use of office and positions of responsibility as opportunities for self-enrichment, unethical practices are common and are regarded as “informally institutionalised” in public management (Jauch and Muchena, 2011). In the independent DRC, reports from international NGOs and UN agencies point to high levels of corruption in the public services. Transparency International (TI) has blown the whistle on corruption in the DRC stating that, “The president has declared his commitment to fighting corruption on numerous occasions, but there is neither indication of firm political will, nor evidence of progress beyond the establishment of a strong legal framework, which is rarely enforced in practice” (Transparency International, 2014: 8).



The Bertelsmann Stiftung's Transformation Index (BTI) confirmed the allegation and talks of dysfunctionalities in public administration in the DRC in the following terms, “The public administration is fragile and largely confined to major cities. A lack of funding and material makes corruption the only available means to survive for many employees of the administration and service delivery is thus extremely deficient” (BTI, 2016: 16). Such a leadership practice in public management underscores levels of moral degeneration – suggesting moral chaos referred to by Mandela (1998) – whose results can only be unsatisfactory in terms of performance associated with social transformation, prompting thus the need for LE and the application of CSFs in the context of the public sector. In this view, LE is less about rules, programmes and frameworks and more about personal and professional integrity with the aim to promote, “moral leadership that helps public servants to build good character and thus the will to do the right thing” (Stevulak and Brown, 2011: 103).



## 2.5 Chapter Summary

The purpose of this chapter was to introduce the reader to the context of the problem of the study. The first section sketched the context of civil service leadership before the advent of democracy in South Africa and independence in the DRC. It provided an overview of the role of the civil service, as instrumental in the implementation of public policies and laws introduced to divide, oppress and discriminate along the lines of race and ethnicity. The following section's focus was on issues of unethical leadership, post-independence, in an effort to illustrate that the demise of oppressive regimes does not naturally lead to ethical leadership. The chapter concluded by illustrating the on-going challenges facing South Africa and the DRC in their efforts to develop and nurture leaders who uphold ethical values and principles in the exercise of their duties and responsibilities.



## **CHAPTER THREE**

### **LEADERSHIP ETHOS: A THEORETICAL DISCOURSE**

#### **3.1 Introduction**

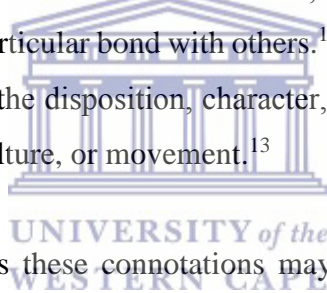
The purpose here is to present the theoretical framework of this study defined within the context of compliance-based and integrity-based approaches to leadership particularly, and further discussions on the leadership theories introduced earlier (see section 1.5). This chapter provides a critical review, analysis and interpretation of the key leadership theories which allow the identification of Critical Success Factors (CSFs) that comprise Leadership Ethos (LE), which is important to implementing sound socio-economic policies of social transformation.

#### **3.2 Leadership Ethos: A concept and definition**

Leaders with integrity “model the way” and do what they say they will do (Kouzes and Posner, 2012). Their lives and their actions are aligned, whole, and undivided. There is no duplicity in their actions. Their moral compass is virtue-based and focused on creating long-term value (Xu, *et al.*, 2016). Leaders with integrity and character are principle-based ethical stewards (Hernandez, 2012) who define reality (DePree, 2004), and honour a higher law of moral responsibility, rather than simply complying with a set of rules that may overlook key obligations or moral contexts (Rosati, 2009). Ethical leadership (EL) has been the focus in the debates and discussions by scholars and leadership practitioners over the past few decades (Ciulla, 1998, 2003, 2014; Cheng, *et al.*, 2014; Ehrich, *et al.*, 2015; Kalshoven, *et al.*, 2016; Engelbrecht, *et al.*, 2017). Ethical Leadership, by referring to ethical principles applied in the practice of leadership, focuses on the leadership agent who must uphold certain principles that serve as fixed points. These ethical principles in the words of Caza, *et al.*, (2004:170) “indicate what is right and wrong, appropriate and inappropriate, by reference to universal standards.” Such an understanding and practice, however, must go beyond the leadership agent and be instilled in the organisation as a whole. It must be developed and nurtured as a culture and value system within the organisation making it an ethos of the organisation, of a group. The ethic of character and integrity is an Aristotelian or virtue-based ethic focused on the pursuit of truth, underscoring the essence of ethos.

There are different ways in which the term ethos is understood. One approach is to focus on the Greek word (/ˈiːθɒs/ or “ethos”) which originally meant a shelter or dwelling place, for example for domestic animals. It suggests the need for a place of protection and nutrition. This indicates the connotations of a daily routine, a sense of familiarity and stability, a place that may be called “home”. Accordingly, the term ethos may be regarded as the distinguishing features, beliefs or moral values of a group, or institution.<sup>9</sup> Seen from a broader anthropological perspective, it may refer to the distinctive spirit of a culture or an era.<sup>10</sup>

The term ethos is thus employed to describe certain features of a home, a group or a whole era. By contrast, the term ethos may also be used to refer to the character, virtues and moral selfhood pertaining to a person, group, culture, or movement.<sup>11</sup> Along a similar line, the term could also indicate a certain “attitude”, predisposition or comportment towards others, suggesting a particular bond with others.<sup>12</sup> Such understandings led to the capture of the term “ethos” as the disposition, character, or fundamental values peculiar to a specific person, people, culture, or movement.<sup>13</sup>



For the purposes of this thesis these connotations may be integrated to focus on the characteristic ways in which particular groups (for example families, institutions, organisations, movements, sub-cultures) enact, embody and practice their moral convictions and moral judgements, their sense of what is right and what is wrong. Such moral convictions may be expressed with reference to a range of ethical concepts, including moral visions, virtues, social values, goals and obligations or rules (Conradie and Abrahams, 2006:2).

On this basis, one may describe Leadership Ethos as moral judgements concerning the characteristic way in which leadership is embodied and exercised within particular “influence relationships” (Rost, 1991:102). A key aspect of this definition that needs to

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<sup>9</sup> Refer to [www.bgmm-umc.org/umw/corinthians/glossary.stm](http://www.bgmm-umc.org/umw/corinthians/glossary.stm). Retrieved on?

<sup>10</sup> Refer to [www.wordnetweb.princeton.edu/perl/webwn](http://www.wordnetweb.princeton.edu/perl/webwn) Retrieved on 6 August 2009.

<sup>11</sup> Refer to [www.en.wiktionary.org/wiki/ethos](http://www.en.wiktionary.org/wiki/ethos). Retrieved on 6 August 2009.

<sup>12</sup> Refer to [www.texascollaborative.org/Urban\\_Module/glossary.htm](http://www.texascollaborative.org/Urban_Module/glossary.htm). Retrieved on 6 August 2009.

<sup>13</sup> The American Heritage Dictionary of the English Language, Fourth Edition. Houghton Mifflin Company. 2009.

be addressed is the nature of moral judgements. It is important to recognise that such moral judgements may be exercised in three distinct ways. One may judge something (an act, a person, an institution, a society or a form of leadership) to be moral, immoral or indeed amoral – constituting the moral continuum through which moral duties and responsibilities are fulfilled (Carroll and Buchholtz, 2012). *Morality* is associated with adding value, keeping commitments to stakeholders and society and obeying the laws, whilst *immorality* denotes seeking outcomes that maximise self-interest while avoiding self-harm. However, *amorality* is neither moral nor immoral but implies avoid breaking the law but may act with self-interest rather than society's (Conradie and Abrahams, 2006; Caldwell *et al*, 2015a). In this study, the term “LE” is used to indicate that a particular way of exercising moral leadership is judged to be “moral” and not immoral.

### 3.3 The four attributes of Leadership Ethos

#### 3.3.1 Vision



Vision is associated with the image that represents oneself (this includes organisations and institutions) usually projected in the future (Kouzes and Posner, 2012). Significantly, vision implies “to know” as well as describing the capacity “to see” (Online Dictionary of Etymology, n.d.). Many scholars describe vision as, “attributes of brevity, clarity, abstractness, challenge, future orientation, stability, and desirability, plus vision content relating to employee and customer satisfaction” (Kantabutra and Avery, 2002: 22). Robert Pirsig (1974) explained that the essence of vision was to be in a state of harmony in which the required actions mesh with the context of what is needed to achieve the optimal outcome. When associated with leadership, vision is described as “an imagined or perceived but consistent pattern of communal possibilities to which others can be drawn, and whose values they will wish to share” Morden (1997: 68). A shared vision according Kouzes and Posner (2012) is characterised by the ability to *imagine possible opportunities*. The ability to envision what can be achieved is a capacity to create both a road map to the future and to recognise the conditions that can ultimately be attained (Manasse, 1986). *Finding a common purpose* -- this quality consists of recognising the motivations that bring people together and the needs which a common purpose fulfills (Rost, 1991). *Appealing to common ideals* -- the capacity to appeal to common ideals

includes sensitivity to the values and ethical assumptions which motivate others (Ciulla, 1998, 2003 and 2014). *Animating the vision* – this refers to making possibilities come to life and being able to communicate the potential that is possible, enabling a leader to inspire others as to their highest potential and to create a desire to bring that potential to life (Nanus, 1992). Therefore, vision is understood in terms of what one actually knows and can apply – in addition to what one sees or discerns. This makes vision a powerful leadership virtue which can enable organisations and their employees to achieve their highest potential.

### 3.3.2 Virtues

Virtues are regarded as morals and strength of character to achieve both excellence and improved quality with respect particularly to life (Crossan, *et al.*, 2013). Scholars including Hursthouse (2007) recognise and associate virtues with mindsets, character traits, and dispositions that are key foundations of ethical relationships and that implicitly encompass moral duties owed to others, suggesting that virtuous leaders earn the trust of others (Cameron and Winn, 2012). Furthermore, these mindsets, character traits and dispositions that virtuous leaders possess do not reflect only, in the words of Caldwell *et al.* (2015), “normative values and behaviors worth emulating on an individual level but also demonstrate the ability to achieve instrumental outcomes that contribute to unusually successful organisations” (Caldwell, *et al.*, 2015:5). Therefore, virtues enhance and promote a particular type of behaviour that enables the building of trust in relationships with others.

With respect to leadership, some important virtues identified by scholars including Caldwell *et al.* (2015) include the following:

- *character* -- honesty and integrity are universally recognised as the qualities people consider to be most important in their leaders (Kouzes and Posner, 2011);
- *competence* -- the ability to achieve results, to understand what needs to be done, and how tasks must be accomplished is absolutely necessary in any successful endeavour (Covey, 1991);
- *commitment* -- leaders create commitment from others by demonstrating that they are personally dedicated to the organisation’s success (Senge, 2006);

- *courage* -- organisational efficiency and effectiveness imply differentiating the organisation from “weak” and inappropriate practices and being willing and able to innovate and to redefine excellence (Christensen, 2011);
- *clarity* -- leaders who are not able to communicate what they know to their organisation are in the same position as leaders who lack that knowledge (Simon, 1997) and
- *compassion* -- the ability to show compassion for others and to establish a personal connection with them is a fundamental element of emotional and social intelligence (Boyatzis and McKee, 2005).

### 3.3.3 Values and Obligations

Values are regarded by some scholars as abstract, trans-situational notions of what is good, right, and desirable, and each moral foundation partly comprises an interrelated set of values (Graham *et al.*, 2013). Research evidence, however, suggests that values guide attention and action by encouraging some behaviour while discouraging others (Schwartz, 1992; Verplanken and Holland, 2002). This means that a value-consistent behaviour is a behaviour that reflects a particular set of values (Maio *et al.*, 2009). Fehr *et al* (2015:193) argue that, “the impact of leaders’ moralized actions on follower behaviour depends on the values that the leaders’ actions reflect.” This argument is consistent with the Value Activation Theory (VAT) that underscores the fundamental role of leaders in conveying the potential relevance of a given set of behaviour for the moral self-regard of followers (Verplanken and Holland, 2002). Furthermore, VAT stresses that contextual factors influence the strengthening or weakening of the impact of one’s moral code on behaviour (Torelli and Kaikati, 2009).

In other words, VAT argues that leaders’ actions influence the followers’ reaction in striving to meet their own moral standards, suggesting that values are directly related to people’s behaviour in a way that they shape people’s behaviour. For instance, by promoting commitment through the ways in which leaders demonstrate that they are personally dedicated to the organisation’s success, such an action will speak, influence and oblige the followers to respond. In this case, the followers’ response is more likely to demonstrate behaviour that is consistent with the moral standard set by the leader because leaders occupy a particularly important role in followers’ work environments (Grojean *et*

al, 2004) and hence, can play a key role in activating their followers' moral standards (Lord and Brown, 2004). It is, therefore, an obligation – the responsibility of both leaders and followers in ensuring that values are realised if an organisation aspires to excellence.

### **3.4 The Notion of Leadership**

#### **3.4.1 Leadership approaches: compliance-based vs integrity-based**

From the backdrop of the above, it has become apparent that approaches to leadership can be compliance- or integrity-based. Essentially, compliance-based approaches focus on obeying or following through on rules, regulations and policies out of fear, obligation or respect for authority, without any consideration to the outcome of these policies. Transactional leadership is amongst the types or models of leadership that present such characteristics following its focus on the role of “supervision, organisation, and group performance; transactional leadership is a style of leadership in which the leader promotes compliance of his followers through both rewards and punishments” (Odumeru and Ifeanyi, 2013: 358). In other words, leaders here are concerned with processes rather than forward-thinking ideas and this may also represent a bureaucratic style of leadership spelling strong hierarchical structure, superior-subordinate relationships to mention but a few – the basis upon which many oppressive regimes managed to sustain itself (apartheid South Africa, is but one example). On the other hand, integrity-based approaches promote attributes presented in the aforementioned discussion on values, virtues, vision and obligations. Integrity-based approaches are associated with and identified in models or styles of leadership including charismatic, transformational, servant, Level 5 leadership, principle-centered and covenantal to mention but a few.

Many scholars consider charismatic leadership as a type of leadership that is dynamic, relationship-based, and focused on achieving a calling, a mission, or a noble goal for society in the quest to make a better world. This suggests that charismatic leaders are frequently regarded as visionary in their view of the future and are advocates of a highly moral purpose (Conger and Kanungo, 1998; Odumeru and Ifeanyi, 2013; Hwang *et al.*, 2015; Sandberg and Moreman, 2015). Within the context of this study, charismatic leadership is associated with integrity-based approaches because charismatic leaders

inspire others to transcend their own self-interests in the pursuit of a higher purpose (Brown and Trevino, 2006; Horn *et al.*, 2015; Gebert *et al.*, 2016).

Transformational leadership is viewed by many scholars as pointing to the utmost important need of constant improvement of organisations and individuals. This suggests that this type of leadership combines what is referred to as “synergistic duties” owed to individuals and to their organisations, which help in motivating followers to pursue their own development while working for the goals of their organisation (Burns, 1978, 2010; Moynihan, *et al.*, 2012; Odumeru and Ifeanyi, 2013; McCleskey, 2014). In this view, within the context of this study, transformational leadership is associated with integrity-based approaches because transformational leaders pursue organisational excellence while honouring duties to employees to keep them informed, provide them with the resources to achieve individual goals, and seek their highest potential (Moon, 2017).

Servant leadership is widely acknowledged as a type of leadership whereby leaders, regarded as servants, pursue the needs, desires, interests, and welfare of others above personal self-interest (Block, 2013). This suggests that servant leadership is based upon the assumption that leaders owe a primary obligation and a debt to those whom they lead and serve. In this view, based on the context of this study, servant leadership resonates with integrity-based approaches in a way that as a responsible steward committed to helping others to achieve their goals, the servant leader honours duties owed to individuals, the organisation, and to society (Savage-Austin and Honeycutt 2011; Caldwell, 2017).

Level 5 leadership refers to a type of leadership that stresses and combines personal humility with the “fierce resolve” to achieve previously unachieved organisational outcomes (Collins and Porras, 1994; Collins, 2001; Caldwell, 2017). The findings of Collins’ research on how to go from good to great in an organisational set up, suggest that all the organisations that rose from good to great were led by humble chief executive officers (CEOs) who were driven by the utmost desire to maintain and sustain the organisational success (Collins, 2005). This implies that leaders who associate themselves with this type of leadership are typically low-profile individuals who shun the spotlight and give credit to others for success (Reid *et al.*, 2014). In this view, Level 5 leadership resonates with integrity-based approaches in a way that giving others credit for success



acknowledges that cooperative efforts through professional will and personal humility are key to organisational success (Reid *et al.*, 2014; Caldwell and Hayes, 2016; Caldwell, 2017).

A good number of scholars believe that principle-centered leadership is a values-based and principle-centered perspective that views leadership that combines high ideals with an obligation to create a productive and moral society (Covey, 1999, 2005; Lindsey and Pate, 2006). Following the context of this study, principle-centered leadership resonates with integrity-based approaches in a way that the ethical responsibility of principle-centered leaders is to incorporate correct principles in one's dealings with others and incorporate a virtue-based ethical foundation based upon such principles (Brady, 1999; Lindsey and Pate, 2006; Caldwell, 2017). In this respect, a virtue-based ethical foundation is the distinguishing feature of a principle-centered leadership from compliance-based approaches to leadership, for it is subjective as the identification of "correct principles" is influenced by many variables in the social, economic and political environments.

A leader within the covenantal leadership is regarded as a teacher, a servant leader, a personal example, the empowerer of others, and the creator of new meanings (Pava, 2003; Caldwell and Hasan 2016; Mintzberg and Caldwell, 2017). This suggests that a covenantal leader's focus on creating new meaning involves the entire organisation in the pursuit of truth and knowledge and is a key to the creativity and synergy which generate innovation in the modern organisation (Xu *et al.*, 2015; Christensen, 2016). In this respect, within the context of this study, covenantal leadership resonates with integrity-based approaches in a way that covenantal leadership advocates that it is through increased understanding and greater insight that people benefit themselves, society, and the organisations in which they work.

The aforementioned models of leadership – charismatic, transformational, servant, Level 5 leadership, principle-centered and covenantal are consistent with the attributes of Leadership Ethos. These attributes, vision, virtues, values and obligation, aim to promote integrity-based approaches to leadership and management underscoring "moral leadership that helps public servants to build good character and thus the will to do the right thing" (Stevulak and Brown, 2011: 103). For this, leaders should inspire others to transcend their own self-interests in the pursuit of a higher purpose, pursue organisational

excellence while honouring duties to employees to keep them informed, provide them with the resources to achieve individual goals, and seek their highest potential. Leaders should honour duties owed to individuals, the organisation, and to society, acknowledge that cooperative efforts through professional will and personal humility are key to organisational success. Additionally, leaders should incorporate correct principles in their dealings with others and incorporate a virtue-based ethical foundation based upon such principles. Leaders should advocate for the increased understanding and greater insight that help people benefit themselves, the society, and the organisations in which they work.

Fundamentally, the above-mentioned notions associated with leadership transpire to be the results of the development of the various theories associated with leadership along the years. In this respect, given the context of the study, it will be appropriate to briefly revisit such a development with the view of understanding the ways in which notions associated with leadership have evolved over the years.

### **3.4.2 The development of leadership theories: The classic concepts of leadership**



The literature suggests that the term “leadership” was coined and used for the first time in the 17<sup>th</sup> century (Stogdill, 1974; Bass, 1985; Badshah, 2012) and it is associated with Samuel Johnson (1755) who suggested that to lead was “to guide by hand; to conduct as head or commander; to introduce by going first, to guide, to induce; to prevail on by pleasing motives” (cf. Rost, 1991). Following on Johnson’s suggestions, Perry (1805) included the notion of “exercising dominion”, while Richardson (1844) added “following” and “persuading” in his understanding of leadership. However, it is understood that a formal definition of the concept of “leadership” was first offered in the *Century Dictionary* (1889-1911) - “the office of a leader; guidance; control” and the *Universal Dictionary of the English Language* (Hunter & Morris, 1898) - “the office and position of a leader; guidance; premiership”. The *New English Dictionary based on Historical Principles* (1908) defined leadership as “the ability to lead” – which was used by all subsequent twentieth century lexicographers.

Moreover, these definitions did not prevent practitioners and scholars from attaching different connotations to the notion of leadership. Back in the first three decades of the twentieth century leadership was understood as “the ability to impress the will of the leader on those led and induce obedience, respect, loyalty, and cooperation” (Moore, 1927). The control and centralization of power is thus emphasised in such concepts of leadership. This understanding led leadership scholars from the 1930s and late 1970s to understand and define leadership in terms of the following concepts: “Do the leaders’ wish”, “achieving group or organisational goals”, “management”, “the ability to influence”, “character traits”. These concepts were largely held by social psychologists and managerial theorists’ (Rost, 1991:68-95). Within the context of this study, these concepts and theories on leadership resonate with the compliance-based approaches to leadership.

In his classic summary of leadership, Burns (1978:1) blamed what he calls “the mediocrity” and “irresponsibility” of men and women in positions of power, which he suggested led to a crisis of leadership. This mediocrity and irresponsibility implied the importance of morality in leadership. Burns (1978: 425) conceptualised leadership as “the reciprocal process of mobilizing by persons with certain motives and values, various economic, political and other resources, in a context of competition and conflict, in order to realise goals independently or mutually held by both leaders and followers” (1978:425). This definition is the breakthrough, emphasising the connection between leadership practices and morality – introducing transformational leadership. In fact, Burns acceded that the question of morality in leadership was not new. In that respect, he (1978:3) argued that, “Long before today’s calls for moral leadership and ‘profiles in courage’, Confucian thinkers were examining the concept of leadership in moral teaching and by example”. To support his argument, Burns stressed the following: “Long before Gandhi, Christian thinkers were preaching non-violence”. All these unfortunately, did not establish a school of leadership for the purpose of setting standards from which potential leaders in the past, present and future would be assessed and measured. By drawing a connection between leadership and morality, Burns’ contribution is fundamental within the context of this study, for setting the tone and the basis for reflection and debate on the nature of such morality in leadership practices by subsequent scholars.

Building on Burns' definition, Rost (1991) suggested that "leadership is an influence relationship among leaders and followers who intend real changes that reflect their mutual purposes" (Rost, 1991:102). This definition suggests that leadership is a multi-directional and non-coercive relationship between leaders and followers. Within this relationship, influence is exerted by leaders in order to achieve specified organisational purposes that the leaders and followers have in common. Both Burns and Rost implicitly suggest that leadership is ethically-based. Although achieving the organisational purposes, it does not necessarily suggest that leadership is ethical (i.e apartheid and colonialism). Leadership exercised and practiced following ethical-based principles does naturally lead to the realisation of organisational purposes (Ciulla, 1998, 2003 and 2014) because of the multi-directional and non-coercive characteristics of the relationship between leaders and followers – implying the use of power with followers instead of the use of power over followers. It is this implicit assumption about a leader's obligation to exercise "power with," rather than "power over" others that Mary Parker Follett suggested was the key to effective organisational relationships (Graham *et al*, 2013). It is this ethical perspective about the relationship between leaders and followers that forms the basis of the LE which leaders owe to followers (cf. Caldwell, 2012). Following the context of this study, such concepts and theories on leadership promote the integrity-based approaches to leadership. It would be interesting to know to what extent such concepts and theories have gone in terms of practice beyond their places of origin – "Western" with a specific reference to Africa.

Notwithstanding the benefits inherent in the integrity-based approaches to leadership, an emerging generation of African scholars has called for caution in defining the concepts of leadership and management as practiced around the world (Nkomo, 2011). For these scholars, a "Western" view of leadership has dominated scholarly leadership thought and has imposed notions about leadership and management that are biased and not inclusive of other life experiences – African in this instance. They argue that Western concepts of leadership and management disregard and undermine African life experiences, which they argue contribute positively in shaping best practices about both leadership and management.

### 3.4.3 An Afrocentric perspective of Leadership

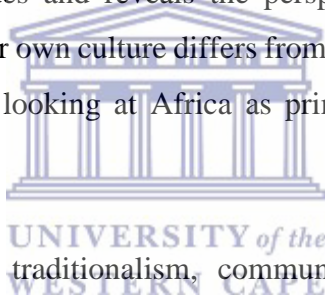
African management development focuses on the need to develop capable leadership and management and emphasises the leader's moral obligation to serve others (Safavi, 1981; Kiggundu, 1991; Waiguchu, Tiagha and Mwaura, 1999 *apud* Nkomo, 2011). This body of literature emerged as an attempt to respond to issues related to leadership and management in Africa, which are often characterised as ineffective and deficient. However, in their analysis of African leadership as an approach to working with others, those who critiqued "Western" leadership often fell into the trap of imposing Western ideas and approaches to African leadership and management. This Western lens focused on the legacy of colonialism in the underdevelopment of managerial talent in Africa. Furthermore, the use of Western assumptions about leadership as benchmarks by which to evaluate African leadership and management became problematic because of what Nkomo (2011) referred to as "the inappropriate" fit between African contexts and those Western biases about what constituted effective management and administration.

Leadership and management literature traditionally has suggested that leadership theories emanate primarily from the United States (US) by American scholars and that American perspectives have thereby come to be considered as "universal" principles that apply in every context (House and Aditya, 1997). However, African scholars have argued that such "universal" theories of leadership and management may not necessarily apply nor be successful beyond the US boundaries because of unique differences in national culture (Nkomo, 2011).

National culture is widely understood as, "the collective programming of the mind which distinguishes one group or category of people in a nation from another" (Hofstede, 1993:89). Hofstede (1993) explained that each group or category of people have distinguished ways of thinking leading to different ways of understanding values and practicing beliefs which comprise their own culture – suggesting that there cannot be "universal" leadership theories and management practices because of the uniqueness of the underlying cultures associated with each group of people. In the context of Africa, a fundamental problem associated with leadership and management lies in what scholars refer to as the "homogenization" of the diversity of cultures within the many African countries across the entire continent (House *et al.*, 2004). African culture presents a sense

of high power distance; it values collectivism and avoids uncertainty while showing a strong humane orientation. In other words, African culture promotes unity in diversity, implying unity as a people but diversity in beliefs and practices (Nkomo, 2011).

African scholars argue that the high control, top-down approach to organisational governance associated with Western leadership and management is inadequate when applied to the African context. Both African and Western scholars suggest that this Western approach is incompatible with the African reality because the African culture is much less individualistic, far less control-oriented, and more informal in its cultural, political, economic and social context (Blunt and Jones, 1997; Jackson, 2004). The Western leadership approach has been described by Mbigi (2005: v) as “narrow, arrogant, empty, (reflecting the) materialistic values of hamburger and cocaine.” Although Mbigi’s critique of Western thinking is harsh, it typifies both the defensiveness of many African scholars about their own values and reveals the perspective that African academics perceive that the context of their own culture differs from the Western context – implying that, the stereotypical way of looking at Africa as primitive must be challenged and strongly rejected.



In Africa, concepts such as traditionalism, communalism, cooperative teamwork, mythology, the belief that an individual’s relationship to nature, to supernatural beings and to ancestors are critical and influential in the understanding and practice of leadership (Blunt and Jones, 1997; Mbigi, 1997; Anyansi-Archibong, 2001; Edoho, 2001; Mangaliso, 2001; Ngambi, 2004; Nkomo, 2011). This African perspective impacts the leadership assumptions that apply in the African context. In the context of this study, the leadership perspective organic to Africa is regarded as a third paradigm of leadership. Of particular interest, are the perspectives of two authors. The perspective of Burns (1978:425), presents leadership as “the reciprocal process of mobilizing by persons with certain motives and values, various economic, political and other resources, in a context of competition and conflict, in order to realise goals independently or mutually held by both leaders and followers”. Rost (1991:102) opined that “leadership is an influence relationship among leaders and followers who intend real changes that reflect their mutual purposes.” These two perspectives represent the “Western” understanding of leadership. A close reading of both Burns and Rost suggests that there is emphasis on, especially four attributes embedded in leadership:

- (1) the mutuality of trust implied in this notion of relationships;
- (2) the consent implied in the notion of “followers”, while recognising a certain inequality in the relationship;
- (3) the goal-oriented instrumental emphasis on effectiveness in reaching intended aims;
- and
- (4) the participatory process required to identify common purposes.

These same four attributes also are part of the Afrocentric perspective of leadership. They are particularly a part of the African emphasis on communalism and co-operative teamwork. This commonality in attributes suggests that there is a connection between the “Western” and African concepts of leadership. The four attributes collectively constitute Critical Success Factors (CSFs) that have profound moral and ethical implications and that are major elements of the Leadership Ethos (LE).

### **3.5 Critical Success Factors of Leadership Ethos**

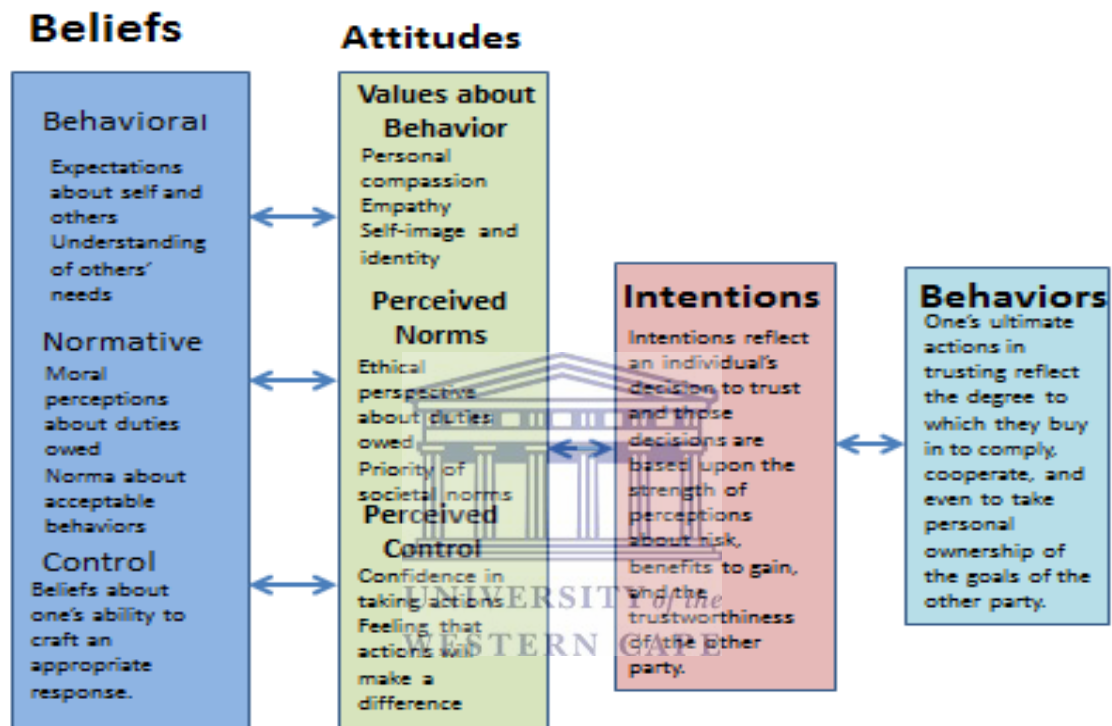
#### **3.5.1 Critical Success Factor 1 – Mutually Trusting Relationship (MTR)**

Trust in any organisational relationship is regarded as a defining factor of success or failure, as scholarly debates over the past decades suggest (Hosmer, 1995; Reina and Reina 2015). Despite the fact that the importance of trust has been acknowledged in leadership relationships (Covey, 2004), there are huge indications that leaders and organisations are not frequently trusted and usually perceived as not worthy of such trust (Barney and Hansen, 1994; Robbins, 2016). In the public sector particularly, governments and elected officials have suffered by extensive public criticism and profound distrust (Stevenson and Wolfers, 2011; Jamil and Askvik, 2016; Esau 2016).

However, according to the Theory of Reasoned Action (see Figure 2 below), trust behaviour is associated with one’s cognitive beliefs, affective attitudes and emotions, conative intentions to act, and actual actions and behaviours, implying that trust behaviour is the result of beliefs, attitudes and intentions (Fishbein and Ajzen, 2010). Therefore, trusting cooperative behaviour adds value, creates organisational wealth, increases innovation, improves customer service, and enhances the ability of organisations to be effective and efficient (Pfeffer, 1998; Covey, 2004), and can be an essential requirement

in establishing the organisational effectiveness and efficiency (Block, 2013; Caldwell and Floyd, 2014). Trust is widely recognised as a facilitator of organisational cooperation, an enhancer of efficiency, and a key to increased performance and satisfactory results (Caldwell, 2012). Therefore establishing a mutually trusting relationship is an ethical and moral duty and obligation in leadership relationships.

**Figure 2: Theory of Reasoned Action Related to Trust**



Source: Fishbein and Ajzen (2010)

### 3.5.2 Critical Success Factor 2 – Recognition of Power Dynamics in the Relationship (RPDR)

When cooperative trust is established in a leadership relationship, both leaders and followers recognise each other's roles. Within the organisational environment, Hollensbe (2014) argues the following:

Businesses not only produce goods and services, they produce people. Employees are affected by their work environments and the business culture that forms them. Organisations are learning environments where good behaviors can be practiced and character formed. Therefore, the way in which business leaders describe the purpose of the business, and the commitment and the dedication they inspire in their people, can have a great effect on the wider sense that those people have of their responsibility (Hollensbe,



2014).

Consistent with this point, research findings suggest that organisational leaders who treat employees as valued and respected “you” rather than as fungible or interchangeable “it” see those employees respond with greater commitment and higher performance, recognising their place and role in the leadership relationship (Buber and Smith, 2011). Caldwell (2014) explains that beneficence, meaning treating others with a commitment to their welfare, growth, and wholeness, is the action step of benevolent intention and demonstrates to followers that they are valued partners. Hayes (2015) suggests that leaders who treated employees with genuine caring will see those employees act as stewards of the organisation’s best interests and dedicated participants in creating long-term value. The recognition of power dynamics in leadership relationship enables leaders and followers to understand their roles and to exercise them with care while upholding the organisational values. Although the responsibility of honouring those values is shared, leaders are particularly critical to establishing a culture of organisational trust. Therefore recognising power dynamics is an ethical and moral duty and obligation in leadership relationships.



### **3.5.3 Critical Success Factor 3 – Effectiveness in Reaching the Objectives (ERO)**

Research evidence suggests that leaders with character, influence followers based upon “a shared sense of what is important, what is worth doing well and expending energy on” (Homrig, 2001). For organisations and their leaders to be worthy of the trust, commitment, dedication, and extra-role performance of their employees there are four key factors that enable those leaders to build employee trust and empower organisations to excel. These four key factors are the ethically-based qualities of caring, character, competence, and capacity (Mayer, 1995; Pfeffer, 1998; Cameron, 2011; Hayes, 2015).

Competence or ability constitutes a grouping of knowledge, skills, and characteristics that make it possible for an individual to have influence within a given domain or area of expertise (Mayer, 1995). This suggests that the knowledge to succeed in a specific service area within an organisation requires a thorough understanding of all stakeholders, and the supply chain necessary to deliver services that enable an organisation to achieve its

purposes efficiently and effectively. In this view, there is an ongoing need to seek knowledge, empower others, and create new insights as a “covenantal” duty of leaders and an ethical obligation (Pava, 2003). Therefore competence and ability enable leaders to establish the leadership relationships of trust by “modelling the way” for employees and demonstrate that leaders understand the work to be performed by others in achieving the goals of their organisation and providing value for customers (Kouzes and Posner, 2011; 2012). Therefore showing effectiveness in reaching the objective is an ethical and moral duty and obligation in leadership relationships.

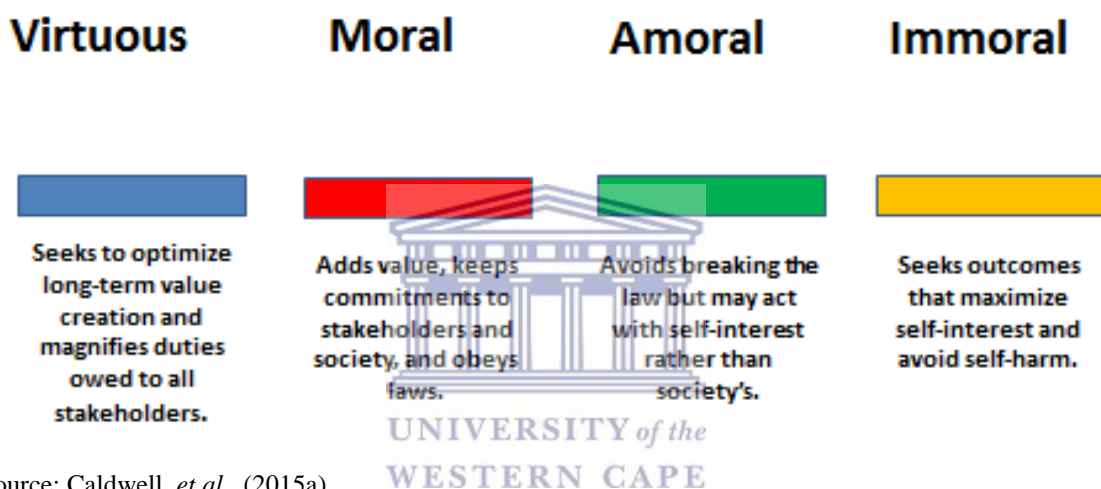
#### **3.5.4 Critical Success Factor 4 – Participatory Leadership (PL)**

Following repeated calls from Christensen (2012, 2013, and 2016) for engaging employees at all organisational levels to achieve and sustain organisational efficiency and effectiveness in today’s fast evolving work environment, many scholars and practitioners responded by suggesting that institutions and organisations that successfully create a culture of engagement, recognise that doing so requires aligned programmes, practices, policies, and systems (Pfeffer, 1998; Caldwell *et al* 2015b). In this view, Smith *et al.*, (2016) explored the critical importance of creating a culture of engagement and clarifying key roles of the top management team, the human resources staff, individual supervisors, and non-supervisory colleagues in creating that culture. From the backdrop of the above, it is more and more evident that caring leaders recognise the importance of getting the followers involved in the processes by “encouraging the heart,” one of five key leadership practices identified by Kouzes and Posner (2012). In order to engage employees, such leaders treat them with compassion and their leadership behaviour resonates with them (McKee, 2008).

Leaders should view their relationships with employees as a sacred responsibility (DePree, 2004) and their motivation is inspired by an ethic of care that places people and their welfare as their major moral responsibility (Gilligan, 1998). As Covey (2006) has noted, caring leaders love others unconditionally and care deeply about their success. In this way, followers will be encouraged to participate in the organisation’s processes with a view to guaranteeing success of the organisation. Therefore, demonstrating participatory leadership is an ethical and moral duty and obligation in leadership relationships.

As such, these CSFs play a significant role in helping leaders identify with the virtuous and moral continuum through which they fulfil their ethical and moral duties and responsibilities. The moral continuum, in the words of Carroll and Buchholtz, “reflects the nature of each leader’s moral perspective as that leader relates with others, as he or she translates that perspective into organisational systems, processes, policies, and practices” (Carroll and Buchholtz, 2012 *apud* Caldwell *et al.*, 2015a:2). This is illustrated in the diagram below.

**Figure 3: Virtuous Continuum**



Source: Caldwell, *et al.*, (2015a)

By establishing a mutually trusting relationship (MTR), by recognising power dynamics in the leadership relationship (RPDR), by showing effectiveness in reaching the objectives (ERO), and by demonstrating participatory leadership (PL), is a way of making the best world possible and treat others as ends, not means (Virtuous). It is a way of treating others with respect and creating value while doing no harm (Moral). It is a way of pursuing the welfare of the organisation and institution and avoiding doing that which is illegal (Amoral) as opposed to pursuing self-interest with guile and taking advantage of opportunities (Immoral) (Caldwell, *et al.*, 2015a). This is how and why the four presented CSFs are ethical and moral duties.

### 3.6 Chapter Summary

The purpose of this chapter was to present the theoretical framework of this study defined within the context of compliance-based and integrity-based approaches to leadership particularly, and critically discuss the various concepts of leadership. It emerged from the discussion that while on the one hand compliance-based approaches focus on obeying or following through on rules, regulations and policies out of fear, obligation or respect for authority, without any consideration to the outcome of these policies, integrity-based approaches on the other hand resonate with attributes associated with LE – vision, virtues, values and obligations. Integrity-based approaches are associated and identified in models or styles of leadership including charismatic, transformational, servant, Level 5 leadership, principle-centered and covenantal, which underscore “moral leadership that helps public servants to build good character and thus the will to do the right thing” (Stevulak and Brown, 2011: 103). This is the essence of LE.

Leadership theories introduced by Western scholars were scrutinised from an Afrocentric perspective with a view of extracting the attributes and traits that collectively comprise CSFs so key to the purpose of this study. It has emerged that the African paradigm is distinct but also similar, taking into consideration peculiar culture, practices and traditions. In the traditional African context, leadership was exercised almost exclusively within communal structures. By contrast, the processes associated with Western forms of industrialisation and urbanisation have led to a differentiation of social structures within which leadership is exercised. This prompted an understanding of leadership where the focus is on the character and capacities of the leader as an individual person (Shutte 2006) to drive people and procedures (resources) towards achieving well-defined objectives within an organisation. Such a notion of leadership has become deeply entrenched in the African context due to the impact of “Westernisation”. This suggests that many African leaders find it difficult to separate themselves from the traditional concept of leadership, yet they must exercise such leadership within an industrialised pluralistic society when dealing particularly with public affairs. This peculiarity, however, does not prevent identifying what is shared in common as far as the understanding and practice of leadership between the African and “Western” worldviews is concerned.

It is against the backdrop, that the next chapter probes the role of LE in public management particularly and its influence on the ways in which public policies are implemented insofar as social transformation is concerned.



**CHAPTER FOUR**  
**A CONCEPTUAL FRAMEWORK FOR UNDERSTANDING LEADERSHIP**  
**ETHOS (LE)**

**4.1 Introduction**

This chapter focuses on different approaches to inculcate certain values, virtues and principles into the organisation, through a discussion on organisational development and culturally oriented strategic management as pointing to LE. The primary objective of the chapter is to illustrate how public administration reforms have a new focus on leadership, LE and culture – suggesting that there is a shift in culture. Reforms such as the new public management, public value and new public governance, amongst others, emphasise an organisational culture that is more flexible, cognisant of the human factor and open to the ordinary citizen. Moreover, it suggests a leadership paradigm different to that which falls within compliance-based approaches. With its focus on public participation, administrative discretion, decentralisation, etc., integrity-based approaches of leadership are becoming more important for efficient and effective organisational functioning. In this context, the chapter is organised into two sections. The first section focuses on public administration reforms with the view to illustrate how reforms speak to integrity-based approaches that emphasise attention to vision, values and virtues. The second section focuses on organisational development and culturally oriented strategic management for underscoring the need to invest in organic structures and humanistic strategies as a means to achieve organisational efficiency and effectiveness, which spells the objective of LE.

**4.2 Public administration reform: A context for Leadership Ethos**

Debates on public management reforms over the past few decades have attracted much scholarly interest (World Bank, 1989, 1992; Butcher and Massey, 2003; Martin, 2003; UNECA<sup>14</sup>, 2003; Pollitt and Bouckaert, 2004; Lynn Jr., 2006; Van Dooren, 2010; Silvestre and Araújo, 2013) in the hope of enhancing the efficiencies and effectiveness of

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<sup>14</sup> The United Nations Economic Commission for Africa (UNECA) produced a paper entitled *Public Sector Management Reforms in Africa* following an Ad-Hoc Expert Group Meeting (AEGM) on Public Sector Management Reforms in Africa held from 28 to 29 May 2003. The purpose was to review the status of public sector reforms being undertaken in Africa, and to identify successful experiences, and best practices in African public sector management reforms.

public sector organisations around the world. Research suggests that the management and implementation of public policies are enabled by factors including durable government structures, democratic conventions, practices and beliefs (Lynn Jr., 2006). However, it is also argued that the implementation of such practices, beliefs and structures should be considered within the institutional context and circumstances of a specific country or region (Lynn Jr., 2006:x), therefore cautioning against the blind importation of practices, processes and systems from one context to another. Nonetheless, scholarly debates illustrate the emphasis on changing the structure, systems and processes of public sector organisations so that organisational efficiencies and effectiveness are enhanced. Moreover, it refers to a changed approach and perception of the civil servant to service delivery and the ordinary citizen. Hood (1991) illustrates the effect of changed administrative values on the way in which the public servant performs his/her roles, duties and functions. He distinguishes three types or clusters of administrative values, namely (1) the sigma-type values, (2) the theta-type values and (3) the lambda-type values.

The sigma-type values, also referred to as product values (Dooren, 2010) are associated with frugality as opposed to waste, which means the matching of the resources to defined tasks (Hood, 1991). As a result, the effective and efficient manner of production of high-quality goods and services define what is referred to as “good value” (Dooren, 2010). The theta-type values, also regarded as process values (Dooren, 2010) are associated with rectitude as opposed to malversation, implying achievement of fairness, mutuality, and the proper discharge of duties. In other words, keeping the government fair and honest (Hood, 1991). Government is urged to promote and pursue these values by preventing distortion, inequity, bias and abuse of office. As such, the values are institutionalised in appeal mechanisms, public reporting requirements and ethical codes. In this respect, open and honest processes define what is referred to as “good value” (Dooren, 2010).

The lambda-type values, also known as regime values (Dooren, 2010) are associated with resilience as opposed to catastrophe, which denotes achievement of reliability, adaptability, and robustness. In other words, the ability of government to keep operating and adapting even in conditions that could be regarded as adverse in the middle of a crisis (Hood, 1991). In this respect, the assurance of strong regimes to recuperate from crisis

and adverse conditions defines what is referred to as “good value” (Dooren, 2010).

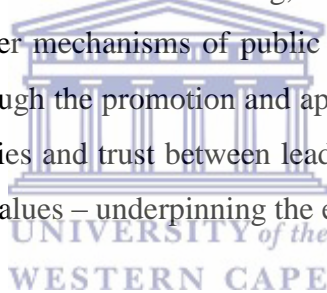
These administrative values influence organisational efficiencies and effectiveness in various ways. The sigma-type values, for instance, emphasise the matching of resources to outcomes. This underlines the focus that must be placed on setting clear objectives (predetermined objectives) and aligning resources with the view of achieving these objectives. In other words, the organisational efficiency and effectiveness is the result of aligned resources with clearly defined objectives. This is facilitated by fairness and honesty with the ways in which processes are defined and executed – the theta-type values. This is unlike administrative bureaucratic processes understood within the context defined by Weber (1978). These administrative bureaucratic processes underline a concept of the working of a machine, which should be set up and ready to go following a set of previously defined processes and procedures. This, regardless of value associated principles, which are perceived to be of little relevance as long as the objectives are realised. This pertains to public administration practices during apartheid and colonialism in South Africa and the DRC respectively, discussed earlier. This implies that individuals – public managers in this case, performing the tasks are regarded as cogs in the machine with no personality or interests. It suggests that such individuals cannot be creative while performing the tasks, therefore they cannot be held accountable “except to the degree that they carry out their proper function according to the rules and processes of the organisation” (Dowding 1995:12).

Such practices, within the context of this study, promote what is regarded as compliance-based approaches to leadership and management. It is therefore difficult to identify and associate such bureaucratic-associated practices with the theta-type values for being inconsistent with what the theta-type values put emphasis on, namely fairness and honesty, in particular, contributing to organisational efficiency and effectiveness in this way.

New Public Management (NPM) emerged as a “new” approach and concept to public management (Brewer and Kellough, 2016). It challenged the then established ideas and theories associated with public administration that suggested that “public services should be organised according to bureaucratic principles and delivered through a career bureaucracy serving governments of any political persuasion” (Butcher and Massey,



2003:1). Public services should consider its principles, namely the break-up of traditional structures into quasi-autonomous units, hands-on professional management with a clear statement of goals and performance measurement, stress results and output control rather than procedures, using private sector management style, check resources demand and “do more with less” (Hood, 1994; Pollitt and Bouckaert, 2011; Brewer and Kellough, 2016). By searching to promote such value-associated principles, NPM appears to present a dimension that is consistent with Hood’s (1991) three types or clusters of administrative values discussed above. For instance, the checking of resources demand and the principles of “do more with less” appear to be promoting the sigma-type values. These values emphasise the matching of resources to outcomes while the principles associated with the breaking-up of traditional structures into quasi-autonomous units appear to be promoting the theta-type values, which emphasise fairness and honesty in the processes through the use of individual moral ability and capability. In other words, features of the NPM approach such as decentralisation of decision-making, empowerment, focus on customer satisfaction, promotion of better mechanisms of public accountability and institutional development are achieved through the promotion and application of these values. In the process, this calls for capabilities and trust between leaders and followers to enable the process of promotion of such values – underpinning the essence of LE (Esau, 2016).



The discussion on the nature and types of administrative reforms also touches on public values for promoting and emphasising the point about a different kind of leadership, one that applies thought to the needs of ordinary citizens, one that is guided by right versus wrong (as reflected through democratic ideals and principles). In this respect, public values are understood as “those providing normative consensus about the rights, benefits, and prerogatives to which citizens should (and should not) be entitled; the obligations of citizens to society, the state, and one another; and the principles on which governments and policies should be based” (Bozeman, 2007: 13).

It has to be noted, however, that while the sigma-type, theta-type and lambda-type values refer to values that govern how administrative institutions and departments should execute their roles and functions, public values theory refers to the way in which government facilitates cooperation and partnership with various stakeholders in the pursuit of introducing public policies that are more responsive to the needs of the citizens. Essentially, public value is an approach that relies on the participation and engagement

of all key stakeholders in the public policy making process (Moore, 2013). For such engagement to be successful however, trust amongst the partners is fundamental (Hosmer, 1995; Reina and Reina, 2015; Esau, 2016). Ordinary citizens have to trust government, civil servants, and the private sector, before they decide to participate in decision-making processes (Block, 2013; Caldwell and Floyd, 2014; Jamil and Askvik, 2016). They also need to feel that they will be afforded the opportunity to contribute in a meaningful way. Trust is one of the CSFs that is identified in this study as key to successful policy implementation, underpinning the essence of LE.

Quintessentially, debates on public administration reforms focus on the structure, practices, institutions and values of management (Gruening, 2001; Pollitt and Bouckaert, 2011; Brewer and Kellough, 2016). In this respect, research evidence suggests that years prior to the 1970s the thinking in management was dominated by a rational or mechanistic approach underscoring a strong bias towards the rewarding of organisational leaders and followers based on documented results, as demonstrated in various management theories. Some of these theories include management by objectives (Drucker, 1954; Sherwood and Page, 1976), techniques of performance measurement and accounting (Henry, 1990), public sector marketing (Kotler, 1975) and rational, strategic management (Wechsler and Backoff, 1986). However, the scientific revelations based on empirical studies by Peters and Waterman (1982), particularly claiming that the best and most successful companies in the US (considered as a case study) did not make use of a rational management style. Instead, they resorted to using organic structures, humanistic strategies, and a thick culture to lead their employees. That was a major turning point in public management thinking as demonstrated already through organisational development (Golembiewski, 1969), total quality management (Milakovich, 1991; Swiss, 1992) or culturally oriented strategic management in which mission statements are used for leadership purposes (Moore, 1995).

#### **4.3 Organisational Development (OD) and Leadership Ethos (LE)**

In light of the previous discussion on public administration reforms, the purpose of this section is to illustrate how LE as an approach to leadership has a sound basis and is rooted

in management theories, including that of organisational development (OD).

Herbert J. Clark is amongst scholars who understand OD as an “educational process designed to change the character or ‘culture’ of an organisation and to improve organisational performance” (Clark, 1989:1). The theory is believed to have emerged in the 1950s with a view of applying some of the most important values and insights of behavioural scholars (Eberspacher, 1973). French and Bell (1973:14) define OD as:

... a long-range effort to improve an organisation's problem-solving and renewal processes, particularly through a more effective and collaborative management of organisation culture -- with special emphasis on the culture of formal work teams -- with the assistance of a change agent, or catalyst, and the use of the theory and technology of applied behavioral science, including action research.

This definition highlights what is regarded as fundamental particularly within the context of this study – a planned long-term effort to change the managerial behaviour and performance of an organisation. In other words, this is a planned process of cultural change, which touches on (1) the system of belief and values of the organisation, (2) the integration of both the individual and organisational objectives and (3) the improvement of the organisation's problem solving and renewal capabilities (Clark, 1989). Although all three are equally important, particular attention is given to the first two, considering the scope of this study.

With regard to the system of belief and values of the organisation, it is universally recognised and acknowledged that an organisational belief system embodies the myths, values, and ideologies of the organisation, suggesting that beliefs, values and norms within an organisation are a part of what is commonly referred to as organisational culture (Schein, 1985; Shafritz *et al.*, 2005). To this end, the beliefs (and values and assumptions) play a significant role in shaping behaviours while at the same time helping individuals understand the organisation (Shafritz *et al.*, 2005). Unfortunately, in most cases, they are taken for granted for being abstract (invisible). In this regard, Senge (2006: 285) notes, “while these taken-for-granted ways of seeing the world (beliefs) are often invisible to those who hold them, they shape organisational practices, guide how people do things, and, in turn, determine what skills and capabilities people develop based on those organisational practices.” The system of belief and values of the organisation aim at promoting commitment at a personal level within an organisation as it is widely

acknowledged that the highest level of commitment to an organisation comes from a person who is clear about both personal and organisational values. The lowest level of commitment comes from people who have high clarity about organisational values but low clarity about personal values (Kouzes and Posner, 2002), certainly because of the importance and impact of values in shaping people's personality portrayed through their behaviours (Hatch, 2006). To this end the influence of values in shaping people's behaviours is fundamental in securing and promoting a sound organisational culture, for values guide people's behaviour, empower people's decision-making, motivate people, and keep people focused (Kouzes and Posner, 2002; Holman *et al.*, 2007; Stacey, 2007). Values are believed to be social principles, goals and standards that cultural members believe have intrinsic worth (Hatch, 2006), and are understood as beliefs about what is desirable or "good" (e.g. honesty) and what is not desirable or "bad" (e.g. dishonesty) (Krech *et al.*, 1962; French and Bell, 1999). Values influence every aspect of people's lives: their moral judgements, their responses to others, their commitments to personal and organisation goals; values set the parameters for the hundreds of decisions that people make every day (Kouzes and Posner, 2002). This is consistent with the principles and the core business of LE as discussed earlier, suggesting that LE, amongst other things, intends to promote a system of beliefs and values of the organisation aiming at securing organisational efficiency and effectiveness.

With regard to the integration of both the individual and organisational objectives, organisational theorists including Roethlisberger and Dickson (1939) argue the following:

. . . management has two major functions: (1) the function of securing the common economic purpose of the total enterprise, and (2) the function of maintaining the equilibrium of the social organisation so that individuals through contributing their service to this common purpose obtain personal satisfactions that make them willing to cooperate (Roethlisberger and Dickson, 1939: 569).

Fundamentally, this is a theory of organisations as cooperative systems underscoring two distinct issues, namely that of providing for both "effectiveness" – attaining the objective or purpose of the cooperative system, and "efficiency" – satisfying the individual motives of the persons participating in the system (Barnard, 1938: 33 – 34). This has raised debates amongst scholars on how people can work together with a view of integrating and simultaneously satisfying their needs and the objectives of the organisation in which they

find themselves (Argyris, 1957a, 1957b, 1964; Viteles *et al.*, 1962). To this end, Barrett (1970) proposes three mechanisms of goal integration, namely the exchange, the socialisation and the accommodation models. The essence of goal orientation, within the context of this study, resonates with effectiveness in reaching the objectives – one amongst the CSFs inherent in LE.

The exchange model denotes a fair bargaining relationship established between the organisation and the individual in which the organisation offers the individual incentives associated with his/her personal goals. In return, the organisation receives commitment through time and energy – the principles associated with transactional leadership (Odumeru and Ifeanyi, 2013) – to help the organisation achieve its objectives (Taylor, 1923; Weber, 1947, Barrett, 1970). This suggests that an individual's behaviour in an organisation depends upon the capacity of the organisation to engage with the individual. This view is supported by Simon (1957) as he affirms, “to understand how the behavior of the individual becomes a part of the system of behavior of the organisation, it is necessary to study the relationship between the personal motivation of the individual and the objectives toward which the activity of the organisation is oriented” (1957:16). Fundamental to this model is that it goes beyond the principles associated with transactional leadership by promoting informal social relations through considerate treatment from superiors and the opportunity to engage in informal social relationship with peers (Barrett, 1970). This implies the application of transformational leadership whereby leaders pursue organisational excellence while honouring duties to employees to keep them informed, provide them with the resources to achieve individual goals, and seek their highest potential (Moon, 2017).

The socialisation model is a social influence model that encourages individuals to value activities that help to achieve organisational objectives and disvalue activities which do not help achieve such objectives (Barrett, 1970). At the heart of this model is the use of persuasion or modelling behaviour whereby the individual is encouraged to adopt as personal goals some of the organisation's objectives; this is referred to as positive socialisation; the contrary is negative socialisation. To achieve such a task, it is necessary for the organisation to demonstrate a sound system of belief and values through leader and peer socialisation. Without this system, it will be difficult to persuade the individual to adopt some of the organisation's objectives as personal goals (Schein, 1961, 1967).

This suggests the application of a charismatic leadership model whereby leaders inspire others to transcend their own self-interests in the pursuit of a higher purpose (Brown and Trevino, 2006; Horn *et al.*, 2015; Gebert *et al.*, 2016). The principle-centered leadership model aims at incorporating correct principles in one's dealings with others and incorporate a virtue-based ethical foundation based upon such principles (Lindsey and Pate, 2006; Caldwell, 2017). The covenantal leadership model advocates that it is through increased understanding and greater insight that people benefit themselves, society, and the organisations in which they work. Rensis Likert (1967) stressed the importance of leaders maintaining high standards of performance and the use of group methods for supervision. By doing so, the leader encourages subordinates to follow the example and set high standards for themselves while leading the group to establish a group norm of high performance. It is in such a way that persuasion takes place (Blake and Mouton, 1964; Bowers and Seashore, 1966).

The accommodation model stresses the importance of taking into consideration individual goals in determining organisational objectives, including designing procedures for attaining them (Barrett, 1970). Fundamental to this model is that it promotes participation and inclusion in a way that individual members at all levels are included in a wide range of the objective setting, problem solving, and decision-making activities of the organisation (McGregor, 1960; Likert, 1961). Integration of the individual's goals and the organisational objectives through participation and inclusion is done in two ways: "firstly, the process of participating will be directly satisfying to individuals whose personal goals include exerting control or contributing to policy formulation. Secondly, participation allows the individual to represent his own unique needs and interests in the processes which actually define the nature of the organisation" (Barrett, 1970: 12). This implies the application of the servant leadership model whereby leaders honour duties owed to individuals, the organisation, and to society (Savage-Austin and Honeycutt 2011; Caldwell, 2017). In the Level 5 leadership model leaders give credit for success to cooperative efforts which is achieved through professional will and personal humility (Reid *et al.*, 2014; Caldwell and Hayes, 2016; Caldwell, 2017).

All three mechanisms are consistent with the principles and the core business of LE for promoting attributes associated with LE namely, vision, virtues, values and obligations. The exchange model makes reference to what is known as give and take principles – the

exchange principle. To apply such a principle the leadership must have the ability to foresee what is needed to be exchanged – calling for vision. At the heart of the socialisation model is the use of persuasion or modelling behaviour whereby the individual is encouraged to adopt as personal goals some of the organisation's objectives. This is referred to as positive socialisation; the contrary is negative socialisation, meaning that the individual refuses to adopt as personal goals some of the organisation's objectives. Unless the organisation is equipped with a sound system of beliefs and values, it is going to be difficult to persuade individuals to adopt as personal goals some of the organisation's objectives – calling for virtues and values. Fundamental to the accommodation model is that it promotes participation and inclusion in a way that individual members at all levels are included in a wide range of the objective setting, problem solving, and decision-making activities of the organisation (McGregor, 1960; Likert, 1961). This requires that the vision be clearly defined, virtues clearly transmitted and values clearly established. Unless leadership is capacitated with all these attributes, it will be difficult to achieve participation and inclusion of all individuals in decision-making processes and activities of the organisation. Within the context of this study, the organisational efficiency and effectiveness depends on how consistent the practices discussed above are – associated with the organisational development, namely the participation and inclusion of individual members. Such is the role of culturally oriented strategic management.

#### **4.4 Culturally Oriented Strategic Management and Leadership Ethos**

Public administration reforms suggest that within the public sector context, the culture changes from one characterised by hierarchy, subordinate and superior relations, and closed organisational structure to one that is open, collaborative and participative through the notion of organisational development theory. The purpose here is to illustrate how a type of leadership strategy can influence or define an organisational culture important in determining the organisational efficiency and effectiveness.

A growing number of scholars believe that organisational culture and management strategy condition each other and must be compatible to secure a better performance of the organisation (Baird *et al.*, 2007; Chow and Liu, 2009; Gupta, 2011; Naranjo-Valencia *et al.*, 2011; Yarbrough *et al.*, 2011). This implies that the successful implementation of

a specific strategy depends on a proper organisational culture – the fruit of leadership style or a model applied in the organisation. Equally correct is the argument suggesting that a proper organisational culture leads to a successful selection and implementation of a specific leadership strategy of the organisation (Wronka-Pośpiech and Frączkiewicz-Wronka, 2016). This is because of the influence that the organisational culture exerts on the behaviour of both the follower and leader which impacts on the implementation of leadership strategy (Cameron *et al.*, 2006a, 2006b). To this end, Wronka-Pośpiech and Frączkiewicz-Wronka (2016) assert that just as organisational culture influences the process of leadership strategy formulation and implementation, long-term realisation of leadership strategy may also influence organisational culture – it could either strengthen or weaken it. The extent of this impact will depend on whether the leadership strategy is consistent with the norms, values and basic assumptions characteristic of the given culture. For this reason, if a leadership strategy intends to conduct activities consistent with the principles of action (standards, values) of the organisation, this strategy will exert a positive impact on the existing organisational culture, because it will further strengthen its values. This is fundamental within the context of this study.

Within the context of public administrative reforms as presented earlier, values and now beliefs, and norms within an organisation are a part of what is commonly referred to as organisational “culture.” By putting values and norms at the centre of the discussion, this is a way of conceding that values are social principles, goals and standards that cultural members (both follower and leader) believe have intrinsic worth (Hatch, 2006). Organisations need to promote and uphold the identified values and norms to secure a better performance in terms of organisational efficiency and effectiveness. Essentially, LE, with its emphasis on vision, virtues and values can serve as a leadership strategy that can influence or define an organisational culture important in determining the organisational efficiency and effectiveness.

Fehr *et al.*, (2015:193) argue that, “the impact of leaders’ moralized actions on follower behavior depends on the values that the leaders’ actions reflect.” In other words, Fehr and colleagues suggest that culturally oriented strategic management is a result of a belief system and incorporated values from a leadership relationship between leaders and followers. Values, in the context of this study, are regarded as trans-situational notions of what is good, right, and desirable, implying that each moral foundation partly comprises



an interrelated set of values (Graham *et al.*, 2013). Values guide attention and action by encouraging some behaviour while discouraging others (Schwartz, 1992; Verplanken and Holland, 2002). When they are consistent, values create a pattern of behaviour (Maio *et al.*, 2009) determinant of organisational success. This suggests that beliefs, values and norms are very sensitive but fundamental in determining the organisational outcome. Hence, by engaging and recognising the importance of values, culturally oriented strategic management recognises and points to the role of leadership as that of orienting and guiding such beliefs, values and norms in a way that would be productive to the organisation. Ultimately, “the impact of leaders’ moralized actions on follower behavior depends on the values that the leaders’ actions reflect” (Fehr *et al.*, 2015:193). In this respect, a particular type of leadership strategy exercised in the organisation will determine the culture, the strategy of management and ultimately the outcome of the organisation. In the context of LE, beliefs, values and norms do empower leaders with the abilities to inspire others to transcend their own self-interests in the pursuit of a higher purpose and the organisational excellence while honouring duties to employees to keep them informed, provide them with the resources to achieve individual goals, and seek their highest potential. Beliefs, values and norms empower leaders with the ability to honour duties owed to individuals, the organisation, and to society while acknowledging that cooperative efforts through professional will and personal humility are key to organisational success. Beliefs, values and norms empower leaders with the ability to incorporate correct principles in their dealings with others and incorporate a virtue-based ethical foundation based upon such principles. Beliefs, values and norms empower leaders with the ability to advocate for an increased understanding and greater insight that help people benefit themselves, the society, and the organisations in which they work. This will enable organisational leadership to secure a mutually trusting relationship in a leadership relationship, recognition of power dynamics in the leadership relationship, effectiveness in reaching the objectives, and using participatory leadership as a way of setting culturally oriented strategic management.

#### **4.5 Chapter Summary**

The focus of this chapter was on public administration reforms and LE. The primary objective of the chapter was to illustrate how public administration reforms result in a change in organisational focus and culture of the public sector. Touching on reforms such

as public values and the new public management in particular, it illustrated how public administration reforms brought a new paradigm, emphasising an organisational culture that is more flexible. This new paradigm is also cognisant of the human factor and open to the ordinary citizen shifting away from Weber's (1947) notion and concept of bureaucracy (hierarchical structure, closed system, input-process-output). In such a context, the chapter was organised into two sections. The first section focused on public administration reforms illustrating how reforms speak to integrity-based approaches that emphasise attention to vision, values and virtues. The second section focused on organisational development and culturally oriented strategic management for underscoring the need to invest on organic structures and humanistic strategies as a means to achieve organisational efficiency and effectiveness, which are in harmony with the objective of LE.

In this respect, emphasis on public administration reforms touched on administrative values, cooperation and collaboration with various stakeholders in policy making processes, fairness, openness and transparency. Key findings in this regard, particularly as related to leadership, include being more visionary, imbibing certain values and virtues, findings which fundamentally create the connections between the administrative reforms, leadership and organisational culture. Evidently, leadership is required to behave differently to how behaviour was modelled in the Weberian (1947) context (hierarchical structure, closed system, input-process-output). Reforms introduced an emphasis on measuring output and impact. This in turn resulted in a change in organisational processes, systems, structures, behaviours and attitudes of civil servants.

**CHAPTER FIVE**  
**AN OVERVIEW OF SOCIO-ECONOMIC POLICIES: THE CASE OF THE**  
**REPUBLIC OF SOUTH AFRICA AND THE DEMOCRATIC REPUBLIC OF**  
**THE CONGO**

**5.1 Introduction**

This study assumes that the slow progress in the process of social transformation is due to lack or limited understanding of LE and the application of its inherent CSFs by public officials, particularly those responsible for the implementation of public policies. In this respect, this chapter provides an overview of the socio-economic policies implemented in South Africa post-apartheid and the DRC post-colonialism. The main purpose of the chapter is to illustrate that policies and laws of socio-economic reform have been introduced in the countries under study. However, socio-economic transformation remains a challenge in the two countries. In this view, the chapter is organised into two sections. The first focuses on the socio-economic reforms that have been introduced in South Africa since the end of apartheid, touching on key economic policies used as instruments to drive the reform programmes. Attention in the second section is on the socio-economic reforms that have been introduced in the DRC since independence, analysing key economic policies also used as instruments to drive the reform programmes.

**5.2 Socio-economic reforms in South Africa post-apartheid and its key economic policies**

An economic policy, according to Drucker (1943), presents a two-folded concept. On the one hand, the one approach promotes the realisation of economic ends by means of political techniques – underpinning the economic concept of economic policy. On the other hand, the other approach promotes the attainment of non-economic and political ends by means of economic techniques – underlying the political concept of economic policy. This implies that an economic policy is intended to address a range of issues by means of economic and political techniques with a view of bringing about change. It is within such a context that the section below provides an overview of socio-economic

policies introduced in post-apartheid South Africa, used as instruments to drive various reform programmes intended to bring about socio-economic transformation in South Africa.

### 5.2.1 The Reconstruction and Development Programme (RDP)

No political democracy can survive and flourish if the mass of our people remain in poverty, without land, without tangible prospects for a better life. Attacking poverty and deprivation must therefore be the first priority of a democratic government (The Reconstruction and Development Programme, RSA, 1994).

Established in 1995, the RDP had as its objective to address and redress the inherited gross inequalities of apartheid, socially, economically and spatially. The emphasis was on creating a strong, dynamic and balanced economy; developing human resource capacity of all South Africans; ensuring that no one suffers racial or gender discrimination in hiring, promotion or training situations; developing a prosperous, balanced regional economy in Southern Africa; and democratising the state and society (RSA, 1994; Coetzee and Graaff, 1996, Baker *et al.*, 1998). With respect to the outcomes, the RDP has been successful in some areas such as social security in which the government established a very extensive social welfare system. The system catered for the aged, disabled, children in need, foster parents and many others too poor to meet their basic social requirements. Under this programme, free health care programmes were implemented for pregnant women and small children, and free meals were provided for between 3,5 to 5 million school children. Difficulties were experienced in some areas such as a fiscal constraint due to the poor fiscal and economic legacy inherited after five decades of Apartheid and twenty years of the Total Strategy. Secondly, there were organisational constraints due to the lack of an efficient public service and a distressful inability of the new government to build the necessary state capacity. Thirdly, the new government was unable to prioritise the RDP and to integrate it as the guiding principle of its socio-economic policies, suggesting that the RDP failed in meeting the immediate expectations of economic empowerment (Fallon and Lucas, 1998; Schlemmer and Levitz, 1998; Klasen and Woolard, 1999; Wessels, 1999; Fedderke *et al.*, 2000; Lewis, 2001; Bhorat *et al.*, 2015). Within the context of this study, the new government found it difficult to promote a Leadership Ethos (LE) in the practice of leadership and applying its inherent CSFs to secure organisational efficiency and effectiveness. It is evident that these shortcomings

in the implementation of the RDP might have led to the emergence of a new strategy (i.e. GEAR).

### **5.2.2 The Growth, Employment and Redistribution (GEAR) strategy**

Established in 1996, the objective of the GEAR strategy was to stimulate faster economic growth. Its strength was seen in the focus on reducing fiscal deficits, lowering inflation, maintaining exchange rate stability, decreasing barriers to trade and liberalising capital flows (RSA, 1996b). In terms of results, the government was successful in bringing under control many things, including fiscal deficit, inflation and government consumption targets were all slightly met, reporting figures of 2.2%, 5.4% and 18% respectively by the end of 2000. Consequently, there was greater macroeconomic stability, better reporting and increased accountability, management of public finances improved drastically, the monetary policy was tightened, and the restructuring of all government levels led to a reduction in government expenditure. Critics including Daan Wessels (1999) and Jeffrey Lewis (2001) however, argue that private investment, job creation and the Gross Domestic Product (GDP) growth indicators were disappointing. Low levels of economic growth and private investment were insufficient to contribute to the reduction in unemployment and the policy achieved very little success with the distribution of wealth.

With regard to wealth distribution, Bromberger (1982) argues in the following terms:

(T)here is not one distribution of income but many: income is distributed across racial groups, income classes, present and future generations, and so on. Moreover, a given distribution is not a one-dimensional magnitude: it has as many dimensions or components as there are relevant 'classes'. (Bromberger, 1982 in Berg, 2010:3).

In this respect, statistics in Table 5 below with regard to wealth distribution in South Africa during this particular period, are revealing.

**Table 5: Poverty at a poverty line of R2532 per capita per years in 2000 Rand terms based on two censuses and the Community Survey**

	<b>Census 1996</b>	<b>Census 2001</b>	<b>Community Survey 2007</b>
Black	54.1%	53.8%	39.6%
Coloured	20.5%	21.0%	15.5%
Indian	5.4%	5.5%	5.8%
White	1.8%	1.1%	0.9%
Total	44.1%	44.6%	32.9%

Source: Yu 2009: 39 in Berg, 2010:14.

The statistics, as portrayed in the table above, suggest that there is little variation or improvement in terms of data between the censuses in 1996 and 2001. In other words, the strategy was insufficient for the achievement of macroeconomic objectives. It clearly fell short with regard to the social challenges of the country, most notably poverty reduction and employment creation, as was envisaged (Fallon and Lucas, 1998; Schlemmer and Levitz, 1998; Fedderke *et al.*, 2000; Gelb, 2001; Lewis, 2001; Kingdona and Knight, 2000, 2007; Ashman *et al.*, 2015; Mlatsheni and Leibbrandt, 2015). The contributing factors to the failure regarding the implementation of the GEAR strategy within the context of this study could easily be associated with the issue of human resources in general and LE in particular. Organisational efficiency and effectiveness depend on the level of awareness of LE and the application of its inherent CSFs (Bryson, 1995; Hilliard, 1995; Crosby, 1996; Hartley and Allison, 2000; Kroukamp, 2007; Getha-Taylor, 2008; Muhammad, 2014; Smith *et al.*, 2016).

### **5.2.3 The Accelerated and Shared Growth Initiative for South Africa (ASGISA)**

The shortcomings of the GEAR strategy led to the formulation of a new strategy, which would serve as an effective instrument to impact in a meaningful way on the reform process initiated with the RDP programme. It is within this context that the Accelerated and Shared Growth Initiative for South Africa (ASGISA) emerged.

Established in 2005, the programme had among its objectives to reduce the level of poverty by 2010, reduce by half the unemployment rates by 2014 from the 28% in 2004 to 14% by 2012 (RSA, 2009). It presented strengths on building upon the foundations of the RDP's goals of building a united, democratic, non-sexist and non-racial society, and

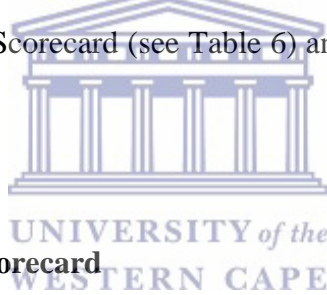
a single integrated economy (RSA, 2009). However, the level of implementation and future of the programme was uncertain as critics assert that the ultimate objective – to reduce the level of poverty and unemployment – was not reached (Kingdon and Knight, 2007; Ashman *et al.*, 2015; Mlatsheni and Leibbrandt, 2015). Currently, trends on unemployment according to Statistics South Africa (StatsSA, 2016) suggest 24.5% (Oct-Dec 2015), 27.1% (Jul-Sep 2016) and 26.5% (Oct-Dec 2016). This supports the view that ASGISA failed as a strategy to impact in a meaningful way the reform process initiated by the RDP project. Like in the previous case, the contributing factors in the failure regarding the implementation of the ASGISA within the context of this study could easily be associated with the issue of human resources in general and LE in particular. Without awareness of LE and the application of its inherent CSFs, it is difficult to achieve organisational efficiency and effectiveness that would lead to the successful implementation of policies (Bryson, 1995; Hilliard, 1995; Crosby, 1996; Hartley and Allison, 2000; Kroukamp, 2007; Getha-Taylor, 2008; Muhammad, 2014; Smith *et al.*, 2016).

Considering failures in the implementation of all the previous policies, affirmative action, however, could be identified as a way forward in the process of addressing inequality and poverty inherited from the apartheid regime. It is within this context that the Black Economic Empowerment (BEE) and later the Broad-Based Black Economic Empowerment (B-BBEE) emerged (RSA, 2013a).

#### **5.2.4 The Broad-Based Black Economic Empowerment (B-BBEE)**

Affirmative actions are, “positive or corrective effort by employers to prevent discrimination in hiring or promotion” (Online Dictionary of Etymology, n.d.). These actions, according to Deane (2005), imply the collection of measures that allocate goods, jobs, promotions, public contracts, business loans, and rights to buy and sell to a designated group, for the purpose of increasing the proportion of members of that group in the relevant labour force, entrepreneurial class, or university student population, where they are currently underrepresented as a result of past or present discrimination. In this respect, the “B-BBEE Act”, Act 53 of 2003 and Codes of Good Practice on Black Economic Empowerment were published on 9 February 2007. Significant changes to the

existing Codes were published in the Government Gazette on 11 October 2013 (RSA, 2013b) with a provision of taking effect from 1 May 2015. Amongst the objectives, the programme was to address the legacy of racist apartheid policies and enhance the economic participation of Black people in the South African economy. Its strength was recognised in putting emphasis on establishing economic structures that would create space for all citizens to participate and contribute; and the focus on developing human resource capacity and creating conducive conditions for the economic development process. The number of elements constituting the codes of good practice issued by the Department of Trade and Industry (DTI) and gazetted in February 2007, was reduced from seven to five namely: ownership, management control, skills development, enterprise and supplier development and socio-economic development in which companies and businesses should concentrate on. This suggests that failure to comply with a 40% sub-minimum in any of these priority elements would lead to an automatic reduction of one level in companies' and businesses' contribution level which is assessed through the B-BBEE Generic Scorecard (see Table 6) and B-BBEE Recognition Levels (see Table 7).



**Table 6: B-BBEE Generic Scorecard**

<b>Element</b>	<b>Weighting</b>	<b>Code series reference</b>
Ownership	25 points	100
Management Control	15 points	200
Skills Development	20 points	300
Enterprise and Supplier Development	40 points	400
Socio-Economic Development	5 points	500

Source: RSA, 2013b:11.



**Table 7: B-BBEE Recognition Levels**

B-BBEE Status	Qualification	B-BBEE recognition level
Level One Contributor	≥100 points on the Generic Scorecard	135%
Level Two Contributor	≥ 95 but <100 points on the Generic Scorecard	125%
Level Three Contributor	≥90 but <95 points on the Generic Scorecard	110%
Level Four Contributor	≥80 but <90 points on the Generic Scorecard	100%
Level Five Contributor	≥75 but <80 points on the Generic Scorecard	80%
Level Six Contributor	≥70 but <75 points on the Generic Scorecard	60%
Level Seven Contributor	≥55 but <70 points on the Generic Scorecard	50%
Level Eight Contributor	≥40 but <55 points on the Generic Scorecard	10%
Non-Compliant Contributor	<40 points on the Generic Scorecard	0%

Source: RSA, 2013b:12.



The B-BBEE programme demonstrated a number of positive signs during its early stage. For example, it achieved R600 billion worth of B-BBEE transactions and 500 publicly announced B-BBEE ownership transactions worth at least R533 billion. Representation of black people and women in senior management positions in the private sector increased from less than 10% in the 1990s to more than 40% in 2013. The Black Business Supplier Development Programme, which was launched by the DTI in 2010, approved applications worth R797 million. Black-owned Small, Medium and Micro-sized Enterprises (SMMEs) were supported to the tune of R451 million in one financial year (2012/13). The National Empowerment Fund had approved transactions worth more than R5 billion, with 60% of its beneficiaries being SMMEs and support given to the creation of 44 000 jobs. In excess of 200 co-operatives were supported through a special incentive programme, with the creation of more than 200 jobs and 700 temporary job opportunities (RSA, 2013a:13).

However, despite these positive achievements, current trends of the socio-economic development in South Africa suggest that a lot still has to be done in fostering particularly corporate social responsibility through the promotion of its codes of good practice (Arya and Bassi, 2009; Manning and Jenness, 2015; Mlatsheni and Leibbrandt, 2015). The DTI's National B-BBEE Summit Report (RSA, 2013a) identified a crucial list of challenges and constraints identified along the past number of years that have not been resolved. These include inadequate meaningful collaboration between big and small businesses; fronting, with complex mechanisms employed in this regard; as well as insufficient capacity development (skills development and transfer). There is also the misalignment of legislation (PPPFA and B-BBEE, for example); and inadequate financing for black-owned start-up enterprises (RSA, 2013a:24). The DTI Report proved crucial in determining the current state associated with the B-BBEE progress. Consequently, the New Growth Path (NGP) emerged as a way to reinforce and strengthen the implementation of the B-BBEE.



### **5.2.5 The New Growth Path (NGP)**

In his Budget Vote Speech to Parliament in 2011, the Minister of Economic Development outlined the vision of the proposed New Growth Path:

The New Growth Path sets out a vision of five million new jobs by 2020. It identifies twin goals: increasing the economy's labour-absorbing capacity and decreasing its carbon-emission intensity. These goals are central to our development as a country. The key to empowering women, black South Africans, workers, the rural population and young people is to provide them with real economic opportunities – in decent jobs, access to resources and entrepreneurial opportunities, in meaningful self-employment, and through the social economy (RSA, 2011).

Established in 2010, the programme intended to accelerate growth in the South African economy and to do so in ways that rapidly reduced poverty, unemployment and inequality (Manuel, 2015). Its implementation consisted of two phases. The first focused on laying the platform for the New Growth Path. This means that between 2010 and 2013 actions including the immediate implementation of short-term measures promising significant rewards (“quick wins”), were meant to take place. These were actions around the developmental policy package, as well as the initiation of processes to lay the basis for sustained change in the economy. It also included the establishment of monitoring

mechanisms and implementation forums, as well as the engagement with social partners on the vision and framework of the programme. Further actions included work on the pacts around productivity and the developmental policy package, as well as the in-depth review of progress and adjustment of policies as required, (RSA, 2010:69).

The focus in the second phase was on the consolidation of the New Growth Path. This means that between 2014 and 2020 changes in the structure of production and ownership should begin to emerge in national statistics, and the state should be perceptibly more agile and responsive to economic needs. Furthermore, continued implementation of programmes in ways that take into account past successes and changing conditions, with systematic monitoring and evaluation against clear targets, should take place (RSA, 2010:69). However, despite all the efforts, the trend on unemployment suggests otherwise, as presented in Figure 4 below.

**Figure 4: Trend on unemployment 2008-2015**



Source: StatsSA, 2016.

The above data is consistent with critics' views suggesting that high inequality and record unemployment are still recorded and persist, casting doubt on the success of the implementation process of the policy (Ashman *et al.*, 2015; Mahajan, 2015; Mlatsheni and Leibbrandt, 2015). This underpins another "failure" in one more attempt in the process of policy implementation, pointing to the fact that too few people work, the economy is unsustainably resource-intensive, the public health system cannot meet demands or sustain quality, public services are uneven and often of poor quality, corruption levels are high, and South Africa remains a divided society. These are amongst

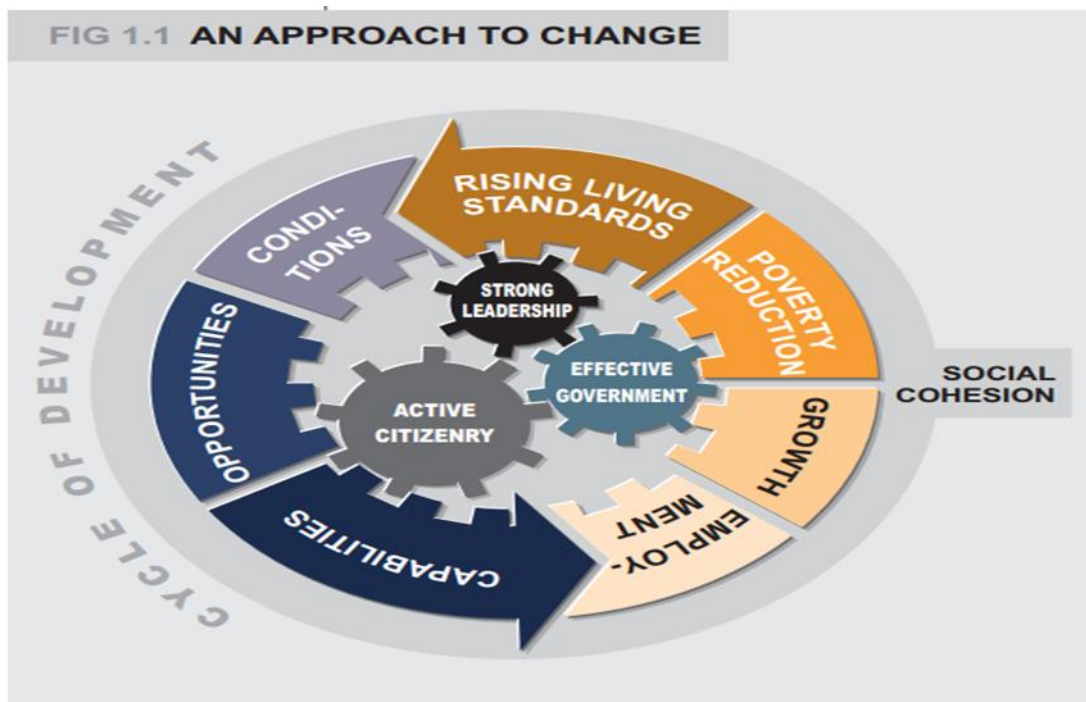
the challenges that are behind the slow progress in the socio-economic transformation process in South Africa, outlined by the National Planning Commission's Diagnostic Report (RSA, 2014c), and which continue to persist.

### 5.2.6 The National Development Plan (NDP)

The need for a new approach to materialise the reform process has been stimulated by failure in the implementation process of previous programmes. It is within such a context that the NDP emerged. Launched in 2013, the programme was established and viewed as a policy blueprint for eliminating poverty and reducing inequality in South Africa by 2030. The objectives by 2030 include the elimination of income poverty – to reduce the proportion of households with a monthly income below R419 per person (in 2009 prices) from 39 percent to zero. A further objective is the reduction of inequality – the Gini coefficient should fall from 0.69 to 0.6 (RSA, 2013c:24). Its strength is that the key constraints to faster growth had already been identified. The National Planning Commission (NPC) presented a roadmap to a more inclusive economy (Manuel, 2015). The NDP is presented by the government as a new approach to change, as portrayed in Figure 5 below.



**Figure 5: NDP - A new approach to change**



Source: RSA, 2013c:16.

One of the key elements in this new approach to change, as indicated in Figure 5 above, is strong leadership required from government, business, labour and civil society to guarantee the successful implementation of the plan. Strong leadership implies, “leaders that are willing and able to take on greater responsibility to address South Africa’s challenges” (RSA, 2013c:47). In this plan, there is recognition of lack of trust, suggesting high levels of mistrust amongst major social partners (government, business, labour, and civil society) in South Africa which is impeding collaboration and partnership with a view of realising a common purpose (RSA, 2013c:47). In this respect, strong leadership is significant in a way that it will enable what is regarded as “a virtuous cycle of building trust and engaging in discussion to confront the most pressing challenges” (RSA, 2013c:47). Within the context of this study, trust is identified as one of the CSFs that enable organisational efficiency and effectiveness. It is this trust that conditions the exercise of LE, which aims at promoting integrity-based approaches to leadership. In this way, moral leadership that helps public servants to build good character and thus the will to do the right thing is established (Stevulak and Brown, 2011: 103).

The NDP, although promising in how it has been conceptualised, also faces challenges that could undermine its successful implementation. A primary challenge includes the current trend of the socio-economic development, i.e. the annual Consumer Price Inflation (CPI), registered at 6,3% in February 2017. The annual percentage in the Producer Price Index (PPI) for final manufactured goods registered at 5,6% in February 2017; the unemployment rate in 2016 - Q4 registered at 26,5%; GDP 2016 - Q4 registered at - 0,3%. These indicators suggest that a lot still has to be done to achieve the set objectives.

It is evident that critics of the range of public policies, namely the RDP, the GEAR strategy, ASGISA, B-BBEE, GNP and NDP, question neither their intentions nor their coming into being but rather their results and impact on the ground as far as materialising the reform process with a view of improving the socio-economic conditions of the ordinary citizens. In this respect, failure is attributed to the implementation process (Bhorat *et al.*, 2015). This means that, critics, on the one hand, decry an extensive regulatory framework while, on the other hand, they outcry the lack of adequate human capital (Fedderke, 2015), or leaders with personal integrity (Lei *et al.*, 2014) to drive the

implementation process. Thus, the need for LE and the application of its inherent CSFs are referred to as strong leadership in the context of the NDP (RSA, 2013c:47).

### **5.2.7 Effects of policies of socio-economic transformation**

The purpose of this section is to present, in general terms, the economic situation of the country and its associated economic policies in recent years since the end of apartheid. This is a way to underline the slow progress in the reform process, which should culminate in the socio-economic transformation of society. In this respect, the economic situation of South Africa can be presented in the following way:

- a) South Africa had the 27th biggest economy in the world, accounting for almost 25% of the GDP of the entire African continent (World Bank, 2016), until 2007. Currently, research findings suggest that the forecast for real gross domestic product (GDP) growth is at 0.8% in 2016, down from 1.3% in 2015 and the lowest rate of growth since 2009. Growth is forecast at 1.1% in 2017. Overall, South Africa is projected to remain largely below the average growth rate of 4.5% for Sub-Saharan Africa in 2016–2017. Against this backdrop, poverty in South Africa is set to rise as incomes fall, placing the NDP goals of the eradication of extreme poverty, reduction in joblessness and doubling of incomes by 2030 further out of reach. The economy is currently 33rd in the world (StatsSA, 2016; World Bank, 2016).
- b) The Johannesburg Stock Exchange (JSE) was the 14th largest in the world, with a total market capitalisation of some R2.3 trillion (JSE, 2000) until 2007. It is currently ranked 19th in the world by market capitalisation and is still the largest exchange on the African continent (JSE, 2000).
- c) More than 12 000 “Black Diamond” families (South Africa’s new black middle class) were moving from the townships into the suburbs of South Africa’s metropolitan areas every month (UCT Unilever Institute cited in *South Africa: The Good News*, 2017).
- d) The black middle class grew by 30% in 2005, adding another 421 000 black adults to SA’s middle-income layer and ramping up the black population’s share of SA’s total middle class to almost a third. Between 2001 and 2004, there were 300 000

new black entrants to the middle class (*Financial Mail* cited in *South Africa: The Good News*, 2017).

- e) South Africa generated two-thirds of Africa’s electricity (Eskom, 2016) until 2007. Current research findings suggest that Eskom still generates approximately 95% of the electricity used in South Africa and approximately 45% of the electricity used in Africa. Eskom generates, transmits and distributes electricity to industrial, mining, commercial, agricultural and residential customers and redistributors (Eskom, 2016).
- f) Durban was the largest port in Africa and the 9th largest in the world until 2007. Currently, research findings suggest that the Durban port does not feature in the Top 50 ports ranked by 5-year increase ratio between 2010 and 2014 in the world<sup>15</sup>.

All these factors underpin what is regarded as slow progress in the socio-economic transformation process summarised in South Africa’s Human Development Index (HDI) trends between 1990 and 2015 in Table 8 below:

**Table 8: South Africa’s HDI trends between 1990 and 2015**

	Life expectancy at birth	Expected years of schooling	Mean years of schooling	GNI per capita (2011 PPP\$)	HDI value
1990	62.1	11.4	6.5	9,987	0.621
1995	61.4	13.0	8.2	9,566	0.653
2000	55.9	13.0	8.8	9,719	0.629
2005	51.6	12.9	8.9	10,953	0.609
2010	54.5	12.8	9.6	11,838	0.638
2011	55.5	12.8	9.7	11,978	0.644
2012	56.3	12.8	9.9	12,037	0.652
2013	56.9	13.0	10.1	12,126	0.660
2014	57.4	13.0	10.3	12,113	0.665
2015	57.7	13.0	10.3	12,087	0.666

Source: UNDP, 2016a:3.

Data provided in Table 8 above suggest that between 1990 and 2015, in other words in the past 25 years, South Africa’s HDI value increased from 0.621 to 0.666, an increase of 7.3 percent only despite efforts and desire demonstrated by various administrations along these years until the present. This little or slow progress is manifested through the challenges of addressing inequality and poverty as demonstrated throughout this chapter

<sup>15</sup> See the IAPHWorld at: <http://www.iaphworldports.org/LinkClick.aspx?fileticket=Pb3AMkzqenk%3d&tabid=4879>

and supported by data in Table 9 below.

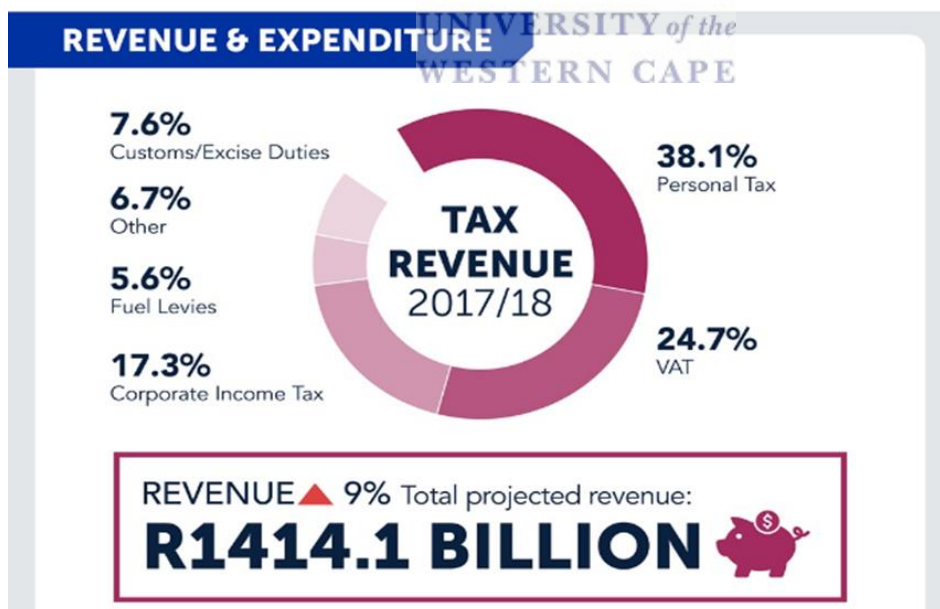
**Table 9: South Africa’s most recent Multidimensional Poverty Index (MPI)**

	Survey year	MPI value	Head-count (%)	Intensity of deprivations (%)	Population share (%)			Contribution to overall poverty of deprivations in (%)		
					Near poverty	In severe poverty	Below income poverty line	Health	Education	Living Standards
South Africa	2012	0.041	10.3	39.6	17.1	1.3	16.6	61.4	8.4	30.2

Source: UNDP, 2016a:7.

Data in Table 9 suggests that, although in the population share only 1.3% is in severe poverty, it has to be noted that health (61.4%), living standards (30.2%), and education (8.4%) are contributors to the overall poverty deprivation in South Africa. It is interesting to note that the 2017 Budget Review from the South African National Treasury sheds more light in supporting the above statistics through the ways in which distribution of the expenditures associated with the 2017/18 national budget has been made as demonstrated in Figures 6 and 7 below respectively.

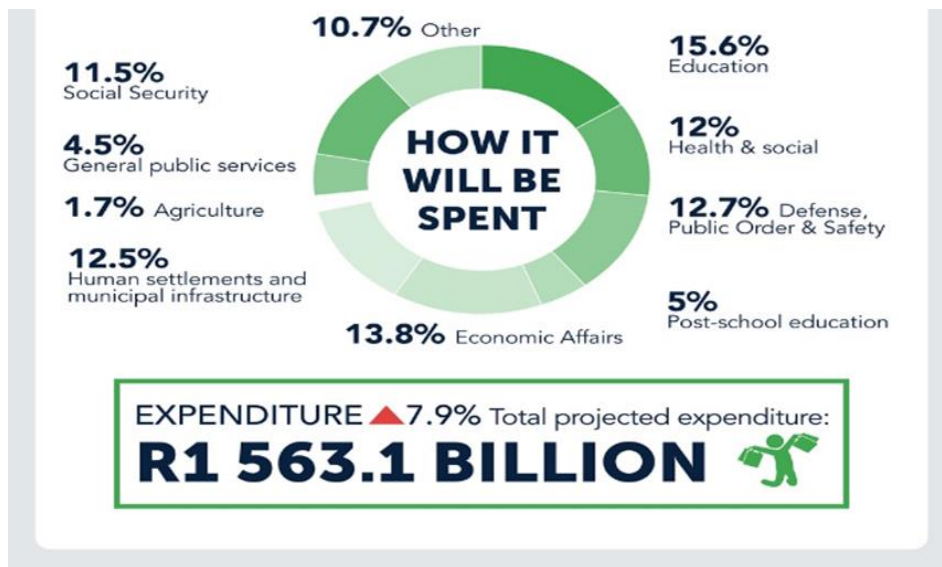
**Figure 6: Tax Revenue 2017/2018**



Source: Fin24, 2017.



**Figure 7: Tax Expenditure 2017/2018**



Source: Fin24, 2017.

While Figure 6 provides information on where and how the funds will be raised, data in Figure 7 provides information on the distribution of the funds. It is interesting to note that education and health are placed amongst the top priorities with 15.6% and 12% of shares respectively, suggesting that the MPI (Table 9) provided information that is consistent with the reality with regard to poverty trends. Furthermore, the 2017 budget review is consistent with the overall information provided in this study about the slow progress of the socio-economic transformation process by providing both the macroeconomic performance and projections and the economic outlook as shown in the Tables 10 and 11 below respectively.

**Table 10: Macroeconomic Performance and Projections**

Percentage change	2013	2014	2015	2016	2017	2018	2019
	Actual			Estimate	Forecast		
Household consumption	2.0	0.7	1.7	0.9	1.3	2.0	2.3
Gross fixed capital formation	7.0	1.5	2.5	-3.6	1.5	1.6	2.8
Exports	3.6	3.3	4.1	-1.2	1.9	4.9	5.0
Imports	5.0	-0.5	5.3	-3.6	2.0	4.3	4.9
<b>Real GDP growth</b>	2.3	1.6	1.3	0.5	1.3	2.0	2.2
CPI inflation	5.8	6.1	4.6	6.4	6.4	5.7	5.6
Current account balance (% of GDP)	-5.9	-5.3	-4.3	-4.0	-3.9	-3.7	-3.8

Source: RSA, 2017:iv.

With regard to performance, the current account points to a constant deficit over the past few years. Such deficit is also projected in the next few years. This explains the little and slow progress in the reform process with regard to socio-economic transformation registered over the past years. In other words, with such a trend there are surely social consequences to follow. These consequences include severe financial hardship and poverty, debt, homelessness and housing stress, family tensions and breakdown, boredom, alienation, shame and stigma, increased social isolation, crime, erosion of confidence and self-esteem, the atrophying of work skills and ill-health (McClelland and Macdonald, 1998).

**Table 11: RSA Economic Outlook**

<ul style="list-style-type: none"> <li>• GDP growth will gradually improve from 0.5 per cent in 2016 to 1.3 per cent in 2017 and 2 per cent in 2018, supported by improved global conditions and rising consumer and business confidence.</li> <li>• Greater availability and reliability of electricity should also support stronger growth in 2018 and 2019.</li> <li>• Consumer price inflation, after reaching 6.4 per cent in 2016, is expected to decline to 5.7 per cent by 2018.</li> <li>• The current account deficit, after reaching 4 per cent in</li> </ul>	<ul style="list-style-type: none"> <li>• 2016, will come down to 3.7 per cent in 2018 and 3.8 per cent in 2019.</li> <li>• Government will continue to enable investment through regulatory reforms and partnerships with independent power producers.</li> <li>• Public-sector infrastructure bottlenecks will be addressed through reform and capacity building. During 2017/18, government will establish a new financing facility for large infrastructure projects.</li> </ul>
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Source: RSA, 2017:iv.

The economic outlook presented in Table 11 above leads to the recognition of the fact that South Africa's low growth trajectory provides a major challenge for government and citizens. There is a serious need to transform the economy radically to be a more diversified economy, with more jobs and inclusivity in ownership and participation. There is a need to prioritise spending better, implement plans more effectively and make a greater impact. There is a need to build the widest possible partnership to promote consensus and action on a programme for inclusive growth and transformation (RSA, 2017). This requires moral leadership that helps public servants to build good character and thus the will to do the right thing – this implies integrity-based approaches to complement the compliance-based approaches. This is a way of demonstrating an awareness and understanding of LE and the application of its CSFs.



### **5.3 Socio-economic reforms in the independent DRC and its key economic policies**

The purpose of this section, within the context of this work, is to provide an overview of socio-economic policies introduced in the independent DRC, used as instruments to drive various reform programmes intended to bring about socio-economic transformation in the DRC.

#### **5.3.1 The Zairianisation Policy (*La politique de l'authenticité*)**

Established in November 1973, the “Zairianisation” was much more of an official state ideology than a policy *per se*. Although recorded neither in any official policy documents nor published in the official government gazette as a government programme, the so-called policy was an authenticity campaign engineered and sponsored by the state. The intention was not only to nationalise both public and private enterprises but to disassociate and disconnect the country and nation from the “Western” related practices with regard to culture, education and socio-economic life. The particular focus was on the colonial legacy, promoting home-made and African-related practices (Young and Turner, 1985; Nzongala-Ntalaja, 1986; Emizet, 1997; Peemans, 1997; Acemoglu *et al.*, 2004). In other words, African cultural practices associated with each tribe's tradition could be promoted

and expressed through indigenous language, music, art, dance, sculpture, etc. Education and the socio-economic life were to serve as a means to promote such practices. The policy resulted in the confiscation and redistribution of foreign properties and investments. The recipients of the confiscated “Western” items, in this case, were selected beneficiaries in the administration of the regime, who proved to be full of inexperience, mismanagement, and corruption (Nzongala-Ntalaja, 1986; Emizet, 1997; Peemans, 1997; Acemoglu *et al.*, 2004; Putzel *et al.*, 2008). This paved the way for an unprecedented political, economic and social crisis.

With regard to leadership practices, it is interesting to note that the *Zairianisation* policy completely ignored a fundamental fact – the commonality in attributes between the “Western” and African concepts of leadership, identified earlier in this study, suggesting that there is a connection between the “Western” and African concepts of leadership. The Western model could not have been discounted simply because of its origin regardless of its attributes that could contribute to the improvement of leadership practices. This resulted in consequences and effects that are still accompanying Congolese citizens to date, namely the severe level of financial hardship and poverty, debt, homelessness and housing stress, family tensions and breakdown, boredom, alienation, shame and stigma, increased social isolation, crime, erosion of confidence and self-esteem, the atrophying of work skills and ill-health.

**Table 12: The DRC’s HDI trends between 1990 and 2015**

	Life expectancy at birth	Expected years of schooling	Mean years of schooling	GNI per capita (2011 PPP\$)	HDI value
1990	49.0	6.8	2.3	1.260	0.356
1995	49.1	6.6	2.9	675	0.331
2000	50.0	7.0	3.3	545	0.331
2005	53.7	7.5	4.3	577	0.364
2010	56.9	8.8	5.4	568	0.398
2011	57.4	9.1	5.6	584	0.407
2012	57.9	9.0	5.8	604	0.412
2013	58.3	9.1	6.0	616	0.419
2014	58.7	9.1	6.1	650	0.425
2015	59.1	9.8	6.1	680	0.435

Source: UNDP, 2016:3.

Data in Table 12 above suggest that between 1990 and 2015, the DRC’s HDI value increased from 0.356 to 0.435, an increase of 22.3 percent. Between 1990 and 2015, the DRC’s life expectancy at birth increased by 10.1 years, mean years of schooling increased

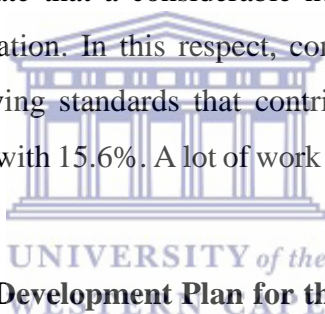
by 3.8 years and expected years of schooling increased by 3.0 years. However, the DRC's GNI per capita decreased by about 46.0 percent between 1990 and 2015, explaining the severe level of financial hardship and poverty as portrayed in Table 13 below.

**Table 13: The DRC's most recent Multidimensional Poverty Index (MPI)**

	Survey year	MPI value	Head-count (%)	Intensity of deprivations (%)	Population share (%)			Contribution to overall poverty of deprivations in (%)		
					Near poverty	In severe poverty	Below income poverty line	Health	Education	Living Standards
Congo (Democratic Republic of the)	2013/2014	0.369	72.5	50.8	18.5	36.7	77.1	31.0	15.6	53.4

Source: UNDP, 2016:7.

Data in Table 13 above indicate that a considerable number of people live in severe poverty – 36.7% of the population. In this respect, contribution to overall poverty of deprivation is sustained by living standards that contribute with 53.4%, followed by health with 31% and education with 15.6%. A lot of work needs to be done to significantly improve the situation.

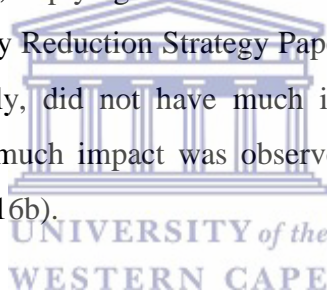


### **5.3.2 The National Strategic Development Plan for the Democratic Republic of the Congo (*Plan Stratégique National de Développement pour la République Démocratique du Congo*)**

Launched in February 2016, this appears to be the only structured policy document since independence. This policy document, however, was preceded in the build up by three strategic documents for growth and poverty reduction (DSRP). This was implemented in the following ways: DSRP-I, between 2002-2005 with the focus on stabilisation, transition and reconstruction; DSCR-1, between 2006-2010 with the focus on governance and the revival of pro-poor growth; DSCR-2 & PAG (includes government action plan), between 2011-2015 with the focus on growth, job creation and climate change impact (see the DSRP-I document, 2002; IMF, 2002, 2003, 2015; PNUD, 2000, 2003).

The IMF (2007) reports that the implementation period of DSRP-I (2002-2005), was characterised by the following: the inflation, which had reached 511 percent in 2000, fell

in succession to 135.1 percent in 2001, 16.0 percent in 2002, 4.4 percent in 2003, and 9.2 percent in 2004 and estimated at 22.6 percent in 2005. The national currency depreciated by only 10.7 percent between 2001 and 2004. After uninterrupted drops in GDP of 5.5 percent a year on average between 1991 and 2000, the growth rate became positive, moving from -2.1 percent in 2001 to 3.5 percent in 2002, 5.7 percent in 2003, 6.8 percent in 2004, and 6.6 percent in 2005. The current 14 account deficit, before debt relief, represented 3.4 percent of GDP in 2005. However, thanks to the reduction in debt service obtained from the DRC's bilateral (Paris Club) and multilateral creditors under the Enhanced HIPC Initiative, the deficit for 2004 came to 2.0 percent of GDP, making it possible to increase gross external reserves (excluding aid) between 2001 and 2004 from 4.7 to 6.2 weeks of imports and goods and services. The results in the area of public finance have been encouraging as well. Revenue increased from 6.2 percent of GDP in 2001 to 11.0 percent in 2005. Over the same period, expenditure increased from 7.9 percent of GDP to 16.6 percent, implying an overall deficit on a cash basis of 0.7 percent of GDP in 2005 (DRC: Poverty Reduction Strategy Paper, IMF, 2007:13-14). All these accomplishments, unfortunately, did not have much impact on the life of ordinary citizens. In other words, not much impact was observed in terms of socio-economic transformation (see UNDP, 2016b).



Furthermore, various reports on the implementation of DSCR-1 (2006-2010) and DSCR-2 & PAG (2011-2015) suggest that not much impact on the ground could be observed in terms of socio-economic transformation with a view of improving the social conditions of ordinary citizens. Focusing on health, education and living standards, the IMF (2010) reports, for instance, indicate that during 2003-09, the DRC received interim debt relief of US\$1,308.8 million, some US\$187 million per year while on average non-security priority spending exceeded 2003 levels by US\$250 million per year. Spending by the national authorities on agriculture, education and health sectors was extremely modest at the end of the war in 2003. Priority sectors, excluding security, received only 0.4 percent of GDP while security amounted to 1.7 percent of GDP. Since then, spending by the national authorities on the priority sectors (excluding security) increased to 3.5 percent of GDP. As a share of total national expenditure, these expenditures rose from 4 percent in 2003 to 18 percent in 2008 and 2009. During 2006-08, the increase in non-security priority spending exceeded interim debt relief and fell to just under 100 percent in 2009 because debt relief more than doubled as demonstrated in Table 14 below (see

IMF, 2010).

**Table 14: DRC: Expenditures of Priority-sector Ministries, 2003-09**

	2003	2004	2005	2006	2007	2008	2009
<i>In percent of GDP</i>							
Health	0.1	0.1	0.5	0.5	1.0	0.8	0.6
Education	0.2	0.2	1.4	2.0	2.5	2.8	2.1
Agriculture and Rural Development	0.1	0.1	0.1	0.3	0.3	0.4	0.8
Security sectors (1)	1.7	2.8	3.0	2.5	3.8	4.2	4.5
<i>Pro memoire</i>							
Total, excluding security spending	0.4	0.4	2.0	2.9	3.8	4.0	3.5
Total, including security spending	2.1	3.2	5.0	5.4	7.6	8.2	8.0

Source: IMF, 2010:15.

Data in Table 14 above suggest that the DSCR-1 (2006-2010) Programme did not really do much in terms of impacting lives of ordinary citizens because of the ways in which funds were distributed according to priority sectors. Trends of the expenditures show that between 2003 and 2009 the health and education sectors did not receive much in terms of funding to enable them to function properly. This means capacitating the sectors for adequate service delivery to ordinary citizens. This would have promoted employment and job creation and ultimately improved the socio-economic conditions of the population with an enhanced standard of living. The outcome of the implementation of DSCR-2 & PAG (2011-2015) Programme is summarised in Table 15 below:

**Table 15: DRC's HDI and component indicators for 2015**

	HDI value	HDI rank	Life expectancy at birth	Expected years of schooling	Mean years of schooling	GNI per capita (PPP US\$)
Congo (Democratic Republic of the)	0.435	176	59.1	9.8	6.1	680

Source: UNDP, 2016b:7.

Although there is improvement in the HDI value in 2015 (0.435) – the highest comparing to all previous years, this does not prevent the country from maintaining a low classification in the HDI ranking (176). The contributing factors include 77.1% of the population living below the income poverty line - PPP \$1.90 a day of which 36.7 % in severe multidimensional poverty out of a total population of 77.3 million (UNDP, 2016b). This suggests that the DSCR-2 & PAG (2011-2015) Programme did not achieve its assigned objectives.

These strategic documents led to the formulation of a policy document which intends to

serve as a prospective policy framework of sectoral development policies in order to materialise the established vision (vision 2030 and beyond) regarding the development of the DRC. Its strength lies in the implementation of the guidelines proposed in this plan, which require high-level governance (involving the Presidency of the Republic) for monitoring, control and direction in the implementation of the Strategic Plan. Such an approach, a direct involvement of the presidency in monitoring and controlling the execution of policies, questions the levels of trust that exist between political and administrative officials and subsequently the type of relationship that exists amongst them. Hence, the need to understand and exercise LE and apply its inherent CSFs as a way to ensure an organisational efficiency and effectiveness. This will promote moral leadership that helps public servants to build good character and thus the will to do the right thing – implying integrity-based approaches to complement the compliance based-approaches in leadership and management.

### **5.3.3 Effects of policies of socio-economic transformation**

The purpose of this section is to present, in general terms, the economic situation of the country and its associated economic policies in recent years since the end of colonisation. This is a way to underline the slow progress in the reform process, which should culminate in the socio-economic transformation. In this respect, the economic situation of the DRC can be presented in the following way:

The period from 1990 to 2015 is a specific period that presents meaningful information on the socio-economic progress about the DRC since independence in 1960 (Lemarchand, 1964; Ekpebu, 1989; Young, 1965, 1991; Depelchin, 1992). In this respect, the 1990s is a period characterised by strong political instability and the civil war that led to the ousting of Mobutu's dictatorial regime (Braeckman, 1992, 1996; Dungia, 1992; Leslie, 1993; Bangoura, 1994; Diangitukwa, 1997; N'Gbanda, 1998; Schatzberg, 1980, 1988, 1991, 2001; Bakajika, 2004). The 2001-2003 period is characterised by events including a regional war in the DRC involving armed forces from Angola, Zimbabwe, Namibia, and Chad – supporting the government, while Rwanda, Burundi and Uganda supported various factions of rebel forces in the DRC. The Sun City peace deal was signed amongst Congolese under the mediation of the then RSA president Thabo Mbeki, paving the way



for the establishment of a transitional government of national unity tasked with the responsibility of organising the elections with a view of ending people's misery in the war-torn country (Diangitukwa, 2001; De Villers, 2005; Haskin, 2005). The major event characterising the year 2006 was the organisation of the first ever general elections in the history of the DRC and the beginning of the reconstruction of the country (Braeckman, 2005, 2006; Putzel *et al.*, 2008). The 2010-2015 period is characterised by progress of the reconstruction and related challenges. This included other peace deals signed with the likes of the M23 rebel movement. There was also the organisation of general elections (2011) for the second time in the history of the country, paving the way for a fragile stability, which is always threatened mainly by lack of political will from political actors to end political problems that affect the socio-economic sector.

The above description of the state of the DRC is consistent with its current ranking. It is classified as one of the least stable and amongst the most fragile states in the world<sup>16</sup>. Countries are characterised, from an economic point of view, by low ability to mobilise domestic resources and to promote economic diversification and moving-up in value chains, high dependence on external financial resources as well as low levels of human capital and persistency of underdeveloped and internally disconnected infrastructures (Collier, 2007; Andersen, 2008; Zoellick, 2008; Mcloughlin, 2012 ). Yet the same country was the second most industrialised nation in Africa (after South Africa) by the end of the colonial period (Young, 1968; Leslie, 1993).

Furthermore, for several decades, the country's economy has been characterised by factors including what is referred to as a plethora of economic activity in the "informal" sector. That is, beyond the purview of the state; deep patterns of inequality and persistent poverty; the enduring weakness of the agricultural sector, with a large percentage of people in forms of subsistence production; abundant mineral resources, but a significantly de-industrialised mining sector and weak and un-diversified industrial production. More generally, it has insufficient communication and transport systems, and a large but

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<sup>16</sup> In 2006 the DRC was the second worst scoring country on the index; in 2007 the DRC was seventh; in 2008 the DRC was sixth; in 2009 the DRC was fifth; in 2010 it was fifth again; in 2011 it was fourth; second in 2012 and 2013; fourth in 2014, fifth in 2015 and on the most recent FSI publication in 2016 places the DRC at the 8th worst scoring state in the study. "Fragile State Index": <http://fsi.fundforpeace.org/>, accessed in January 2017.

unexploited hydroelectric potential (Mutamba, 1999, 2003; N’Gambwa, 2011; Weijs *et al.*, 2012). Leading scholars, including Kitenge N’Gambwa (2011) point to the lack (in leadership of the DRC) of a real vision for the DRC’s future, the competence and ability to execute the vision, and the character needed to ensure the realisation of the vision with sound judgement, integrity, and equity. This view is consistent with the argument in this study questioning the good characters and the will in public servants to do the right thing as a way of articulating LE and the application of CSFs leading to organisational efficiency and effectiveness.

However, within such a context, since 2006 (the year of the organisation of the first ever general elections in the history of the DRC) to date, the DRC presents an interesting set of economic data.

The macroeconomic environment is marked by stability of domestic prices and the exchange rate as well as the maintenance of economic growth that began in 2003. Despite the decline in growth in 2009 (2.8%) and the rise of inflation (53.4%) following a major crash in the price of copper (the main raw material that the DRC exports) in the international market due to the effects of the global financial crisis, the DRC has achieved performance in 2010 with a growth rate of a Gross Domestic Product (GDP) of 7.2% and an inflation rate of 9.8%, thanks to the combined effects of fiscal and monetary adjustment measures. This GDP growth accelerated between 2011 and 2013 from 6.9% in 2011 to 7.2% in 2012 and 8.5% in 2013. This economic improvement is due to the vitality of the mining sector following favourable effects of world prices and the dynamism of trade, transport and communications, agriculture and construction. In 2015, the DRC registered an annual average economic growth rate of 7.7% although the projection was 9.4%. Forecasts for GDP growth for the subsequent year suggest 8,5% (2016), 8,4% (2017), 7,5% (2018), 6,7% (2019) and 5,4% (2020), subject to three major risks. Firstly, the weakening demand for, and falling world prices, of raw materials; secondly, continuing security instability; and thirdly, slackening of the implementation of sound macroeconomic policies and rigorous structural reforms (see RDC, 2005; RDC 2013; IMF, 2015).

Despite an impressive economic growth rate and a reduction in the poverty rate from 71% in 2005 to 63% to date (UNDP, 2016b), the poverty rate remains high in the DRC. The

country is among the poorest countries in the world and maintaining the low ranking 176 out of 187 countries on the Human Development Index in 2016 (latest), and its per capita income, which stood at \$380 in 2014 (Atlas method), is among the lowest in the world. The United Nations estimates that there are some 2.3 million displaced persons and refugees in the country and 323,000 DRC nationals living in refugee camps outside the country. A humanitarian emergency persists in the more unstable parts of the DRC and sexual violence rates remain high.

This economic outlook presents two scenarios leading to mixed feelings. On the one hand, there is recognition of efforts that are being made to change the course of history and the negative trends attached to the reform process along the years. On the other hand, the economic outlook outlines and points to little impact of such efforts on the ground. This means that not much is happening in terms of improving the socio-economic conditions and lives of ordinary citizens, hence the need to engage seriously in search for a solution. One way would be firstly, to acknowledge the facts, that, the low growth trajectory provides a major challenge for government and citizens. Then, the need to prioritise spending better, implement plans more effectively and make a greater impact. Lastly, the need to build the widest possible partnership to promote consensus and action on a programme for inclusive growth and transformation. This requires moral leadership that helps public servants to build good character and thus the will to do the right thing – implying integrity-based approaches to complement the compliance based-approaches. This is a way to demonstrate an awareness and understanding of LE and the application of its CSFs.

## **5.4 Chapter Summary**

The purpose of this chapter was to provide an overview of the socio-economic policies implemented in South Africa post-apartheid and the DRC post-colonialism. However, despite the fact that policies and laws of socio-economic reform have been introduced in these countries, socio-economic transformation remains a challenge. In South Africa, for instance, critics of public policies including the RDP, the GEAR strategy, ASGISA, B-BBEE, GNP and NDP question neither their intentions nor their coming into being but

rather point to the implementation process (Bhorat *et al.*, 2015). This means that, on the one hand, critics decry an extensive regulatory framework while, on the other hand, they outcry the lack of adequate human capital (Fedderke, 2015) or leaders with personal integrity (Lei *et al.*, 2014) to drive the implementation process. The same critics are echoed in the case of the DRC through various reports published over the years, particularly by the UN agencies (UNDP and IMF Country Reports).

It has become apparent that failure in the implementation process is associated with lack of articulation of LE associated attributes namely vision, virtues, values and obligations and the application of its inherent CSFs namely, MTR, RPDR, ERO, and PL. These intend to promote moral leadership that helps public servants to build good character and thus the will to do the right thing – implying integrity-based approaches to complement the compliance-based approaches in leadership and management.



## **CHAPTER SIX**

### **DATA COLLECTION AND ANALYSIS**

#### **6.1 Introduction**

Following the focus of the previous chapter on the socio economic policies introduced in post-apartheid South Africa and after independence in the DRC, and the seeming failure of these policies to address issues of poverty and unemployment, this chapter explores the understanding and awareness of leaders and their followers of LE and the application of CSFs. As mentioned elsewhere in the thesis, the assumption is that the slow pace of implementation or failure of socio-economic policies to achieve its intended outcomes resonates primarily in leadership. Therefore, this chapter presents, analyses and critically interprets key respondents' views on LE and the application of CSFs in relation to public policy implementation. In this respect, the chapter is organised into three parts. The first part focuses on the findings from the interview and survey questionnaires from respondents from the DTI (RSA) and the second part focuses on the interview and survey questionnaires administered to public officials from the ECONAT (DRC). The third section of the chapter concludes with the main findings in relation to LE and the application of CSFs in the departments under investigation.

#### **6.2 The DTI : Data presentation, interpretation and analysis**

Both the interview schedule and survey questionnaires were used to gather information with regard to LE and CSFs in relation to performance in public management. In this view, a semi-structured interview schedule was used to guide the interview with a senior public official in the DTI. The interview schedule probed the key elements comprising (1) LE, namely visions, virtues, values and obligations (see section 3.3); (2) its CSFs, namely a Mutually Trusting Relationship (MTR), Recognition of Power Dynamics in the Relationship (RPDR), Effectiveness in Reaching the Objectives (ERO), Participatory Leadership (PL), (see section 3.4); and (3) Performance in Public Management.

It is important to underline that at the DTI in South Africa, the interview was conducted with the Chief Director for Trade Policy and Research, in the International Trade and Economic Development Division (ITED). This is a policy division in the DTI responsible for trade and investment policy, conducting trade negotiations, managing bilateral trade relations, and advancing Africa's economic development agenda in line with NEPAD (RSA, 2014a). In this respect, following the role and responsibility of the portfolio, the involvement and participation of the Chief Director for Trade Policy and Research in this study is of utmost importance and enriching for playing a key role in the policy implementation process and driving the organisational vision and values.

A survey questionnaire was administered to public officials at middle and lower management levels working and reporting directly to the Chief Director and the Secretary General in South Africa. The purpose of the questionnaire was to reduce personal biases inherent in the responses of the senior official, which appear to be a challenge emerging from self-perception assessments (Gavanski and Hoffman, 1986; Wells and Sweeney 1986; Walfish *et al.*, 2012).

Key questions probed through the survey questionnaire included: (1) With regard to perspectives on LE – vision, virtues, values and obligation – does your senior official demonstrate such an approach to leadership with regard to policy formulation, implementation and administration? (2) With regard to perspectives on CSFs – MTR, RPDR, PL and ERO – does your senior official demonstrate an understanding of this concept in his/her practice of leadership? (3) With regard to perspectives on performance in public management as encompassing an interface between the political and administrative leadership, that is complementary in nature and respectful of the authority and responsibility of each other, does your senior official demonstrate an understanding of this concept in his/her practice of leadership?

### **6.2.1 Responses from senior public official in the DTI**

The awareness and understanding of LE, CSFs and organisational performance from the perspective of the Chief Director at the DTI was gauged. In this respect, the approach was a face-to-face interview based on a semi-structured interview schedule used to guide the interview. The semi-structured nature of the interview guide allowed for follow-up

questions in the case of clarification and further exploration of issues.

### 6.2.1.1 Part I: Perspectives on Leadership Ethos

**Question 1: When you think about LE in public management: What comes to mind? What concerns you?**

**Answer:** LE would be fitting in, firstly having a vision, secondly being able to convey that to people and convince them of it. In other words, to take them with you. The concerns, maybe at some of the junior levels the people are not aware of what is happening and where the thinking goes. But then if one works in the department and gets him to read the department's media publications, policy papers published, you shouldn't find yourself lost; you have an opportunity to know what is going on if you want to.

**Interpretation and Analysis:** By mentioning *vision* and by pointing out the ability to convey and convince the followers of such a vision, the respondent has demonstrated a partial understanding of what constitutes LE within the context of this work. However, the concern that emerges relates to how the vision is articulated and/or conveyed to followers. The respondent refers to junior staff reading departmental publications, policy papers, etc. as a form of gaining greater insights and understanding into the vision of the department. However, a fundamental principle related to leadership is that of persuading the follower of the vision through the leader's actions, attitudes and example. This response may in part contradict the essence of leadership, particularly charismatic and transformational styles of leadership, where leaders inspire others to transcend their own self-interests in the pursuit of a higher purpose (Brown and Trevino, 2006; Horn *et al.*, 2015; Gebert *et al.*, 2016). Leaders also pursue organisational excellence while honouring duties to employees to keep them informed, provide them with the resources to achieve individual goals, and seek their highest potential (Moon, 2017). They must honour duties owed to individuals, the organisation, and to society – servant leadership (Savage-Austin and Honeycutt 2011; Caldwell, 2017) while acknowledging that cooperative efforts through professional will and personal humility are key to organisational success – Level 5 leadership (Reid *et al.*, 2014; Caldwell and Hayes, 2016; Caldwell, 2017). They should incorporate correct principles in their dealings with others and incorporate a virtue-based ethical foundation based upon such principles. These are principles centered on leadership

(Brady, 1999; Lindsey and Pate, 2006; Caldwell, 2017) and advocate for the increased understanding and greater insight that help people benefit themselves, the society, and the organisations in which they work – covenantal leadership (Pava, 2003; Caldwell and Hasan 2016; Mintzberg and Caldwell, 2017). In this context, the response from the respondent presents a partial understanding of leadership that places the responsibility of interpretation of the vision primarily on the follower.

**Question 2: LE is understood as a common value framework constructed jointly by a leader and his/her followers, which serves as a basis for establishing a collective vision of change through meaningful and responsible actions. Do you exercise or have such an approach to leadership? If yes, how? If no, why not?**

**Answer:** At my level I would be making inputs to it. I wouldn't be making the vision but through my work, research papers on policy advice I would be making inputs into that which obviously reflect to some extent my ideas, my thoughts on what we should be doing, where we should be going. Sometimes one would find that the leadership already has certain ideas and is not necessarily open for amendment to that, but then as the leadership has to be knowledgeable, it's not necessarily a big problem to change because what they construct is normally very good.

**Interpretation and Analysis:** The respondent focuses on the leadership relationship that she has with her leaders. In this respect, it transpires that a perspective adopted in practice of leadership seems more aligned to the bureaucratic idea of leadership where decisions are made at the top and implementation is top-down. In other words, the top-down approach seems to promote compliance, as opposed to integrity-based approaches which promote participatory forms of leadership where leaders and followers are engaged collectively in the establishment of LE (i.e. values and virtues). This approach may fall short because of the conservative perception of leadership; followers may not be afforded the opportunity to engage in decision-making processes and setting the direction of the department. This is inconsistent particularly with the Level 5 leadership model, which acknowledges cooperative efforts through professional will and personal humility as key to organisational success (Reid *et al.*, 2014; Caldwell and Hayes, 2016; Caldwell, 2017). In the case of the respondent, it seems as though she underestimates her role in the construction of a common value framework. She refers, however, to her contribution as



one of “making inputs” and these “inputs” are in fact what can contribute to a common value framework for the department.”

**Question 3: Given the following characteristics of LE: vision, virtues, values and obligations. What in your opinion constitutes a challenge in relation to public policies?**

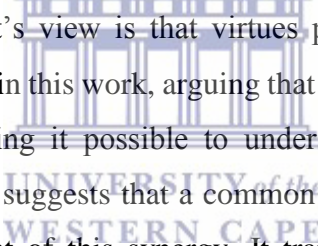
**Answer:** There is no lack of sense of that which is associated to values. Obligation is not a challenge, everything that we need to do, we do. Virtues, maybe sometimes we lack a bit in a sense of we kind of work within our context. Like I work in trade, someone else works in industrial development, we try to interact and try to understand each other’s actions and how willing are we to accommodate each other, but maybe sometimes we don’t quite manage that. Maybe sometimes a bit of not looking broad enough, losing some of the bigger picture obviously when you lose that perspective your work may become not successful because critical factors playing outside from other areas of work haven’t been taken into account (...) You must be technically sound with what you do. If you don’t have in your mind interests to be served, if you can work from a perspective of this is the vision, this is what needs to be achieved, what the best technical policy to help get to that (...)

**Interpretation and Analysis:**

It has become apparent that what is implied relates to a compliance-based mindset, where we do what we have to do, what we are obligated to do, perhaps linked to fear of punishment – discipline or a particular understanding of the public sector environment. These are characteristics of compliance-based approaches to leadership. The second issue relates to acting in silos as opposed to acting within the broader context of the public service. In this regard, the understanding of virtues and interpretation of vision of the DTI may be different to those of Industrial Development, which is somewhat problematic. A common vision and related virtues are what should bring departments within the public service together.

Vision relates to something intangible. It refers to the future state of an organisation and its realisation on what one knows and can apply. This refers to skills and competence –

in addition to what one sees or discerns which makes vision a powerful leadership virtue which can enable organisations and their employees to achieve their highest potential particularly when successfully shared or conveyed (see section 3.3.1). Virtues are regarded as moral and strength of characters to achieve both excellence and improved quality with respect particularly to life enhancing and promoting in the process a particular type of behaviour that enables the building of trust in relationship with others. These include character; competence; commitment; courage; clarity and compassion (see section 3.3.2). Values are regarded as abstract, trans-situational notions of what is good, right, and desirable. Values guide attention and action by encouraging some behaviour while discouraging others, helping in the process to set moral standards that all in the organisation must strive to meet. It is, therefore, an obligation – a responsibility of both leaders and followers in ensuring that values are realised if an organisation aspires to excellence (see section 3.3.3).

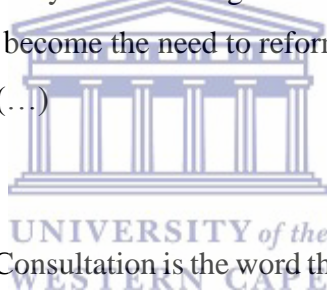


In this respect, the respondent's view is that virtues present a challenge of the four characteristics of LE identified in this work, arguing that people tend to work within their little comfort zones, not making it possible to understand each other's actions and accommodate each other. This suggests that a common understanding of virtues would have allowed the establishment of this synergy. It transpires that the lack of virtues common understanding of virtues across different government departments has created a gap in the practice of LE. In other words, the lack of a common understanding of virtues seems to influence the way in which different, but related government departments may envisage the implementation of public policies. This could affect the achievement of desired outcomes of socio-economic policies. Moreover, the response seems to suggest that a unified approach to government business has not yet been achieved.

**Question 4: Do your leadership abilities play a role in influencing the formulation, implementation and administration of public policies? If yes, how? If no, why not?**

**Answer:** Well, as I said, I make inputs into the policy (...) Policy formulation, it depends on policies, it is difficult to apply it across the board but in formulating the policy you need to have your own sound research which is not necessarily research as you understand it in academics but you need at least to understand the topic (...). We are obliged by the

constitution to consult on economic development issues with (...) three constituencies – government, business sector and trade unions. We are obliged to consult them on the economic development policies. Those processes together eventually get you to policy formulation: (1) own analysis, and (2) consultation. Consultation is a process: you consult and formulate, consult and formulate again. Policy implementation depends on policies. Some policies require a lot to implement and usually are implemented by law. Again, it's about consultation within and outside the government. Within the government we operate in cluster systems (...). Taking something up to the level of board, this will require also consultation through the political level through portfolio committees and cabinet committees. Finally, the approval of the parliament, both houses of parliament, only then it becomes an Act, and then you will be able to implement the policy. When policies don't work, you have to go back to the drawing board and talk to whoever you have to talk to and consult (...) Formulating a policy doesn't start from nowhere. It starts either from identifying the need to have a policy on something or looking at an existing policy seeing the problem with it, that's then become the need to reformulate into a different policy - a new policy or a revised policy (...)



**Interpretation and Analysis:** Consultation is the word that the respondent has repeatedly mentioned. According to her, consultation is key in the process of policy formulation, implementation and administration and it involves an exchange of ideas, which requires acute listening skills. Consultation is a value and more specifically within the context of the public administration reforms. Public value is an example of one of the reform initiatives that emphasises the principles of consultation in the decision within the public policy making process. In this respect, there is a sense of acknowledgement of her own knowledge and skills in the process of policy formulation and implementation. There is also knowledge of the complexities associated with policy implementation. There is acknowledgement of the importance of consultation, but it may be within the context of compliance since she refers to the “obligation to consult.” This may be different to an understanding of consultation within the context of the public value paradigm that acknowledges the important role that key stakeholders have to play in the policy making process.

In summary, the respondent has demonstrated some understanding of what leadership entails, especially when making reference to and recognising the need to have a relationship involving leaders and followers. However, the respondent's answers also pointed to a limited understanding of what LE entails by making reference only to vision amongst the four attributes of LE. Although mention of vision in relation to leadership has been made, the respondent's responses showed the gaps that exist in the understanding and practice of the four characteristics of LE, namely vision, virtue, values and obligations.

#### **6.2.1.2 Part II: Perspectives on Critical Success Factors (CSFs)**

This section first probes the Secretary-General's insights of CSFs in general without any explanation. The purpose with such an approach is to try to see if there is any benchmark or reference associated with the success in the Chief Director's leadership practices as a way of introducing discussion on CSFs identified in this study. Thereafter CSFs within the context of this study are introduced, probing his view on them.

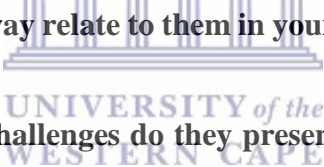
**Question 5: When you think of CSFs with regard to LE in public management: What comes to mind? What concerns you?**

**Answer:** Firstly, the leadership has to see the picture down the road, see where we are going. And then convey it to the people in such a way that they will buy into it. People buy into it if they actually understand that there will be good results, it will achieve what we said we want to achieve, namely the economic development. So the vision is the first CSF. Secondly the ability of the leadership to help people buy into it, after all will give the motivation to work for it. On a more practical level, CSF is to have the right people around. The people, who have the ability to formulate policies, bring inputs to the vision, inputs to the work toward that vision. You have to have people with intellectual and technical abilities to do that. What concern is in some cases you have people who are working too much in silence. Each person works in his own field. They don't sufficiently build the link, see and identify the link between them (...)

### **Interpretation and Analysis:**

The general question probing CSFs brought to the fore a discussion on the vision of leadership and the ability of leaders to convey the vision to people. The issue of competence and having the right people were also referred to within the context of CSFs. While vision and competence is instrumental to organisational efficiencies and effectiveness, it refers to LE, more than to CSFs. Therefore, the respondent demonstrated a limited understanding of specific CSFs as identified and discussed within the context of this study.

**Question 6: In this study, the following have been identified as CSFs inherent to LE in public management through the formulation, implementation and administration of public policies: 1 – mutually trusting relationship; 2 – recognition of power dynamics in the relationship; 3 – effectiveness in reaching the objectives; 4 – participatory leadership.**

- 
- a) **Do you in any way relate to them in your practices? If yes, how? If no, why not?**
  - b) **What kind of challenges do they present in your own understanding and practice of leadership?**
  - c) **How could such challenges affect the process of policy formulation, implementation and administration?**

**Answer:** They are all important. I can see that, especially the matter of trust. If we consult our trade department, you'll always see labour union always suspicious and it's really difficult to work with them if they actually don't trust what you are doing. That goes in any process like this. There has got to have a sense of trust, of believing that the other part is bound to the same interest in the end, namely economic development. You must orient yourself saying that we share the same interest. It's a matter of open communication which is difficult to establish and equally difficult to maintain even when you think that you have established that. The challenges probably come from trust and effectiveness. There is often mistrust among people and especially at the current time, people don't trust each other, they don't believe. It's difficult to get people to buy into anything or just to

give you honest opinions. That impacts on effectiveness if there are private agendas, private interests at play, withholding information; I must say I don't see a lot of that. I get along fairly with people.

### **Interpretation and Analysis:**

MTR – Trust is widely recognised as a facilitator of organisational cooperation, an enhancer of efficiency, and a key to increased performance and satisfactory results. Therefore establishing mutually trusting relationships is an ethical and moral duty and obligation in leadership/follower relationships. RPDR – the recognition of power dynamics in leadership relationship enables leaders and followers to understand their roles and to exercise them with care while upholding the organisational values, making the recognition of power dynamics an ethical and moral duty and obligation in leadership relationships. ERO – leaders with character, influence followers based upon a conveyed sense of what is important, what is worth doing well and expending energy on. In this respect, competence and abilities enable leaders to establish the leadership relationships of trust by “modeling the way” for employees and demonstrate that leaders understand the work to be performed by others in achieving the goals of their organisation and providing value for customers. Therefore, showing effectiveness in reaching the objective is an ethical and moral duty and obligation in leadership relationships. PL – leaders should view their relationships with employees as a sacred responsibility, and their motivation is inspired by an ethic of care that places people and their welfare as their major moral responsibility. In this way, followers will be encouraged to participate in the organisation's processes with a view to guarantee the success of the organisation. Therefore demonstrating participatory leadership is an ethical and moral duty and an obligation in leadership relationships.

To this end, the respondent has singled out MTR and ERO as challenges among CSFs identified in this study. This suggests that the success of policy formulation, implementation and administration in public management is conditioned or influenced by the level of trust among people involved in the process at all levels of management and the effectiveness with which duties and tasks are undertaken. However, there seems to be a contradiction of views here. On the one hand, the respondent refers to the challenge of getting buy-in to anything or just honest opinions from people. On the other hand, she

says that she does not experience any problems that relate to trust and gets along fairly well with people. This creates a gap in the articulation of CSF questions and casts doubts over the understanding of the very same notion of CSFs. In other words, there are two issues that transpire here. The first relates to trusting relationships, which are necessary for the achievement of organisational goals and objectives. The other issue relates to interpersonal relationships. The gap is more in a sense of the difference in the focus.

A more important focus based on the respondent's response relates to the overemphasis on MTR and ERO. In this respect, the issue of private interests stood out in the context of this study. Private interests conflict with organisational interests. As a result this may affect organisational effectiveness and efficiencies for being in conflict with organisational values, virtues, obligations – LE. This suggests that unless MTR is practiced and promoted in leadership/follower relationships it will be difficult for both to share interests for the sake of achieving ERO.

In summary, the respondent's answers appear to demonstrate gaps in the understanding of LE and its inherent CSFs. On the one hand, the first responses on LE for example, that focus on top-down versus consultative and participatory forms led to the thinking of the respondent's leadership style as more bureaucratic and compliance-based than integrity-based approaches, characterised by leadership style including charismatic, transformational, servant, Level 5 leadership, principle-centered and covenantal. On the other hand, by underlining MTR and ERO as a challenge in leadership/followers relationship as practiced in the Department, the respondent recognises the crucial role of these CSFs in determining the organisational efficiency and effectiveness.

### **6.2.1.3 Part III: Perspectives on Performance in Public Management**

**Question 7: Performance in Public Management can be regarded as a natural consequence of the above-mentioned CSFs. It depends, however, on the interface between the Political and Administrative Leadership that should be understood as a complementary relationship without undermining the authority and responsibility of each part. How do you demonstrate an understanding of this concept in your practice of leadership?**

**Answer:** I can't dispute the fact that the performance of a policy depends on the quality of the policy which depends on the CSFs. The interaction between administration and political level takes place. We have to report at a political committee in our case on the trade agreement, the impact of it, in extreme cases they might direct that there is something we need to change. The point is the political level oversees the administration. The relationship must be a two-way communication. The political level is guiding us (Administration) in a sense of setting the general policy orientation and we are responding to that. Public service doesn't operate in its own; it operates for the good of the government that is in place at any given time. So it has to respond to policy orientation of that government at political level. Responding to the orientation, but not mindlessly, you are supposed to be providing policy advice. If you see a dead end, you have to be pointing it out and propose some alternatives, technically and intellectually sound. It's your job as a public servant to be technically and intellectually sound, that is what you are appointed to bring to that.



**Interpretation and Analysis:**

It transpires that the first issues raised by the respondent are associated with quality and her role in providing guidance based on technically and intellectually sound alternatives in the case of things not working out as intended or initially envisaged. The second issue is that of communication between politicians and officials. In this regard, the respondent appears to present a view that reflects two approaches – one of political orientation and guidance and administrative responsive, which can be conceived of as compliance - based approaches to leadership evidenced through bureaucratically structured organisations. The second issue is that of administrative discretion – “but not mindlessly”. In this respect, performance in public management is associated with the interaction between administrative and political officials in a sense that it promotes bureaucratic leadership, which can be effective in instilling organisational values, virtues and principles and hence facilitate moral leadership.

In summary, bearing in mind that the point of integrity-based approaches are aligned to the public administration reforms that were introduced to facilitate organisational efficiencies and effectiveness, bureaucratic approaches to public sector organisational



functioning was criticised for evolving into officialdoms, disconnected from the interests and will of the ordinary citizens – affecting, therefore, negatively the essence of performance in public management.

### **6.2.2 Analysis of data from survey questionnaire**

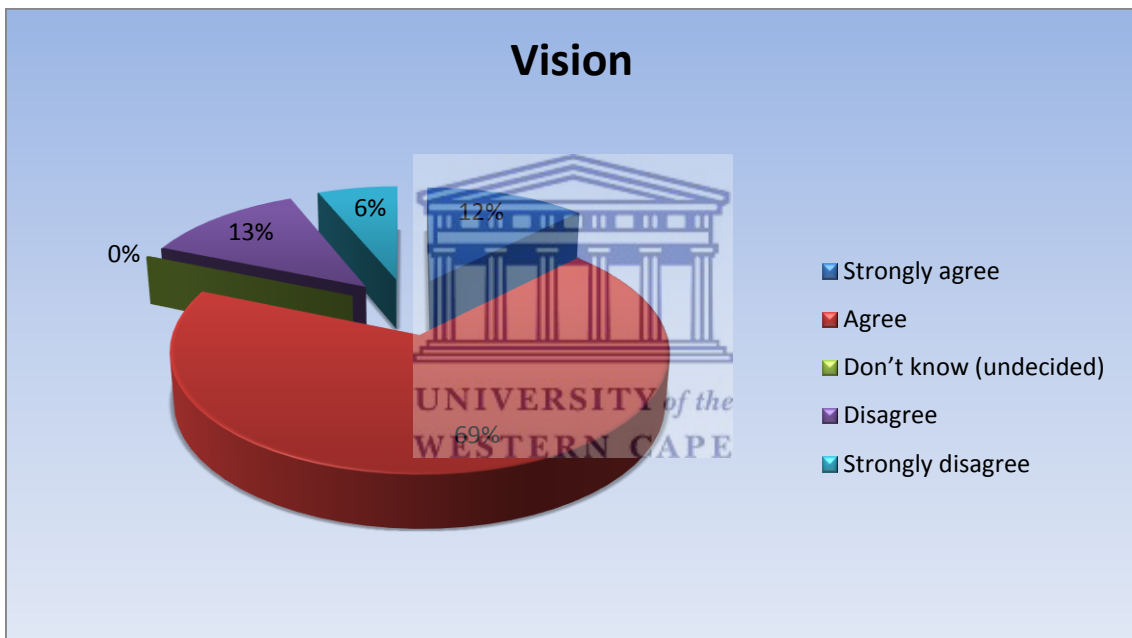
Following the results from the semi-structured interview schedules conducted with the senior public official, this section focuses on survey questionnaires that were administered to officials at the middle and lower-level of management who have a direct reporting line to the senior official in order to reduce self-bias that may have emerged from the semi-structured interviews. The number is relatively small – 16 (sixteen) because these include heads of departments and services who have direct reporting lines to the interviewed senior official. This is a small sample providing what Jansen (2010) refers to as “sufficient saturation” with regard to qualitative sampling survey by arguing that, “It is both logical and more efficient to purposively select a *diversity sample* with the aim to cover all existing relevant varieties of the phenomenon (*saturation*)” (Jansen, 2010:5). In this respect, the survey is structured in two parts. The first part probes the respondents’ experiences and perceptions of the LE applied by the leader. The second part focuses on the CSFs and probes the respondents’ perceptions on whether or not their leader applies these factors in the course of his/her role and function.

### 6.2.2.1 Perspectives on Leadership Ethos

- a) Vision: Does your senior official demonstrate such an approach to leadership with regard to policy formulation, implementation and administration?

**Chart 1: Perspectives on LE - Vision**

Strongly agree	Agree	Don't know (undecided)	Disagree	Strongly disagree
2	11	0	2	1

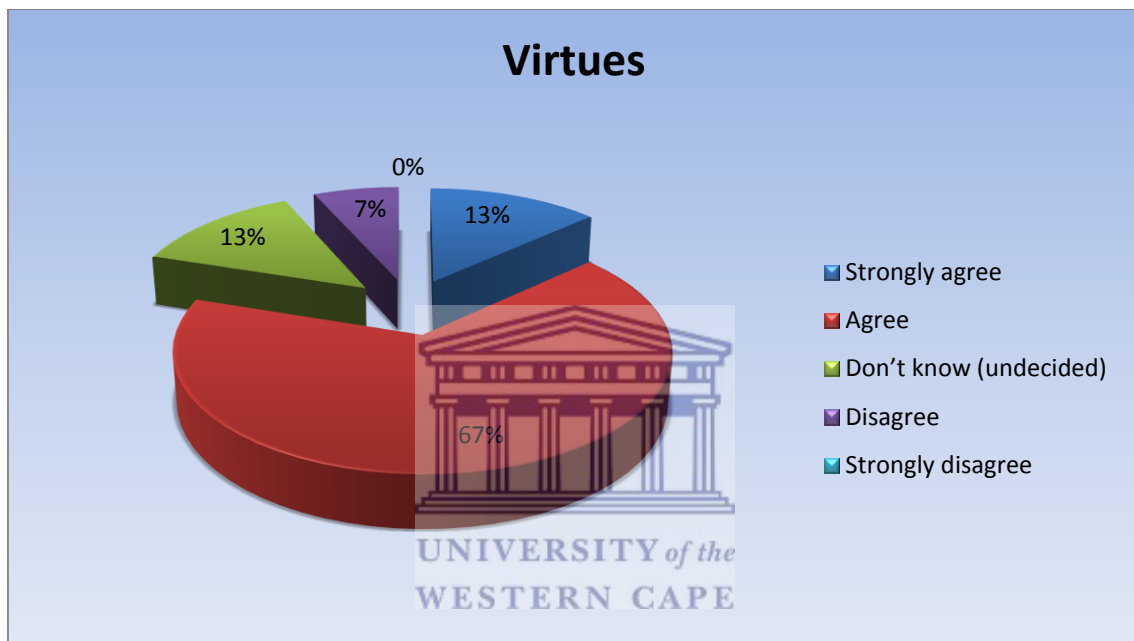


The results of survey questionnaires suggest that the majority of the respondents – 12% (strongly agree), 69% (agree), 0% (undecided), 13% (disagree) and 6% (strongly disagree) at least agree on the fact that their top manager at the DTI demonstrates vision when exercising leadership with respect to policy formulation, implementation and administration. This supports the view presented by the senior official in the interview schedule.

b) Virtues: Does your senior official demonstrate such an approach to leadership with regard to policy formulation, implementation and administration?

**Chart 2: Perspectives on LE - Virtues**

Strongly agree	Agree	Don't know (undecided)	Disagree	Strongly disagree
2	10	2	1	0

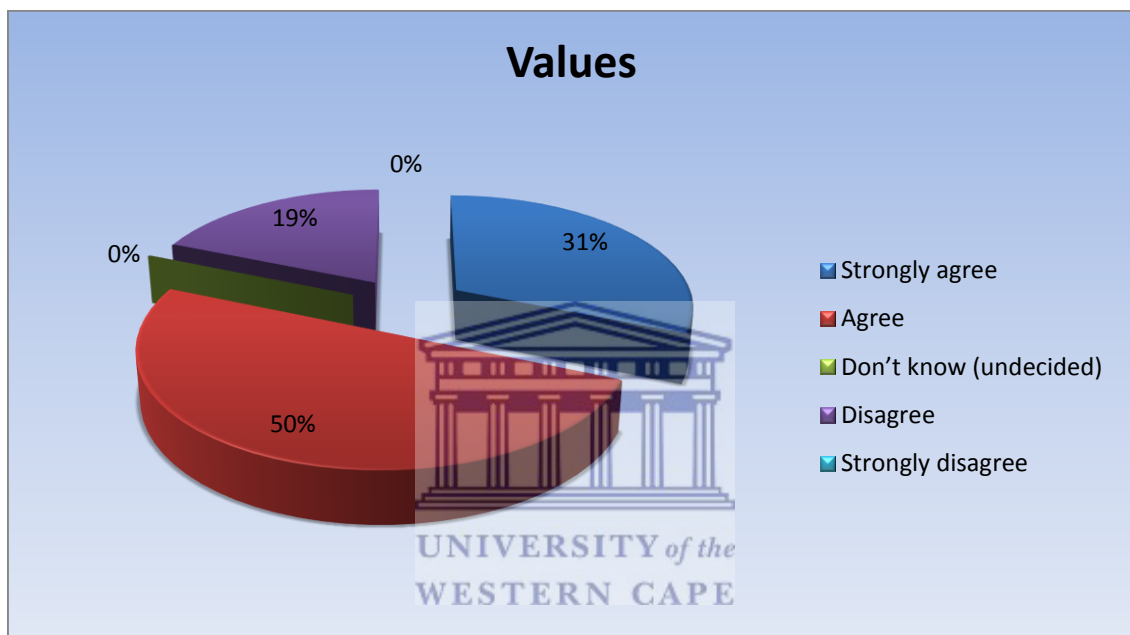


Despite the fact that one respondent did not indicate anything here, it is interesting to note that the majority of the respondents – 13% (strongly agree), 67% (agree), 13% (undecided), 7% (disagree), and 0% (strongly disagree) at least agree on the fact that their leader demonstrates virtues when exercising leadership with respect to policy formulation, implementation and administration. Moreover, such perceptions, experiences, and viewpoints prove interesting, considering the view presented by the senior official in the interview schedule. While the response to the interview schedule points to virtues as a challenge, the responses to survey questionnaires responded positively in favour of the senior officials. It transpires that there is a certain degree of contradiction. The difference of opinion, although little in terms of percentages, is interesting in underlining the point that followers in such a leadership relationship play an important role in determining the success of leadership based on what is presented to them as virtues by leaders.

c) Values: Does your senior official demonstrate such an approach to leadership with regard to policy formulation, implementation and administration?

**Chart 3: Perspectives on LE - Values**

Strongly agree	Agree	Don't know (undecided)	Disagree	Strongly disagree
5	8	0	3	0

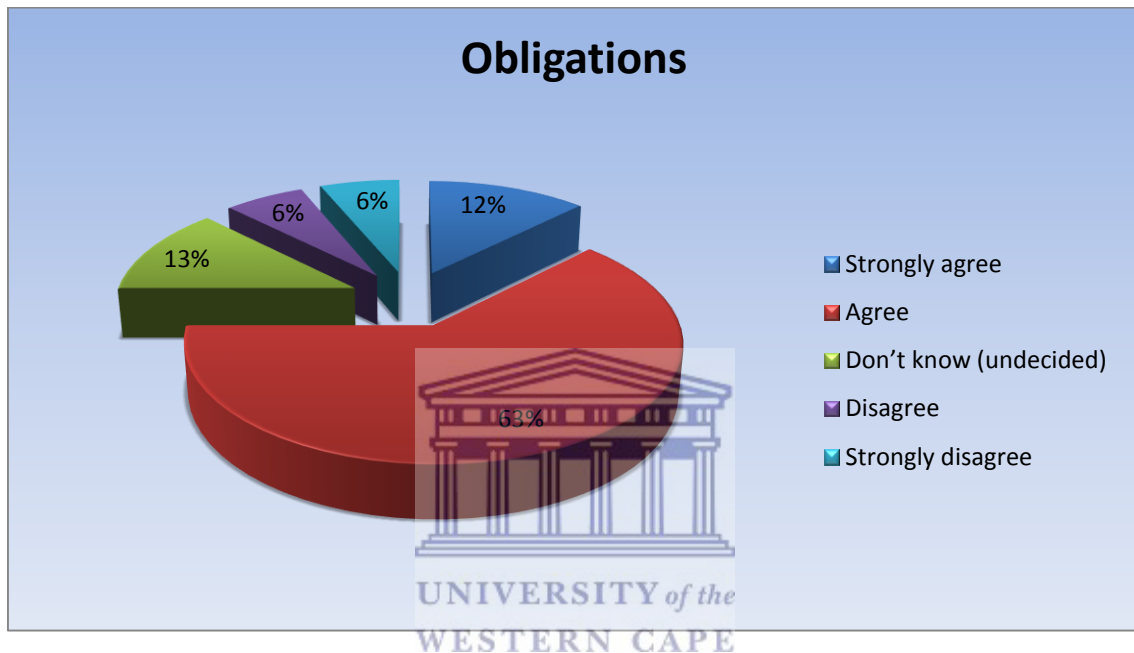


The results of survey questionnaires suggest that the majority of the respondents – 31% (strongly agree), 50% (agree), 0% (undecided), 19% (disagree) and 0% (strongly disagree) at least agree on the fact that their top manager at the DTI demonstrates values when exercising leadership with respect to policy formulation, implementation and administration. The 19% representing a different view suggests that values in the organisation when not shared and promoted by all could create difficulties in the leadership relationship between followers and leaders, which ultimately may affect the outcome of such leadership negatively.

d) Obligations: Does your senior official demonstrate such an approach to leadership with regard to policy formulation, implementation and administration?

**Chart 4: Perspectives on LE - Obligation**

Strongly agree	Agree	Don't know (undecided)	Disagree	Strongly disagree
2	10	2	1	1



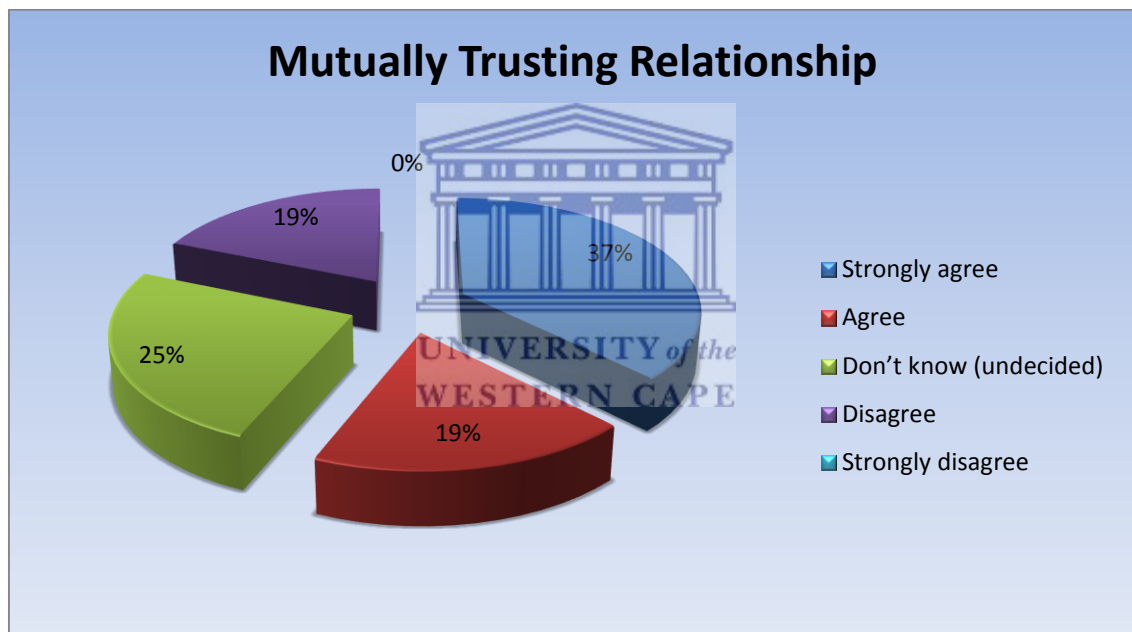
The results of survey questionnaires suggest that the majority of the respondents – 12% (strongly agree), 63% (agree), 13% (undecided), 6% (disagree) and 6% (strongly disagree) agree on the fact that their top manager at the DTI demonstrates the sense of obligation when exercising leadership with respect to policy formulation, implementation and administration. However, it is important to recognise the implication of 12 % of respondents who disagreed in the leadership relationship, suggesting that this group of followers is distantly away from their leader. The 13% undecided respondents underline the mixed feelings based on doubts that persist in the leadership relationship which could be problematic in terms of achieving the outcomes if not attended to.

### 6.2.2.2 Perspectives on Critical Success Factors (CSFs)

e) Mutually Trusting Relationship: Does your senior official demonstrate an understanding of this concept in her practice of leadership?

**Chart 5: Perspectives on CSF - Mutually Trusting Relationship**

Strongly agree	Agree	Don't know (undecided)	Disagree	Strongly disagree
6	3	4	3	0

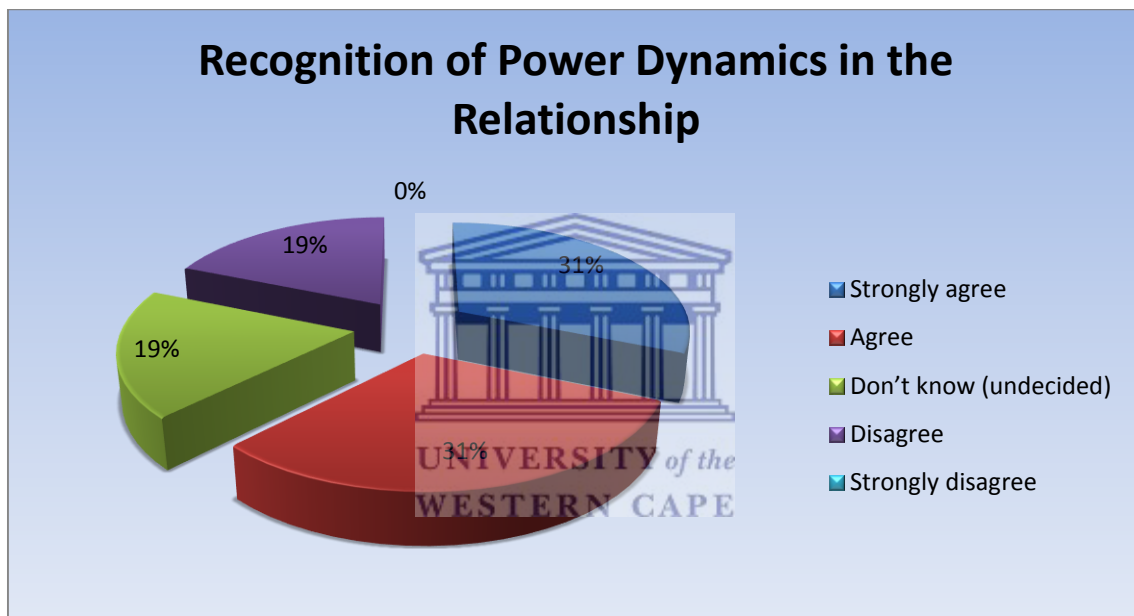


The results of survey questionnaires cast doubts on the understanding and application of the very notion of mutual trust in the leadership relationship between leaders and followers. The above figures – 37% (strongly agree), 19% (agree), 25% (undecided), 19% (disagree) and 0% (strongly disagree) suggest mixed feelings as far as perceptions, experiences, and viewpoints are concerned. This may be problematic in terms of CSFs, considering that trust is a facilitator of organisational cooperation and an enhancer of efficiency and effectiveness, amongst other things.

f) Recognition of power dynamics in the relationship: Does your senior official demonstrate an understanding of this concept in her practice of leadership?

**Chart 6: Perspectives on CSFs - Recognition of power dynamics in the relationship**

Strongly agree	Agree	Don't know (undecided)	Disagree	Strongly disagree
5	5	3	3	0

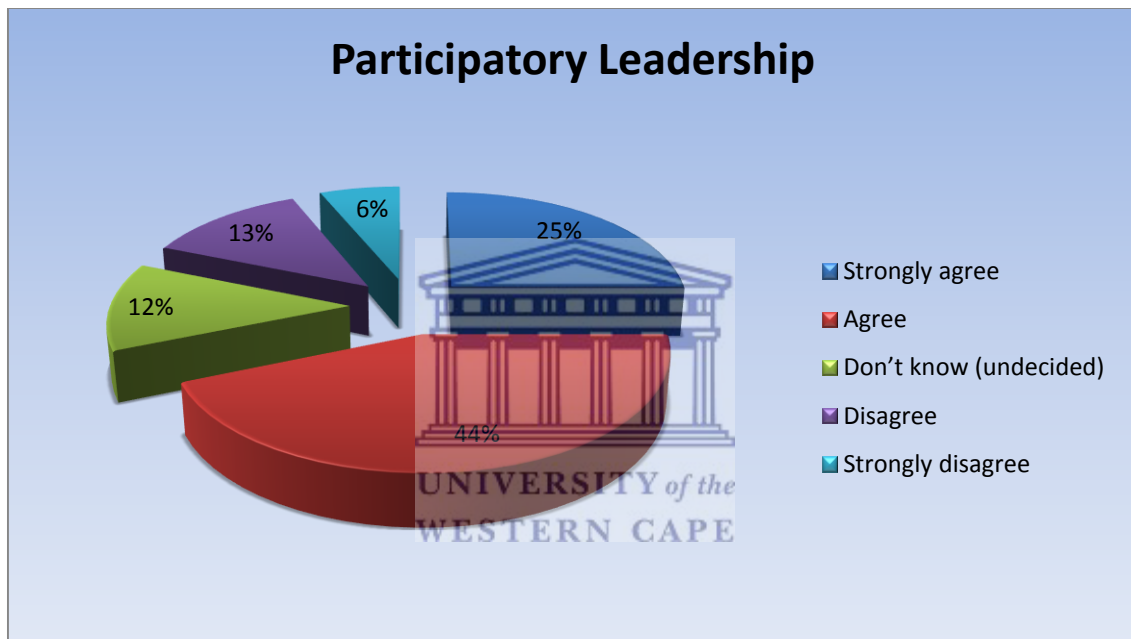


The results of survey questionnaires point to a growing number suggesting that 31% (strongly agree), 31% (agree), 19% (undecided), 19% (disagree), agreeing that their top manager demonstrates an understanding of this concept in the practice of leadership, suggesting that there is a sense of recognition of power dynamics in the leadership relationship between leader and the followers. This is interesting insofar as this particular CSF is concerned. As such, the outcome supports the view that when cooperative trust is established in a leadership relationship, both leaders and followers recognise each other's role – the essence of recognition of power dynamics in the relationship.

g) Participatory leadership: Does your senior official demonstrate an understanding of this concept in her practice of leadership?

**Chart 7: Perspectives on CSF - Participatory leadership**

Strongly agree	Agree	Don't know (undecided)	Disagree	Strongly disagree
4	7	2	2	1



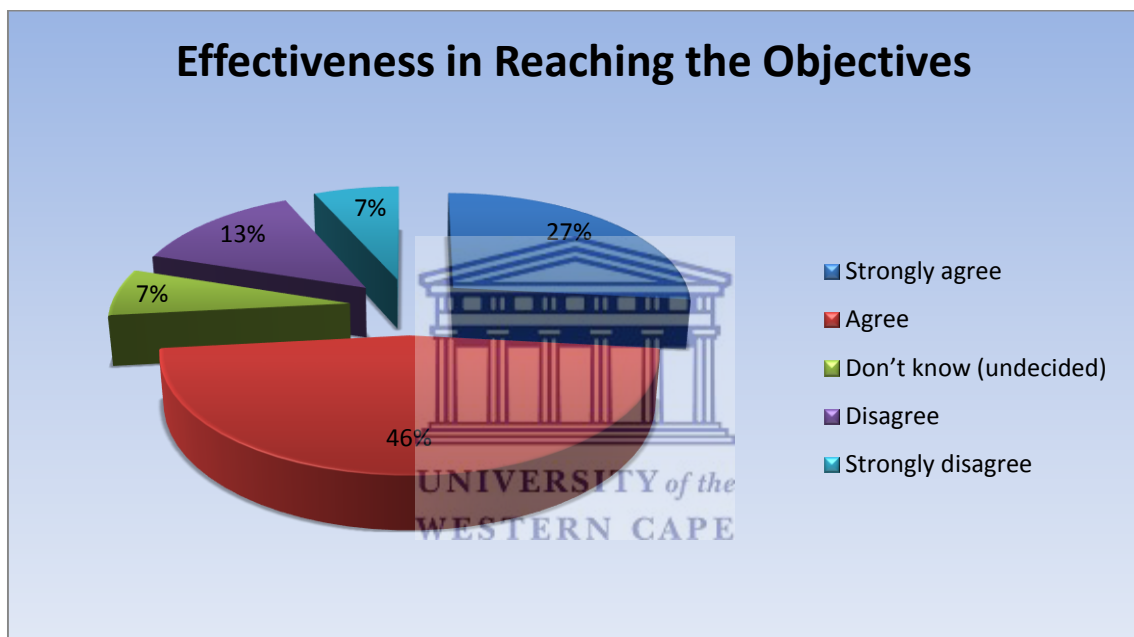
Again the results of survey questionnaires point to a growing number of respondents – 25% (strongly agree), 44% (agree), 12% (undecided), 13% (disagree) and 6% (strongly disagree) agreeing in favour of their leader whom they think demonstrates an understanding of this concept in the practice of leadership. Participatory leadership promotes consultation in leadership relationships. In this way, followers are encouraged to participate in the organisation's processes with a view to facilitate success of the organisation, which is fundamental for LE.



h) Effectiveness in reaching the objectives: Does your senior official demonstrate an understanding of this concept in her practice of leadership?

**Chart 8: Perspectives on CSFs - Effectiveness in reaching the objectives**

Strongly agree	Agree	Don't know (undecided)	Disagree	Strongly disagree
4	7	1	2	1



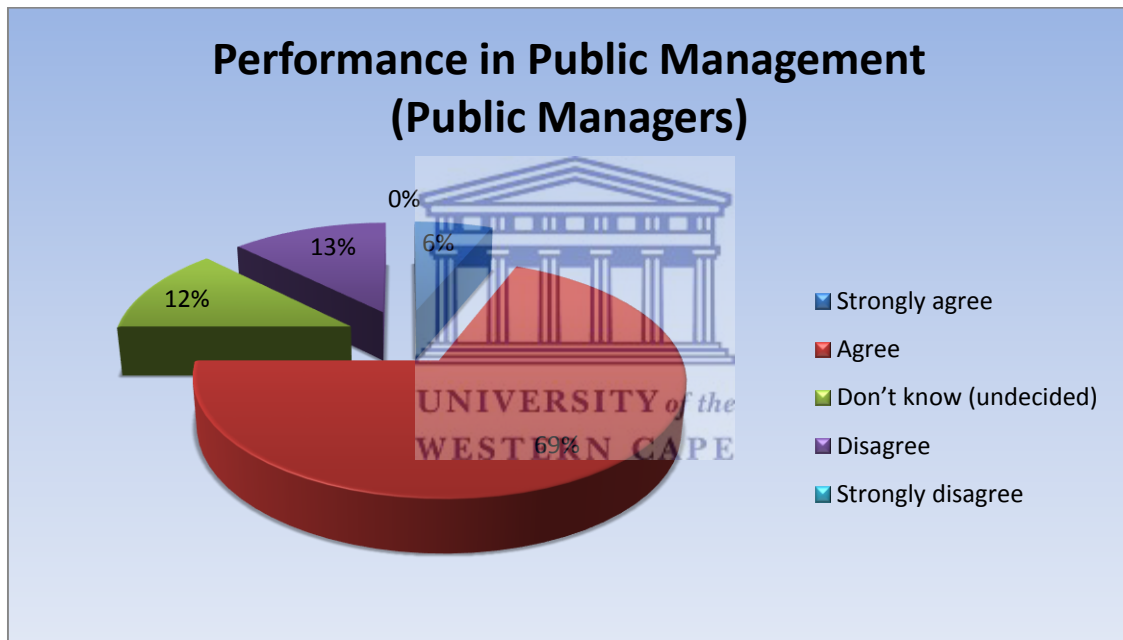
The results of survey questionnaires – 27% (strongly agree), 46% (agree), 7% (undecided), 13% (disagree), 7% (strongly disagree) suggest that the majority of respondents agree that their leader demonstrates an understanding of this concept in the practice of leadership. This factor entails influence on followers from the leader based upon “a shared sense of what is important, what is worth doing well and expending energy on” (Homrig, 2001). Consequently, the desired results will be achieved. This is a way of practicing in principle-centered leadership, which underpins integrity-based approaches to leadership and management.

### 6.2.2.3 Perspectives on Performance in Public Management

- i) Does your senior official (public managers) demonstrate an understanding of this concept in their practice of leadership?

**Chart 9: Perspectives on Performance in Public Management**

Strongly agree	Agree	Don't know (undecided)	Disagree	Strongly disagree
1	11	2	2	0



The results of the survey questionnaires – 6% (strongly agree), 69% (agree), 12% (undecided), 13% (disagree) and 0% (strongly disagree) suggest that the majority of the respondents agree that their top manager understands the concept associated with performance in public management. It is acknowledged that performance in public management encompasses an interface between the political and administrative leadership that is complementary in nature and respectful of the authority and responsibility of each other.

### 6.3 The ECONAT: Data presentation, interpretation and analysis

Both the interview schedule and survey questionnaires were used to gather information with regard to LE and CSFs in relation to performance in public management. In this view, a semi-structured interview was conducted with a senior public official accompanied by survey questionnaires administered to public officials at middle and lower management levels in order to reduce personal biases inherent in the responses of the senior officials' interview schedules. The interview schedule probed the key elements comprising (1) LE, namely visions, virtues, values and obligations (see section 3.3); (2) its CSFs, namely Mutually Trusting Relationship (MTR), Recognition of Power Dynamics in the Relationship (RPDR), Effectiveness in Reaching the Objectives (ERO), Participatory Leadership (PL), (see section 3.4); and (3) Performance in Public Management.

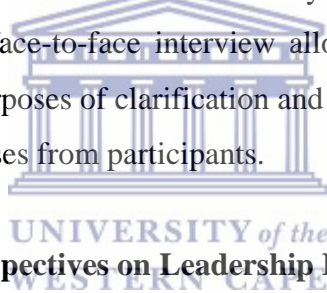
It is important to underline that in the DRC, the Secretary General responded for the ECONAT. The Secretary General of the ECONAT supervises and coordinates all the activities of the Ministry. The role and responsibility includes the execution of all the administrative measures of the legal and regulatory texts, it ensures the liaison between the Cabinet of the Minister and the Administration. The tasks are carried out with the technical support of the Directorates which include the Directorate for General Services; the Directorate for Economic, Commercial and Industrial Legislation; the Supply, Consumption and Competition Directorate; the Directorate for Economic, Commercial and Industrial Inspection; the Directorate for the Identification of Economic Operators; the Directorate for Studies and Planning and the Informal Economy Directorate (DRC, 2017). In this respect, the involvement and participation of the Secretary General in this study is of paramount importance because of the key role played in the policy implementation process and promotion of the organisational vision and values.

A survey questionnaire was administered to public officials at middle and lower management levels working and reporting directly to the Secretary General. The purpose of the questionnaire was to reduce personal biases inherent in the responses of the senior official, which appear to be a challenge emerging from self-perception assessments (Gavanski and Hoffman, 1986; Wells and Sweeney 1986; Walfish *et al.*, 2014). Key questions probed through the survey questionnaire included: (1) With regard to

perspectives on Leadership Ethos (LE) – vision, virtues, values and obligation, does your senior official demonstrate such an approach to leadership with regard to policy formulation, implementation and administration? (2) With regard to perspectives on Critical Success Factors (CSFs) – MTR, RPDR, PL and ERO, does your senior official demonstrate an understanding of this concept in her practice of leadership? (3) With regard to perspectives on performance in public management as encompassing an interface between the political and administrative leadership, that is complementary in nature and respectful of the authority and responsibility of each other, does your senior official demonstrate an understanding of this concept in her practice of leadership?

### **6.3.1 Responses from senior public official in the ECONAT**

The purpose in this section is essentially to probe the awareness and understanding of LE, CSFs and organisational performance from the Secretary General at the ECONAT. In this respect, the approach was a face-to-face interview allowing for follow-up questions, which are important for the purposes of clarification and asking additional questions that emerge out of previous responses from participants.



#### **6.3.1.1 Part I: Perspectives on Leadership Ethos**

**Question 1: When you think about LE in public management: What comes to mind? What concerns you?**

**Answer:** Given my responsibilities, I have objectives that are assigned to me by the hierarchy. Therefore I have to draw my staff in a dynamic participative process of actions to be taken, aiming to reach the set objectives. I am concerned by the realisation of the objectives. In that respect, I need to have required skills and necessary resources both materials and financials.

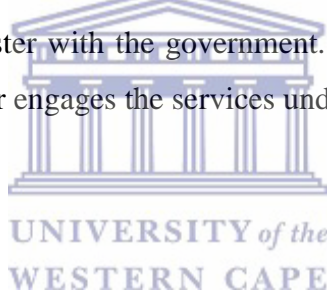
#### **Interpretation and Analysis:**

The respondent, on the one hand, refers to leadership in the context of compliance: “I have objectives assigned to me by the hierarchy...” On the other hand, the respondent refers to encouraging and influencing behaviours of followers through “dynamic

participatory processes.” This is actually quite a succinct response or understanding of leadership. In other words, the respondent pointed to a general understanding of leadership by stressing the involvement of assigned objectives and mobilising staff with the purpose of achieving the assigned objectives. These are actions that bear positive results including getting buy-in for the vision and co-opting the support of followers in leadership.

**Question 2: LE is understood as a common value framework constructed jointly by a leader and his/her followers, which serves as the basis for establishing a collective vision of change through meaningful and responsible actions. Do you exercise or have such an approach to leadership? If yes, how? If no, why not?**

**Answer:** Yes, because we are linked to the Government’s vision through the established “feuille de route” (roadmap) and the “la lettre de mission” (mission order / engagement letter) which engage the Minister with the government. The Minister then engages the Secretary General and the latter engages the services under his/her leadership.



**Interpretation and Analysis:**

Considering that LE is described as moral judgements concerning the characteristic way in which leadership is embodied and exercised within particular “influence relationships” involving ways in which particular groups (i.e. institutions and organisations) enact, embody and practice their moral convictions and moral judgements, their sense of what is right and what is wrong. Such moral convictions may be expressed with reference to a range of ethical concepts, including moral visions, virtues, social values, goals and obligations or rules – common value framework (see section 3.2), it transpires that LE is not exactly practiced the way it is understood, particularly within the context of this work as described above. The crucial element of common value framework, which is supposed to be constructed jointly by a leader and his/her followers to serve as the basis for establishing a collective vision, appears to be missing here.

The response focuses more on the how/process for implementation and less on the personal attributes that contribute to imbibing the vision and getting buy-in, suggesting that the respondent’s approach to public management is more compliance-based, with a

focus on the organisational structure, positions of authority, and perhaps a top-down perspective to implementation.

**Question 3: Given the following characteristics of LE: vision, virtues, values and obligations. What in your opinion constitutes a challenge in relation to public policies?**

**Answer:** The challenge is the obligation to respond to people's expectations given that this constitutes the objective of public policies. Therefore, the government must make available the means (resources) that would help realise the objectives within the deadline. At times, the means (resources) may be approved but not made available. This is a big challenge.

**Interpretation and Analysis:**

Vision, within the context of this work, is understood in terms of what one actually knows and can apply – in addition to what one sees or discerns which makes vision a powerful leadership virtue, which can enable organisations and their employees to achieve their highest potential particularly when successfully shared or conveyed (see section 3.3.1). Virtues are regarded as morals and strength of characters to achieve both excellence and improved quality with respect particularly to life enhancing and promoting in the process a particular type of behaviour that enables the building of trust in relationship with others. These include character; competence; commitment; courage; clarity and compassion (see section 3.3.2). Values are regarded as abstract, trans-situational notions of what is good, right, and desirable. Values guide attention and action by encouraging some behaviour while discouraging others, helping in the process to set moral standards that all in the organisation must strive to meet. It is, therefore, an obligation – a responsibility of both leaders and followers in ensuring that values are realised if an organisation aspires to excellence (see section 3.3.3).

To this end, the challenge in the respondent's view is the obligation to respond to people's expectations, suggesting that the focus must be on finding ways and access resources to fulfil the obligation in meeting and satisfying people's expectations. These expectations could be associated with public values which are "those providing normative consensus

about the rights, benefits, and prerogatives to which citizens should (and should not) be entitled; the obligations of citizens to society, the state, and one another; and the principles on which governments and policies should be based” (Bozeman, 2007: 13). Therefore, people expect that leadership in public management will be kept clean and purposeful; honest and fair; and robust and resilient to impact social transformation. The respondent identifies resources as a key challenge to providing what society needs and wants. In terms of LE, this recalls the principles associated with the sigma-type values, which emphasise the matching of resources to outcomes. This underlines the focus that must be placed on setting clear objectives (predetermined objectives) and aligning resources with the view of achieving these objectives. In other words, the organisational efficiency and effectiveness is the fruit of aligned resources with clearly defined objectives. This is a way of expressing the vision, virtues, values and obligations associated with LE.

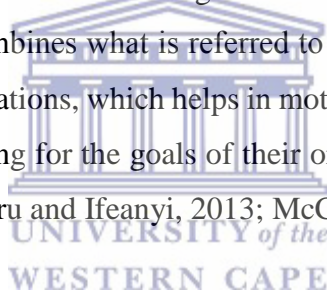
**Question 4: Do your leadership abilities play a role in influencing the formulation, implementation and administration of public policies? If yes, how? If no, why not?**

**Answer:** Yes, I start by owning the missions assigned to me by the hierarchy. I then involve my staff – each with his/her skills making sure that orientations received from the hierarchy are respected in the process of implementation or passing into actions. Finally, I have to ensure monitoring and evaluation of actions is taking place with regard to the objectives to be achieved.

**Interpretation and Analysis:**

On the one hand, the respondent presents a narrow perspective of leadership where the hierarchy dictates and “I” implement. This due to the fact that oppressive and discriminatory regimes are dependent on compliance and obedience of public servants. On the other hand, the reference to “owning the mission” and “involve my staff” may be indicators of a changed attitude towards the role and responsibility of the leader. Within large scale organisations such as the public sector, there is a need to ensure compliance with rules and regulations. However, it has to be noted that compliance-based approaches to leadership are not sufficient by itself unless they are complemented with integrity-based approaches. This aims to promote moral leadership that helps public servants to build good character and thus the will to do the right thing. In this respect, doing the right

thing as a leader involves directing the efforts, skills and experiences of the followers towards the policy objectives in the right way through monitoring and evaluation. This is the essence of LE (see section 2.4). Moreover, by focusing on “owning the mission,” convincing others of the mission (buy-in from followers), assigning the people with the most appropriate skills to the task, which speaks to organisational efficiencies and effectiveness, the respondent is making reference to a type of leadership that is dynamic, relationship-based, and focused on achieving a calling, a mission, or a noble goal for society in the quest to make a better world. This points, on the one hand, to characteristics associated with charismatic leadership that frequently portrays leaders as visionary in their view of the future and are advocates of a highly moral purpose (Conger and Kanungo, 1998; Odumeru and Ifeanyi, 2013; Hwang *et al.*, 2015; Sandberg and Moreman, 2015). On the other hand, it points to characteristics associated with transformational leadership, which are viewed by many scholars as pointing to the utmost important need of constant improvement of organisations and individuals. This suggests that this type of leadership combines what is referred to as “synergistic duties” owed to individuals and to their organisations, which helps in motivating followers to pursue their own development while working for the goals of their organisation (Burns, 1978, 2010; Moynihan *et al.*, 2012; Odumeru and Ifeanyi, 2013; McCleskey, 2014).



In summary, the respondent demonstrated a balanced-minded spirit and understanding of the role of leadership abilities in influencing particularly the implementation of public policies. However, he pointed, although not explicitly, to charismatic and transformational leadership which is associated with integrity-based approaches because of the fact that charismatic leaders inspire others to transcend their own self-interests in the pursuit of a higher purpose (Brown and Trevino, 2006; Horn *et al.*, 2015; Gebert *et al.*, 2016). Transformational leaders pursue organisational excellence while honouring duties to employees to keep them informed, provide them with the resources to achieve individual goals, and seek their highest potential (Moon, 2017).

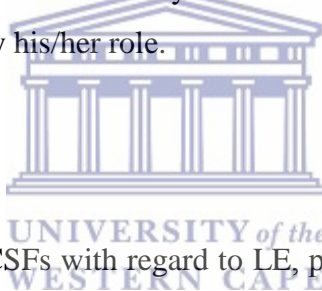


### 6.3.1.2 Part II: Perspectives on Critical Success Factors

This section first probes the Secretary General's insights of CSFs in general without any explanation. The purpose of such an approach is to try to see if there is any benchmark or reference associated with success in his leadership practices as a way of introducing discussion on CSFs identified in this study. Thereafter CSFs within the context of this study are introduced, probing his view on them.

**Question 5: When you think of CSFs with regard to LE in public management: What comes to mind? What concerns you?**

**Answer:** CSFs can contribute positively and negatively to the achievement of the defined objectives. I am concerned with the ownership of the vision by my staff and by their involvement towards its realisation. From my side I need to create favourable conditions to enable each one of them play his/her role.

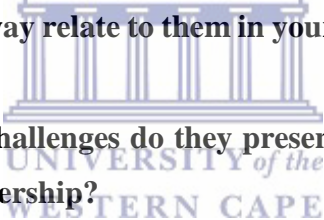


#### **Interpretation and Analysis:**

This is a general question on CSFs with regard to LE, probing the respondent's general understanding of the concept as a way of introducing discussion on CSFs identified in this study in the next question. However, without naming any specific factor, the respondent recognised and showed awareness (albeit without making reference to the specific critical factors) of the role of CSFs in securing the organisational success. His concern with the ownership of the vision, the staff's involvement towards its realisation and the creation of favourable conditions for the realisation of the vision speak of such awareness. In other words, the respondent recognises that there is no organisational success unless specific factors of success are identified and applied. The ownership of the vision by all is important because it speaks to buy-in from followers. Institutions and organisations that successfully create a culture of engagement recognise that doing so requires aligned programmes, practices, policies, and systems (Pfeffer, 1998; Caldwell *et al*, 2015b). Furthermore, Smith *et al.*, (2016) stress the importance of creating a culture of engagement and clarifying key roles of the top management team, the human resources staff, individual supervisors, and non-supervisory colleagues in creating that culture. The staff's involvement towards the realisation of the vision speaks to trust in a sense that it

is a facilitator of organisational cooperation, an enhancer of efficiency, and a key to increased performance and satisfactory results (Caldwell, 2012). The creation of favourable conditions for the realisation of the vision speaks to the alignment of resources with the view of achieving the objectives – the sigma-type values. These are characteristics associated with Level 5 leadership which makes reference to a type of leadership that stresses and combines personal humility with the “fierce resolve” to achieve previously unachieved organisational outcomes (Collins and Porras, 1994; Collins, 2001; Caldwell, 2017). However, the “buy-in of the vision” speaks to characteristics associated with transformational leadership as shown earlier.

**Question 6: In this study, the following have been identified as CSFs inherent to LE in public management through the formulation, implementation and administration of public policies: 1 – mutually trusting relationship; 2 – recognition of power dynamics in the relationship; 3 – effectiveness in reaching the objectives; 4 – participatory leadership.**

- 
- a) **Do you in any way relate to them in your practices? If yes, how? If no, why not?**
- b) **What kind of challenges do they present in your own understanding and practice of leadership?**
- c) **How could such challenges affect the process of policy formulation, implementation and administration?**

**Answer:** None (*the respondent not comfortable to engage in discussion on these particular concepts despite attempts made by the researcher to explain the concepts*)

In summary, this section, although it proved challenging to the respondent, his insight on CSFs in general terms helped somehow to draw links between his understanding and concepts of CSFs presented in this study, namely mutually trusting relationship (MTR); recognition of power dynamics in the leadership relationship (RPDR); effectiveness in reaching the objectives (ERO), and participatory leadership (PL). However, his refusal to engage with the specific CSsF (question 6) – despite attempts made by the researcher to explain the concepts could be due to the overlap in the respondent’s understanding between LE and CSFs (vision/buy-in; creating favourable conditions/effectiveness in reaching objectives).

### 6.3.1.3 Part III: Perspectives on Performance in Public Management

**Question 7: Performance in Public Management can be regarded as a natural consequence of the above-mentioned CSFs. It depends, however, on the interface between the Political and Administrative Leadership that should be understood as a complementary relationship without undermining the authority and responsibility of each part. How do you demonstrate an understanding of this concept in your practice of leadership?**

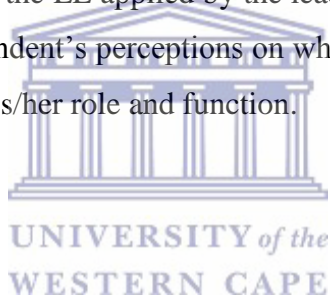
**Answer:** In practice, I receive instructions from the authority which I pass on to my staff through a participative process. The performance of each one is measured in relation to the role that they will play in the process that will lead to the realisation of the objectives.

#### **Interpretation and Analysis:**

Receiving instructions and passing them on to staff for execution leads to performance in the understanding of the respondent. “Receive instructions,” “pass on to my staff,” and “a participative process” seem to be contradictions in terms. In essence, the response suggests a compliance-based approach to leadership and management underpinning transactional leadership in which the leader promotes compliance of his followers through both rewards and punishments (Odumeru and Ifeanyi, 2013). In other words, leaders here are concerned with processes rather than forward-thinking ideas and this may also represent a bureaucratic style of leadership spelling strong hierarchical structure, superior-subordinate relationships to mention but a few. Compliance-based approaches focus on obeying or following through on rules, regulations and policies out of fear, obligation or respect for authority, without any consideration of the outcome of these policies. This is the context that characterises the respondent’s understanding of his relationship with his political leaders.

### 6.3.2 Analysis of data from survey questionnaires

Following results from the semi-structured interview conducted with the senior public official, this section focuses on survey questionnaires that were administered to officials at the middle and lower-levels of management who have a direct reporting line to the senior official in order to reduce self-bias that may have emerged from the semi-structured interview. The number is relatively small – 13 (thirteen) because these include heads of departments and services who have a direct reporting line to the interviewed senior official. This is a small sample providing what Jansen (2010) refers to as “sufficient saturation” with regard to qualitative sampling survey by arguing that, “It is both logical and more efficient to purposively select a *diversity sample* with the aim to cover all existing relevant varieties of the phenomenon (*saturation*)” (Jansen, 2010:5). In this respect, the survey is structured in two parts. The first part probes the respondents’ experiences and perceptions of the LE applied by the leader. The second part focuses on the CSFs and probes the respondent’s perceptions on whether or not their leader applies these factors in the course of his/her role and function.

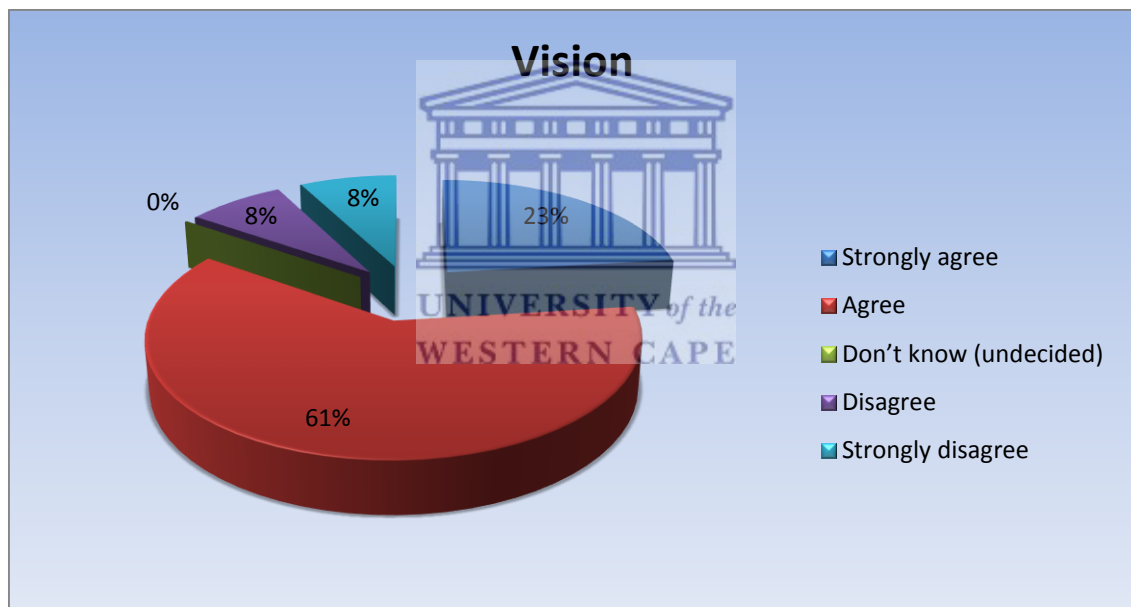


### 6.3.2.1 Perspectives on Leadership Ethos

- a) Vision: Does your senior official demonstrate such an approach to leadership with regard to policy formulation, implementation and administration?

**Chart 10: Perspectives on LE – Vision**

Strongly agree	Agree	Don't know (undecided)	Disagree	Strongly disagree
3	8	0	1	1

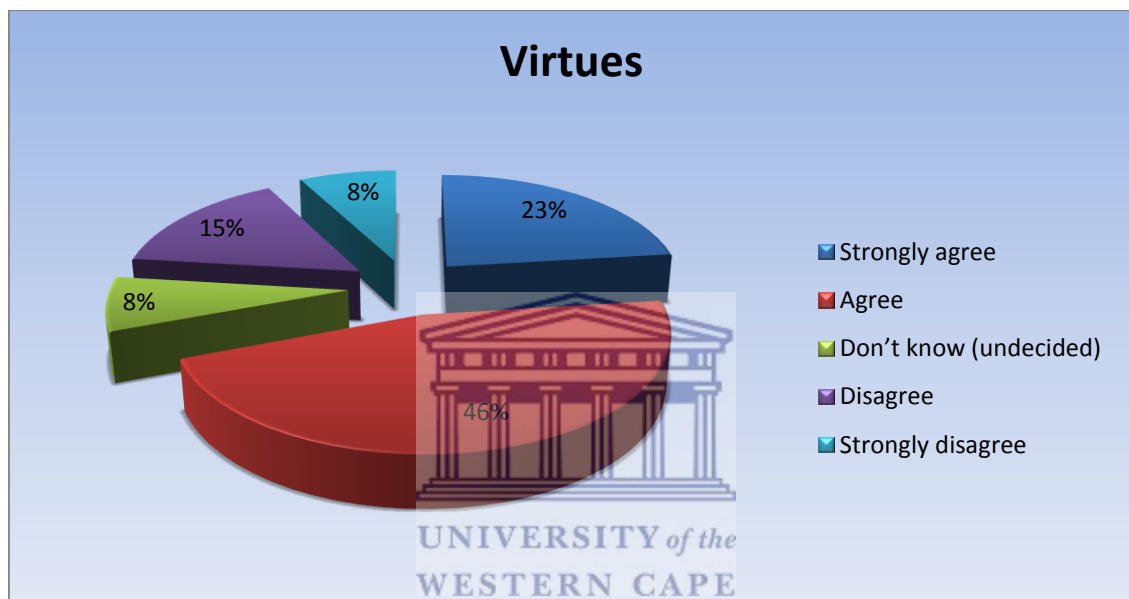


The results of survey questionnaires – 23% (strongly agree), 61% (agree), 0% (undecided), 8% (disagree) and 8% (strongly disagree) suggest that the majority of the respondents agree on the fact that their top manager demonstrates vision when exercising LE with respect particularly to implementation. The fact that he refers to the vision of government, suggests that there is something that drives his behaviour and this may be evidenced through the followers' responses that their leader demonstrates vision. In the context of a compliance-based approach to leadership (be it through transactional or autocratic, etc forms) he does consider vision as part of LE.

b) Virtues: Does your senior official demonstrate such an approach to leadership with regard to policy formulation, implementation and administration?

**Chart 11: Perspectives on LE – Virtues**

Strongly agree	Agree	Don't know (undecided)	Disagree	Strongly disagree
3	6	1	2	1

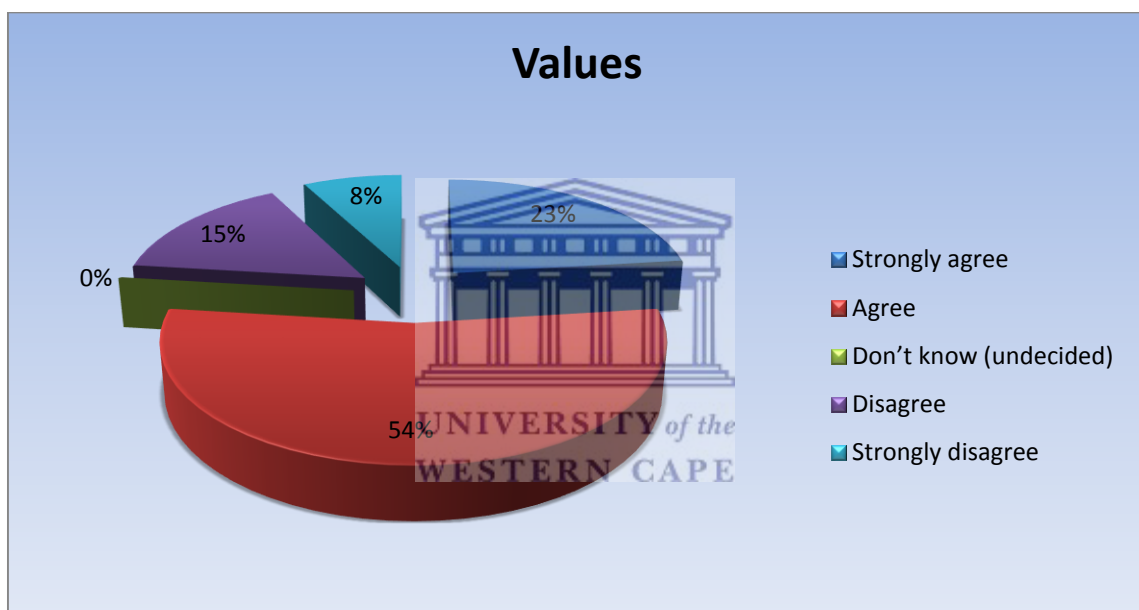


The results here – 23% (strongly agree), 46% (agree), 8% (undecided), 15% (disagree), and 8% (strongly disagree) point to the majority of the respondents agreeing on the fact that their top manager demonstrates virtues when exercising LE with respect particularly to public policy implementation. This suggests that there is recognition of mindsets, character traits, and dispositions that are key foundations of ethical relationships and that implicitly encompass moral duties owed to others, implying that virtuous leaders earn the trust of others (Cameron and Winn, 2012). Although the majority of followers recognise this in their leader, it is important to recognise that 23% is a considerable number of respondents who present a different view. This must be taken into consideration for suggesting that their leader must work hard to bring them close to him with a view of sharing and promoting virtues that are accepted by all to serve the organisation.

c) Values: Does your senior official demonstrate such an approach to leadership with regard to policy formulation, implementation and administration?

**Chart 12: Perspectives on LE – Values**

Strongly agree	Agree	Don't know (undecided)	Disagree	Strongly disagree
3	7	0	2	1

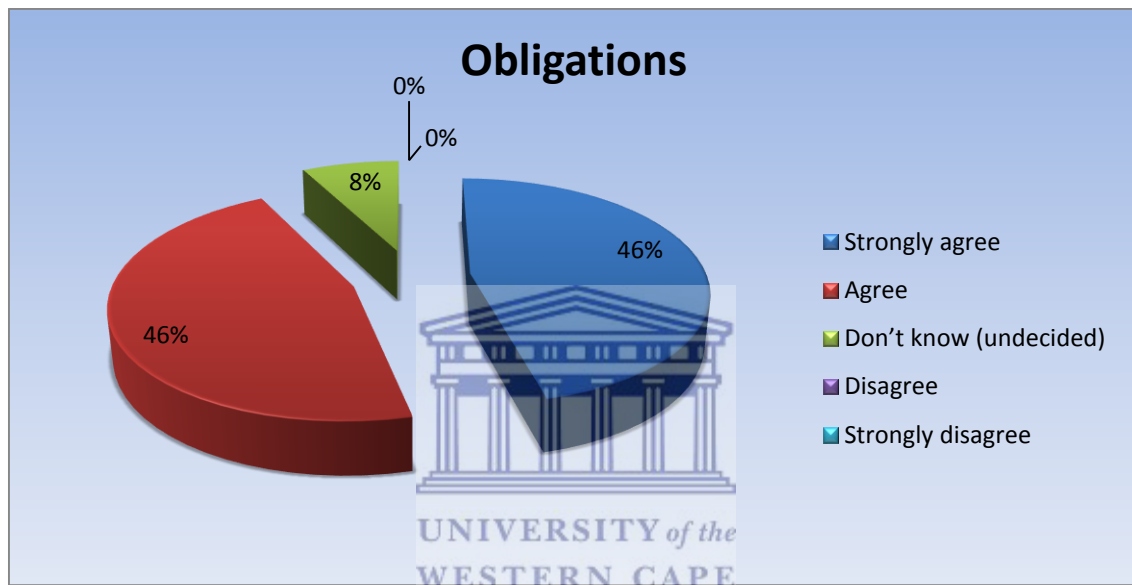


The results here – 23% (strongly agree), 54% (agree), 0% (undecided), 15% (disagree), 8% (strongly disagree) point to the majority of the respondents agreeing on the fact that their top manager demonstrates values when exercising LE with respect particularly to public policy implementation. This is recognition of notions associated with what is good, right, and desirable, suggesting that each moral foundation partly comprises an interrelated set of values (Graham *et al.*, 2013). Although the majority of followers recognise this in their leader, again a considerable number of 23% of respondents present a different view. It must be acknowledged for suggesting that values are not shared and accepted 100%, which could be problematic for organisational efficiency and effectiveness if this considerable number of respondents is not brought on board.

d) Obligations: Does your senior official demonstrate such an approach to leadership with regard to policy formulation, implementation and administration?

**Chart 13: Perspectives on LE – Obligations**

Strongly agree	Agree	Don't know (undecided)	Disagree	Strongly disagree
6	6	1	0	0



The results here – 46% (strongly agree), 46% (agree), 8% (undecided), 0% (disagree and strongly disagree) point to the majority of the respondents agreeing on the fact that their top manager demonstrates obligations when exercising LE with respect particularly to public policy implementation. The obligation in a sense of responsibility of the leader in particular in ensuring that values are realised if an organisation aspires to excellence.

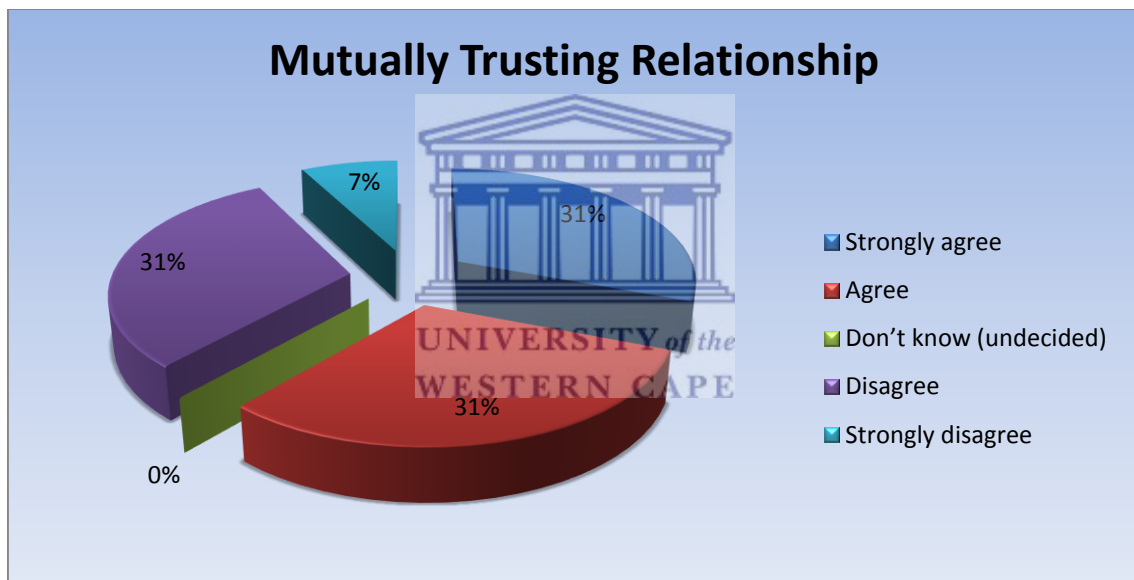


### 6.3.2.2 Perspectives on Critical Success Factors (CSFs)

e) Mutually Trusting Relationship: Does your senior official demonstrate an understanding of this concept in his practice of leadership?

**Chart 14: Perspectives on CSFs - Mutually Trusting Relationship**

Strongly agree	Agree	Don't know (undecided)	Disagree	Strongly disagree
4	4	0	4	1



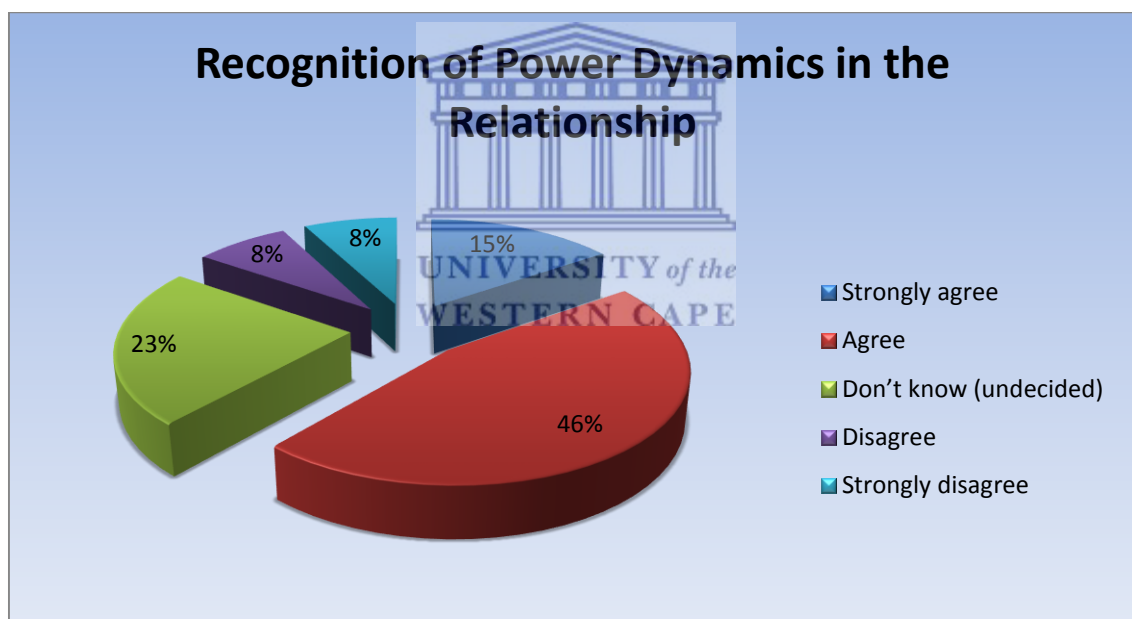
It is interesting to note that although the senior official declined to engage in the discussion on this particular CSF, the results of the survey questionnaire – 31% (strongly agree), 31% (agree), 0% (undecided), 31% (disagree), 7% (strongly disagree) point to a good number of respondents agreeing with the fact that a mutually trusting relationship is demonstrated in the leadership relationship with their senior official. Considering that trust is a facilitator of organisational cooperation and an enhancer of efficiency and effectiveness, it is fundamental that a mutually trusting relationship be established and properly articulated in a leadership relationship between leaders and followers. However, the 38% of respondents who present a different view, cast doubts and entertained mixed

feelings about the ways in which the notion associated with trust is dealt with by their leader. This could be worrisome insofar as the organisational efficiency and effectiveness is concerned.

- f) Recognition of power dynamics in the relationship: Does your senior official demonstrate an understanding of this concept in his practice of leadership?

**Chart 15: Perspectives on CSFs - Recognition of power dynamics in the relationship**

Strongly agree	Agree	Don't know (undecided)	Disagree	Strongly disagree
2	6	3	1	1



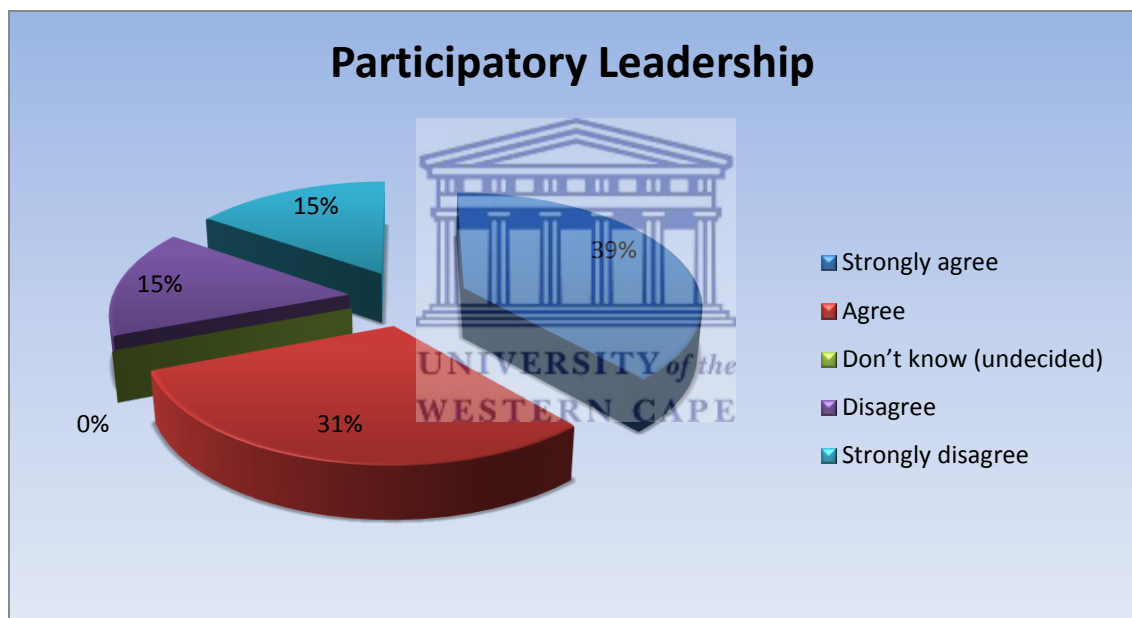
The results of survey questionnaire – 15% (strongly agree), 46% (agree), 23% (undecided), 8% (disagree) and 8% (strongly disagree) point to a growing number of respondents acknowledging the fact there is recognition of power dynamics in the leadership relationship with their senior official. This is interesting insofar as LE is concerned since it facilitates cooperative trust necessary for the achievement of organisational goals and objectives. In this view, when cooperative trust is established in a leadership relationship, both leaders and followers recognise each other's role. This will prompt engagement with followers in a way that promotes respect for each other's

integrity.

- g) Participatory leadership: Does your senior official demonstrate an understanding of this concept in his practice of leadership?

**Chart 16: Perspectives on CSFs - Participatory leadership**

Strongly agree	Agree	Don't know (undecided)	Disagree	Strongly disagree
5	4	0	2	2

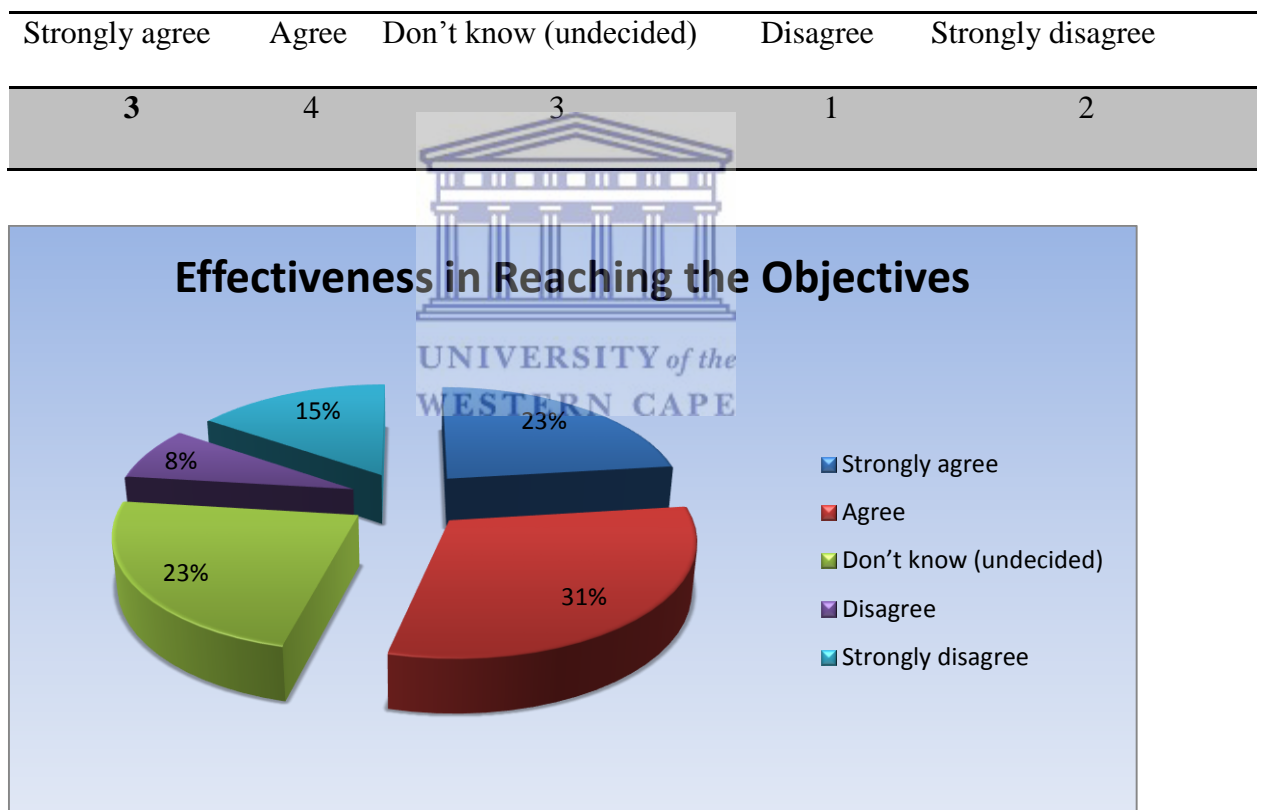


The results of survey questionnaires – 39% (strongly agree), 31% (agree), 0% (undecided), 15% (disagree) and 15% (strongly disagree) point to a growing number of respondents recognising the fact that there is participatory leadership in the leadership relationship with their senior official. This supports the view that leaders are viewing their relationships with employees as a sacred responsibility and their motivation is inspired by an ethic of care that places people and their welfare as their major moral responsibility. In this way, followers are encouraged to participate in the organisation's processes with a view to guarantee success of the organisation, which is fundamental for LE. Moreover, a considerable number 30% of respondents think otherwise. This is interesting in a sense that organisational success depends and relies on the participation of all its members. This

group of respondents call for their leader’s attention with a view of bringing them closer to him for the sake of organisational success. This could be achieved through covenantal leadership in which a leader is regarded as a teacher, a servant leader, a personal example, the empowerer of others, and the creator of new meanings (Pava, 2003; Caldwell and Hasan 2016; Mintzberg and Caldwell, 2017).

- h) Effectiveness in reaching the objectives: Does your senior official demonstrate an understanding of this concept in his practice of leadership?

**Chart 17: Perspectives on CSFs - Effectiveness in reaching the objectives**



The results – 23% (strongly agree), 31% (agree), 23% (undecided), 8% (disagree), and 15% (strongly disagree) point to a growing number of respondents acknowledging the fact that there is a sense of promotion of effectiveness in reaching the objectives in the leadership relationship with their senior official. This is interesting insofar as LE is concerned because it supports the view that there is a shared sense of what is important, what is worth doing well and spending energy on (Homrig, 2001). In this respect, there

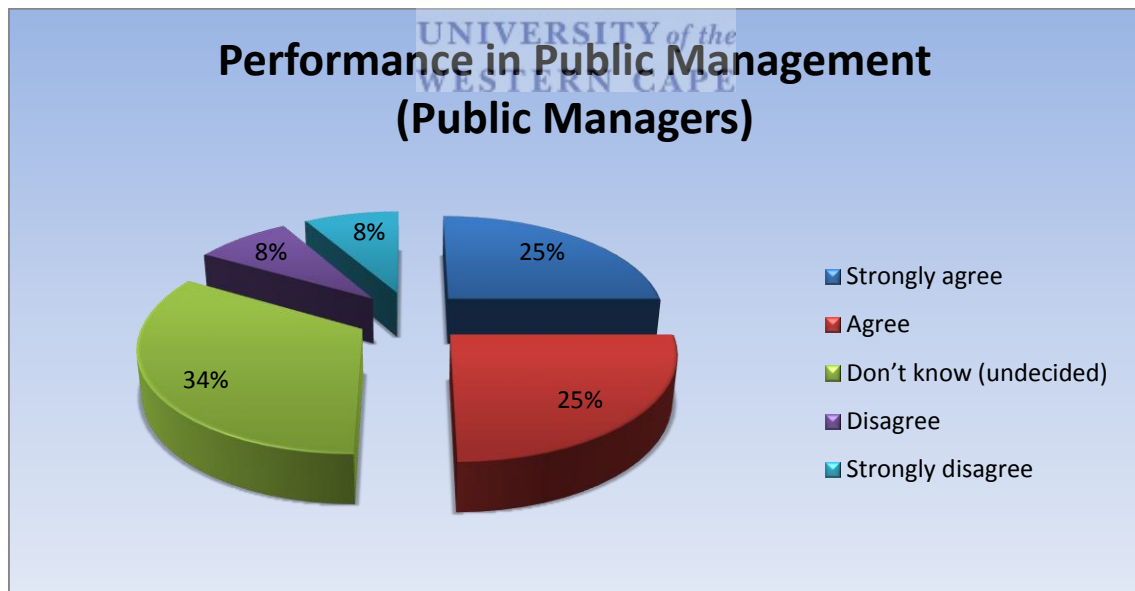
is a combination of what is referred to as “synergistic duties” owed to individuals and to their organisations which help in motivating followers to pursue their own development while working for the goals of their organisation – the essence of transformational leadership (Burns, 1978, 2010; Moynihan *et al.*, 2012; Odumeru and Ifeanyi, 2013; McCleskey, 2014).

### 6.3.2.3 Perspectives on Performance in Public Management

- i) Does your senior official (public manager) demonstrate an understanding of this concept in his practice of leadership?

**Chart 18: Perspectives on Performance in Public Management**

Strongly agree	Agree	Don't know (undecided)	Disagree	Strongly disagree
3	3	4	1	1



The results of the survey questionnaires – 25% (strongly agree), 25% (agree), 34% (undecided), 8% (disagree) and 8% (strongly disagree) point to half of the respondents recognising the fact that their top manager understands the concept associated with performance in public management, whereby the interface between the political and

administrative leadership is understood as complementary without undermining the authority and responsibility of each other. These results present mixed feelings amongst respondents. This entertains doubts in the leader's ability to promote performance in public management because of lack of clarity in the relationship between him and his political leaders.

## **6.4 Chapter Summary**

This section presented the study findings. In this regard, the section is organised into two parts. The first focused on the findings following the empirical research with the Chief Director at the DTI (RSA) and the second focused on the study findings following the empirical research with the Secretary General at the ECONAT (DRC). In each Department, the focus was on the main findings speaking on LE, followed by CSFs and then performance in public management.

### **6.4.1 Study findings from the DTI (RSA)**

With regard to perspectives on LE, it transpired that the respondent engaged fairly with the notion of leadership in general and what it entails, especially when making reference to and recognising the need to have a relationship involving leaders and followers. However, the fact of mentioning and talking about vision alone was not enough in demonstrating awareness of what LE entails within the context of this study. This shows the gap that exists in the articulation and practice of the four characteristics of LE, namely vision, virtue, values and obligations.

With regard to perspective on CSFs, the findings point to the respondent's understanding of the crucial role of CSF in general. Question marks, however, were raised on the respondent's understanding and awareness of CSFs inherent in LE, as proposed in this study. In her answers for instance, on the one hand, the focus on top-down versus consultative and participatory forms led to the thinking of the respondent's leadership style as more bureaucratic and compliance-based than integrity-based approaches. On the other hand, by underlining MTR and ERO as a challenge in the leadership relationship as practiced in the Department, the respondent recognised the crucial role of these CSFs in determining the organisational efficiency and effectiveness.

With regard to perspectives on performance in public management, it became apparent that the respondent's view on performance in public management is associated with the interaction between administrative and political officials in a sense that such interaction promotes bureaucratic leadership, which can be effective in instilling organisational values, virtues and principles and hence facilitate moral leadership.

#### **6.4.2 Study findings from the ECONAT (DRC)**

With regard to perspectives on LE, the findings suggest that the respondent demonstrated a balanced-minded spirit and understanding of the role of leadership in influencing particularly the implementation of public policies in general. However, although in a very implicit form, the respondent pointed to characteristics associated with charismatic and transformational leaderships, he fell short in touching on attributes of LE namely vision, virtues, values and obligations important in the practice of leadership.

With regard to perspectives on CSFs, the study findings suggest that they proved challenging to the respondent. His refusal to engage with the specific CSF – despite attempts made by the researcher to explain the concepts, could be due to the overlap in the respondent's understanding between LE and CSFs.

With regard to perspectives on performance in public management, the respondent's view characterised by “receive instructions,” “pass on to my staff,” and “a participative process” seem to be contradictions in terms – suggesting a compliance-based approach to leadership and management. This underpins transactional leadership, and it is within such a context that performance in public management is understood. This is very ambiguous.

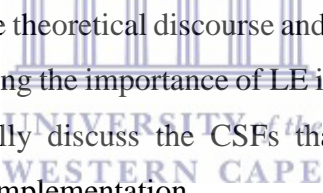
## CHAPTER SEVEN

### SUMMARY, MAIN FINDINGS AND CONCLUSIONS

#### 7.1 Introduction

The purpose of this chapter is three-fold. The chapter aims to illustrate that the study achieved the objectives that it set out to achieve. The chapter also speaks to challenges encountered in the research process and re-emphasises the unique contribution of the study before considering future areas of interest for research.

In this respect, it would be appropriate to recall that while the primary objective of the study was to explore public sector leaders' and followers' understanding, awareness and application of LE and its inherent CSFs in the public policy implementation process, the specific objectives included the following:

- 
- 1) To critically examine the theoretical discourse and scholarly debates on leadership with a view to highlighting the importance of LE in public policy implementation.
  - 2) To identify and critically discuss the CSFs that comprise LE towards more effective public policy implementation.
  - 3) To develop a conceptual framework for understanding the nature of CSFs and their effect on organisational efficiencies and effectiveness.
  - 4) To explore, present and critically discuss the understanding and experience that public officials have of LE and CSFs and their value with regard to performance in public management in the public policy implementation process at the DTI and the ECONAT.
  - 5) To present the main findings and conclude the study.

The study was guided by the following research questions:

- 1) On LE:
  - Is LE given due consideration in the public policy implementation process?
  - Is LE considered by public managers when interacting with their followers?



2) On CSFs:

- What role do CSFs play in the implementation of public policies?

3) On Performance in Public Management:

- How is the notion understood in the light of organisational efficiency and effectiveness in relation to LE and CSFs?

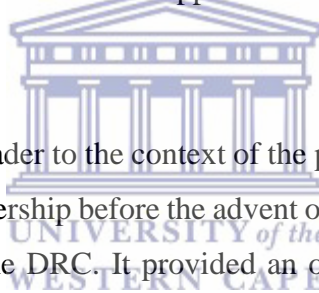
The guiding assumptions suggested that:

- a. Public sector leaders from the DTI and the ECONAT have a limited knowledge and understanding of the practice of LE encompassing vision, virtues, values and obligations as they relate to policy implementation within their specific area of focus. This may be a contributory reason for the slow pace of implementation of socio-economic policies.
- b. Public sector leaders do not demonstrate an awareness, understanding and application of CSFs in the public policy implementation process.
- c. Effective public policy implementation is an expression of the understanding and consideration of LE that comprises of CSFs. Therefore, ineffective public policy implementation is a reflection of a lack of knowledge, understanding and practice of the CSFs inherent in LE. In other words, public sector leaders from the DTI and ECONAT do not necessarily consider LE and the application of specific CSFs when interacting with their followers or in the application of their main roles, functions and responsibilities.
- d. Performance as a realisation of public values is a result demonstrating the awareness and understanding of LE and its inherent CSFs. These should be embodied and practiced for effective public policy implementation.

In order to facilitate the realisation of the aforementioned objectives, the study was organised in the following way:

Chapter One provided a general introduction presenting the background to the study. It provided relevant information about the problem that was explored (including the context) and the methodology followed. Moreover, it is important to mention two major challenges experienced in implementing the research plan. The primary intention in this work was to consider a case study of three strategic countries in the SADC region, namely South Africa (the largest but struggling economic power in the region, experienced

apartheid, now a democratic country since 1994 – see appendices B and E), Angola (an emerging economic power in the region, experienced colonialism from the Portuguese, now independent since 1975 – see appendix D) and the DRC (a potential economic power in the region, experienced colonialism from the Belgians, now independent since 1960 – see appendices C and F). Unfortunately Angola had to be dropped off the study because of the lack of cooperation and collaboration with relevant stakeholders important in the context of this work (see appendix G). The other major challenge included the attempts embarked upon to elicit cooperation from the DTI and ECONAT and the uneasiness of some of the respondents to answer certain questions. At times, these experiences presented themselves as obstacles to achieving the goals and objectives as set out initially. In addition, it could illustrate the so-called “softer” (as opposed to those relating to qualifications, experience and skills) challenges encompassed in a study on LE in general. The conception that LE resonates with issues of “right” versus “wrong” may have contributed to a greater self-awareness and apprehensions about how to respond, on the part of participants.



Chapter Two introduced the reader to the context of the problem of the study. It sketched the context of civil service leadership before the advent of democracy in South Africa and independence in the case of the DRC. It provided an overview of the role of the civil service, as instrumental in the implementation of public policies and laws introduced to divide, oppress and discriminate along the lines of race and ethnicity. It engaged with issues of unethical leadership post-apartheid and post-colonialism in an effort to illustrate that the demise of oppressive regimes does not naturally lead to ethical leadership. The chapter concluded by illustrating the on-going challenges facing South Africa and the DRC in their efforts to develop and nurture leaders who uphold ethical values and principles in the exercise of their duties and responsibilities.

Chapter Three presented the theoretical framework of this study defined within the context of compliance-based and integrity-based approaches to leadership particularly, and further discussions on the leadership theories introduced earlier. This chapter provided a critical review, analysis and interpretation of the key leadership theories that speak to the context of Leadership Ethos (LE) and Critical Success Factors (CSFs). In this respect, it emerged from the discussion that while on the one hand compliance-based approaches focus on obeying or following through on rules, regulations and policies out

of fear, obligation or respect for authority, without any consideration for the outcome of these policies, integrity-based approaches on the other hand resonate with attributes associated with LE – vision, virtues, values and obligations. Integrity-based approaches are associated with and identified in models or styles of leadership including charismatic, transformational, servant, Level 5 leadership, principle-centered and covenantal in particular. Such a leadership approach underscores and points to “moral leadership that helps public servants to build good character and thus the will to do the right thing” (Stevulak and Brown, 2011: 103). It is against the backbone of the above that leadership theories introduced by Western scholars were scrutinised from an Afrocentric perspective with a view of extracting the attributes and traits that collectively comprise CSFs. These are, mutually trusting relationship (MTR), recognition of power dynamics in the leadership relationship (RPDR), effectiveness in reaching the objectives (ERO), and participatory leadership (PL). They are key to the purpose of this study underlining thus the essence of LE. In other words, the first dimension of LE speaks to and promotes its attributes - vision, virtues, values and obligations and is more concerned with the leader than the follower in influencing the behaviour and attitudes of the follower. The follower is persuaded through the vision of the leader, the virtues and values exuded by the leader and the sense of obligation from the leader to build good character and thus the will to do the right thing. The second dimension is more about the relationship with the follower – influencing the behaviours towards the achievement of organisational efficiency and effectiveness through establishing MTR, RPDR, ERO, and PL.

The theoretical framework of this study was supported by Chapter Four’s illustration of how public administration reforms resulted in a change in organisational focus and culture of the public sector. Touching on reforms such as public values and the new public management in particular, it was important to illustrate how public administration reforms brought a new paradigm. This paradigm emphasises an organisational culture that is more flexible, cognisant of the human factor and open to the involvement of the ordinary citizen in decision-making processes, shifting away from Weber’s (1947) notion and concept of bureaucracy (hierarchical structure, closed system, input-process-output). In such a context, the chapter was organised into two sections. The first section focused on public administration reforms, illustrating how reforms speak to integrity-based approaches that emphasise attention to vision, values and virtues. The second section focused on organisational development and culturally oriented strategic management for

underscoring the need to invest in organic structures and humanistic strategies as a means to achieve organisational efficiency and effectiveness, which determine the objective of LE.

In this respect, emphasis on public administration reforms touched on administrative discretion; cooperation and collaboration with various stakeholders in policy making processes; openness, transparency and accountability; etc., in the interest of enhancing government's responsiveness to its citizens. Key findings in this regard particularly as related to leadership include being more visionary, imbibing certain values and virtues, findings which fundamentally create the connections between the administrative reforms, leadership and organisational culture. Essentially, leadership modelled along the principles and elements of public administration reform, is required to effect a change in the behaviour of followers accustomed to the context outlined by Weber (hierarchical structure, closed system, input-process-output). Reforms introduced an emphasis on measuring output and evaluating impact. This in turn contributed to a change in organisational processes, systems, structures, behaviour and attitudes of civil servants.

Following the discussion on public administration reforms, Chapter Five provided an overview of the socio-economic policies implemented in South Africa post-apartheid and the DRC post-colonialism. The main purpose of the chapter was to illustrate that policies and laws of socio-economic reform have been introduced in the countries under study. However, socio-economic transformation remains a challenge in the two countries. The chapter was organised in such a way that the first section of the chapter focused on the socio-economic reforms that have been introduced in South Africa since the end of apartheid touching on key economic policies used as instruments to drive the reform programmes. It transpired that, in South Africa, despite the introduction of policies such as the Reconstruction and Development Programme (RDP), the Growth, Employment and Redistribution (GEAR) strategy, the Accelerated and Shared Growth Initiative for South Africa (ASGISA), the Broad-Based Black Economic Empowerment (B-BBEE), the New Growth Path (NGP) and the National Development Plan (NDP) the socio-economic conditions have barely improved to reflect the desired transformation since the end of apartheid. This is reflected though deep patterns of inequality, which are amongst the highest in the world, the unemployment rate, for youth particularly, is high and prevalent. Furthermore, the country has been embroiled in various types of scandals

involving serious cases of corruption and mismanagement in the public sector particularly at the highest level of leadership of the country over the past few years, as demonstrated by various reports throughout the study.

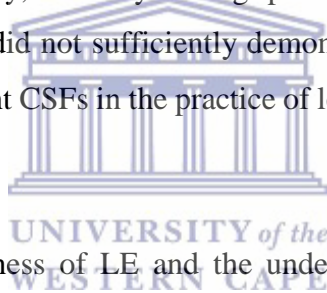
Attention in the second section was on the socio-economic reforms that have been introduced in the DRC since independence, analysing key economic policies, also used as instruments to drive the reform programmes. It became apparent that in the DRC, the Zaïrianisation Policy (*La politique de l'authenticité*), particularly, introduced after independence did not do much either to help the country improve the socio-economic conditions to reflect the desired transformation. The policy, on the contrary, appeared to be a way of legalising ill-practices in the public sector, in particular promoting corruption and public money laundering amongst other ill-practices even at the highest level of leadership in the country, leading the country to be considered at some stage as a 'failed state'. As a result, the country has been finding it difficult to get out of the spiral of deep patterns of inequality and persistent poverty. Other problems include the enduring weakness of the agricultural sector, with a large percentage of people in forms of subsistence production; abundant mineral resources, but significantly a de-industrialised mining sector and weak and un-diversified industrial production, more generally; insufficient communication and transport systems, and a large but unexploited hydroelectric potential as demonstrated by various reports in the study.

Assuming that the slow progress in the implementation or failure of socio-economic policies to achieve their intended outcomes resonates primarily in leadership – LE in particular, Chapter Six focused on the presentation, critical analysis and interpretation of key respondents' views on LE and the application of CSFs in relation to public policy implementation at the DTI and the ECONAT in South Africa and the DRC respectively, two countries serving as the case study.

## **7.2 Study findings**

Overall, the study presents a two-fold perspective related to LE and its inherent CSFs – one perspective relates to the individual leader and the other relates to the leader creating the right kind of conditions to influence the behaviour of the follower. In this respect, LE

attributes including vision, virtues, values and obligations are of paramount importance in shaping the attitudes of the leader. This is instrumental and fundamental in influencing his/her actions, and these actions are associated with his/her roles, functions and responsibilities understood within the parameters defined by public administration reforms which emphasise an organisational culture that is more flexible, cognisant of the human factor and open to the ordinary citizen. In other words, the leader's roles, functions and responsibilities aim at creating and sustaining public values (through actions reflecting an appropriate vision, virtues, values and obligations). Moreover, the leader's attitudes, informed by the LE attributes – vision, virtues, values and obligations would facilitate the creation of the right kind of conditions to influence the behaviour of the follower. These include a mutually trusting relationship (MTR), recognition of power dynamics in the leadership relationship (RPDR), effectiveness in reaching the objectives (ERO), and participatory leadership (PL), regarded as CSFs for organisational efficiency and effectiveness. Unfortunately, the study findings point to a fact suggesting that leaders at the DTI and the ECONAT did not sufficiently demonstrate the awareness of LE and the understanding of its inherent CSFs in the practice of leadership in the implementation process of public policies.

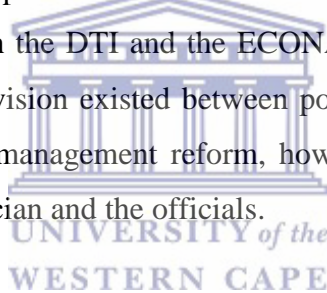


Failure to demonstrate awareness of LE and the understanding of its inherent CSFs implies that such a leadership is not given due consideration in the public policy implementation process. This is problematic in an organisation because performance will be affected, leading to poor and undesired results. It is fundamental to understand that the purpose of LE and its inherent CSFs is to promote the integrity-based approach to leadership and management in an organisation through the implementation of two important management theories namely OD and COSM discussed earlier in this work.

Essentially, OD focuses on educational processes designed to change the character or 'culture' of an organisation and to improve organisational performance (Clark, 1989:1) through the establishment of, amongst other things (1) the system of belief and values of the organisation and (2) the integration of both the individual and organisational objectives. COSM accompanies the leadership strategy looking at how consistent it is with the norms, values and basic assumptions characteristic of the organisational culture (Wronka-Pośpiech and Frączkiewicz-Wronka, 2016). For this reason, if a leadership strategy intends to conduct activities consistent with the principles of action (standards,

values) of the organisation, this strategy will exert a positive impact on the existing organisational culture, because it will further strengthen its values. This is the essence of LE – it fosters the establishment of both OD and COSM through its attributes (vision, virtues, values and obligations) and the application of its inherent CSFs (MTR, RPDR, ERO and PL).

However, when it has been proven that vision is not adequately conveyed, virtues present problems, suspicion and doubt on trust (the case at the DTI) and when a senior official considers himself as a mere implementer of policy to fulfil assigned missions by the hierarchy (portraying a hierarchical structure, closed system, input-process-output) without questioning and or applying his own judgement – only focusing on top-down versus consultative and participatory forms led to the thinking underlining bureaucratic and compliance-based than integrity-based approaches (the case at the ECONAT), it becomes evident that LE is not practiced and its inherent CSFs are not applied. All in all, the officials' responses at both the DTI and the ECONAT essentially speak to the old order where a clear line of division existed between policy makers and implementers. Within the context of public management reform, however, it is about a cooperative relationship between the politician and the officials.



### **7.3 Significance of the study**

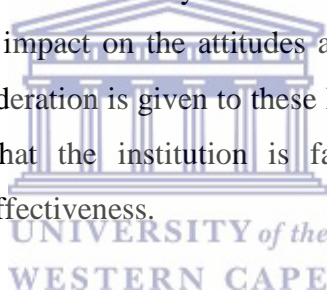
Considering the study findings above, it is important for both academics and practitioners to multiply efforts with a view of improving leadership practices at all levels, particularly with regard to public policy implementation processes. This study made a unique contribution in this area, firstly by exploring the current debate on LE (which presents little scholarly evidence) and public management with a view of raising awareness of the importance of CSFs in public policy implementation processes as a way to demonstrate an appropriate LE for social transformation. Secondly, this study explored the problem of LE and the application of CSFs through a theoretical leadership paradigm that integrates principles from both the Western and African contexts. In this way, the proposed adapted theoretical paradigms on leadership that borrows from the Western and African contexts, are affirmed as the unique contribution of this work to scholarly debate.

## **7.4 Recommendations**

### **7.4.1 Perspectives on LE**

At the DTI, it is important that officials focus on increasing their understanding and promote good practices of all four fundamental attributes of LE, namely vision, virtue, values and obligations. The focus on one – vision alone in this case, out of the four would not be sufficient to demonstrate an adequate understanding and practice of LE. Consequently, the implementation of relevant policies will be negatively affected.

At the ECONAT, it will be beneficial for the officials to engage with the idea suggesting that the leader's attitudes and behaviour shape the followers' attitudes and behaviour. As stated earlier, the leader's desired attitudes, following the expectations on how to behave as leader in the modern-day, are influenced by elements including vision, virtues, values and obligations which in turn impact on the attitudes and behaviour of the followers. Unless due attention and consideration is given to these LE attributes, it will be difficult to overturn the challenges that the institution is facing with regard to lack of organisational efficiency and effectiveness.



### **7.4.2 Perspectives on CSFs**

At the DTI, it is ideal for the officials to redefine and follow the direction that leads away from a bureaucratic and compliance-based approach to an integrity-based approach by investing more and more in the development of CSFs such as MTR and ERO as a way of determining the organisational efficiency and effectiveness.

At the ECONAT, officials are encouraged to invest in the understanding and practice of CSFs inherent in LE, namely MTR, RPDR, ERO, and PL with a view of significantly improving the exercise of leadership in public management in terms of producing the

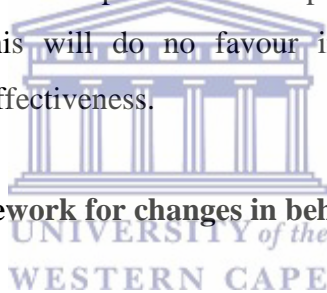


desired outcomes (results).

### **7.4.3 Perspectives on Performance in Public Management**

At the DTI, it is important for the officials to strive to acquire the administrative discretion, which will contribute in the improvement of the relationship between the leader and his / her followers by enhancing particularly trust. In this way, followers' behaviour will be influenced in a way that they will be willing to execute the CSFs, namely MTR, RPDR, ERO, and PL for the success of the organisation.

At the ECONAT, it is fundamental for officials to clearly define a direction to follow that will enable the promotion of an integrity-based approach to leadership rather than portraying an understanding that overlaps between compliance-based and integrity-based approaches to leadership. This will do no favour in the process of establishing organisational efficiency and effectiveness.



### **7.4.4 Implementation framework for changes in behaviour and attitudes**

It has transpired, based on the nature of the issue under investigation, that LE and its inherent CSFs that the mindsets are at the core of the discussion, to a greater extent than policies and legislation or anything else on that matter. Therefore, considering that behaviour and attitudes are changed over time, the process is gradual and requires on-going intervention. The appropriate framework to guide such a change is as follows:

- 1) Workshops - because of the need to engage in intensive discussion and activity on a particular subject or project such as that of LE and its inherent CSFs;
- 2) Conference attendance in the form of a congress, convention, seminar, colloquium, symposium, forum, convocation, summit, synod, conclave, consultation, away-day organised locally or abroad taking place over several days over shared interests such as that of LE and its inherent CSFs;
- 3) Awareness campaigns aiming at instigating an action from the officials in return or to simply have them better informed especially over the issue of LE and its

inherent CSFs;

- 4) Skills training on LE and its inherent CSFs aiming at improving officials' capability, capacity, productivity and performance;
- 5) Further studies, with a view of deepening knowledge on the issue under investigation – LE and its inherent CSFs.

These activities must be consistent over a well-defined period of time (e.g. 1-3 years) and regularly monitored and evaluated in order to empower officials at the DTI and ECONAT, helping them to close the gap and resolve shortcomings demonstrated on the issue under investigation - LE and its inherent CSFs. The activities can be sponsored by various stakeholders in the public sector (e.g. the government and / or government agencies), private sector (companies and / or businesses under social responsibility programmes) and the organisations in the civil society (churches, NGOs, universities or colleges, etc.)



### **7.5 Areas for future research**

Further studies that quantitatively examine the effects of LE and CSFs on public policy implementation may yield interesting findings that could assist governments in identifying the specific factors that contribute to the slow pace of public policy implementation. In addition, research of this nature may allow for the introduction of appropriate interventions to addressing the problem of LE and public policy implementation in emerging contexts.

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## APPENDICES

### APPENDIX A: Research Clearance Letter from the Senate Research Committee of UWC



UNIVERSITY of the  
WESTERN CAPE

OFFICE OF THE DEAN  
DEPARTMENT OF RESEARCH DEVELOPMENT

23 January 2015

**To Whom It May Concern**

I hereby certify that the Senate Research Committee of the University of the Western Cape approved the methodology and ethics of the following research project by:  
Mr KK Ndalamba (School of Government)

Research Project: Leadership ethos and public management in the SADC Region: Prospects and challenges.

Registration no: 14/10/77

Any amendments, extension or other modifications to the protocol must be submitted to the Ethics Committee for approval.

The Committee must be informed of any serious adverse event and/or termination of the study.

*Ms Patricia Josias  
Research Ethics Committee Officer  
University of the Western Cape*

Private Bag X17, Bellville 7535, South Africa  
T: +27 21 959 2988/2948 . F: +27 21 959 3170  
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www.uwc.ac.za

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## APPENDIX B: Introductory letter from the SOG, EMS to the DTI (RSA)



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### FACULTY OF ECONOMIC AND MANAGEMENT SCIENCES

### SCHOOL OF GOVERNMENT

#### PARTICIPATION INFORMATION SHEET

#### RESEARCH TITLE: LEADERSHIP ETHOS AND PUBLIC MANAGEMENT IN THE SADC REGION: PROSPECTS AND CHALLENGES

Your Excellency, Minister Rob Davies

You are invited along with members of your cabinet and officials in the Department of Trade and Industry (DTI) to participate in a research study conducted by **Ken Kalala Ndalamba, Student Number 2800823**. It is in partial completion of the researcher's thesis towards the PHD Degree at the School of Government, at the University of the Western Cape.

Before you decide to participate, it is important for you to understand the purpose of the research and what it would entail. Please take time to read the following information carefully and discuss it with others if you wish. If you are unclear of anything, I would be happy to answer any questions you may have.

#### PURPOSE OF THE STUDY

The primary objective of the proposed study is to explore the relationship between leadership ethos and public policy with a particular focus on understanding the influence and impact of leadership ethos on the formulation, implementation and administration of public policies.

The specific objectives are:

- 1) Critically examine the theoretical discourse and scholarly debates on leadership in the context of public policy making;
- 2) Identify and consider the Critical Success Factors (CSFs) comprising leadership ethos and its impact on public policy;
- 3) Explore the political and administrative leadership interface with specific reference to the understanding, knowledge and practice of Critical Success

Factors and its impact on public policy through the case of three SADC countries, namely, Angola, the DRC and South Africa;

- 4) Establish a leadership framework that embodies appropriate and relevant Critical Success Factors towards the development of more effective public policies for social transformation.

#### **DESCRIPTION OF STUDY AND YOUR INVOLVEMENT**

Given the nature and complexity of the study, the approach suitable to the study is the case study approach. This is an empirical approach to a study that investigates real-life phenomenon within a context where limits between both phenomenon and context are not clearly defined. This means, that "Case studies are analyses of persons, events, decisions, periods, projects, policies, institutions, or other systems that are studied holistically by one or more methods. The case that is the *subject* of the inquiry will be an instance of a class of phenomena that provides an analytical frame — an *object* — within which the study is conducted and which the case illuminates and explicates".

In this study, considering the views above, the subject of inquiry is the relationship between leadership ethos and public policy. The case study approach allows the researcher to use multiple sources of information. In this respect, both secondary and primary research approaches will be executed.

##### **➤ *Involvement 1: Senior Officials (political and administrative)***

Therefore, your involvement is required in this section – primary research, where we hope to administer an interview schedule to you (in your capacity as senior official) with a view of collecting primary data on leadership ethos and public management. Based on a semi-structured interview schedules, you will be probed on your leadership style and approach in relation to Critical Success Factors (CSFs).

##### **➤ *Involvement 2: Official at lower managerial levels***

In order to reduce personal biases inherent in the responses of the senior officials' interview schedules, a survey questionnaire will be administered to you (in your

capacity as an official at lower managerial levels). This approach enables to verify, according to the principles of data triangulation, the validity of the research findings in terms of the accuracy that is reflected in the situation and evidence that supports the finding

#### **CONFIDENTIALITY**

Please be advised that the results of the study will neither divulge the organisation's particulars nor the individual particulars, as to maintain confidentiality at all times. Any information that can connect the responses to an individual or organisation will remain confidential and will be disclosed only with your permission. The researcher shall keep all records and tapes of your participation, including a signed consent form which is required from you should you agree to participate in this research study, and locked away at all times.

#### **VOLUNTARY PARTICIPATION AND WITHDRAWAL**

Your participation in this research is entirely voluntary, which means that you are free to decline from participation. It is your decision whether or not to take part. If you volunteer to be in this study, you may withdraw at any time without consequences of any kind. If you decide to participate in the study, you are free to withdraw at any time – and without giving a reason. You may also choose not to answer particular questions that are asked in the study. If there is anything that you would prefer not to discuss, please feel free to say so.

#### **PAYMENT FOR PARTICIPATION**

There are no costs to the participant for partaking in the study.

#### **INFORMED CONSENT**

Your signed consent to participate in this research study is required before I proceed to interview you. I have included the consent form with this information sheet so that you will be able to review the consent form and then decide whether you would like to participate in this study or not.

### QUESTIONS

Should you have further questions or wish to know more, I can be contact as follows:

Student Name : Ken Kalala Ndalamba  
Student Number : 2800823  
Mobile Number : +244 916 330 888  
Work Number : +244 222 338 984  
Email : [ndalambaken@gmail.com](mailto:ndalambaken@gmail.com)

I am accountable to my supervisor : Prof. Michelle Esau  
School of Government (SOG) :  
Telephone : +27 21 959 3852  
Fax : +27 21 959 3849  
Email : [mvesau@uwc.ac.za](mailto:mvesau@uwc.ac.za)



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## APPENDIX C: Introductory letter from the SOG, EMS to the ECONAT (DRC)



### FACULTY OF ECONOMIC AND MANAGEMENT SCIENCES

### SCHOOL OF GOVERNMENT

#### INFORMATIONS SUR LA PARTICIPATION

#### TITRE DE RECHERCHES: LE LEADERSHIP ETHOS ET LA GESTION PUBLIQUE DANS LA REGION DE SADC: PROSPECTIVES ET DEFIS

Votre Excellence,

Vous êtes invité à participer dans une recherche d'étude menée par **Ken Kalala Ndalamba, Numéro d'Etudiant 2800823**. C'est dans l'achèvement partiel de la thèse de Doctorat du chercheur au School of Government, à l'Université de Western Cape.

Avant de décider à y participer, il est important pour vous de comprendre le but de la recherche et ce qu'elle pourrait entraîner. Veuillez prendre du temps pour lire soigneusement les informations suivantes et en discuter avec les autres si vous le souhaitez. Si vous n'êtes pas sûr de quelque chose, je serais heureux d'apporter une suite à toute question que vous pourriez avoir.

#### BUT DE L'ETUDE

L'objectif principal de l'étude proposée est d'explorer la relation entre le leadership ethos et la politique publique avec un accent particulier sur la compréhension de l'influence et de l'impact du leadership ethos sur la formulation, la mise en œuvre et l'administration des politiques publiques.

Les objectifs spécifiques sont:

- 1) Examiner d'un œil critique le discours théorique et discuter en tant que spécialiste sur le leadership dans le contexte de prise des décisions publiques;
- 2) Identifier et considérer les Facteurs Critiques de Succès (FCS) comprenant le leadership ethos et ses impacts sur la politique publique;
- 3) Explorer l'interface du leadership politique et administratif avec la référence

spécifique à la compréhension, la connaissance et la pratique des Facteurs Critiques de Succès et son impact sur la politique publique par le cas de trois pays de la SADC, notamment, l'Angola, la DRC et l'Afrique du Sud;

- 4) Etablir un cadre de leadership qui incarne les Facteurs Critiques de Succès appropriés et pertinents pour le développement plus efficace des politiques publiques en vue de la transformation sociale.



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### DESCRIPTION DE L'ETUDE ET VOTRE INVOLVEMENT

Etant donné la nature et la complexité de l'étude, l'approche appropriée à l'étude est l'approche d'étude du cas. C'est une approche empirique à une étude qui explore le phénomène réel dans un contexte où des limites entre le phénomène et le contexte ne sont pas clairement définies. C'est-à-dire, " les études des cas sont des analyses des personnes, des événements, des décisions, des périodes, des projets, des politiques, des institutions, ou autres systèmes qui sont examinés de manière holistique par une ou plusieurs méthodes. Le cas qui est le sujet de l'enquête sera un exemple d'une classe des phénomènes qui fournit une armature analytique — un objet — pour laquelle l'étude est entreprise et dont le cas illumine et des explicates ".

Vu les vues ci-dessus dans cette étude, le sujet de l'enquête est le rapport entre le leadership éthos et la politique publique. L'approche d'étude de cas permet au chercheur d'employer des sources multiples d'information. À cet égard, des approches de recherches secondaires et principales seront exécutées.

#### ➤ *Participation 1: Hauts fonctionnaires (politiques et administratifs)*

Par conséquent, votre participation est indispensable dans cette section – de recherche principale, où nous espérons vous interviewer (en votre qualité de haut fonctionnaire en vue de rassembler les données principales sur le leadership éthos et la gestion publique. Basé sur une interview semi-structurée, vous serez enquêté sur votre approche et style de leadership par rapport aux Facteurs Critiques de Succès (FCS).

#### ➤ *Participation 2: Fonctionnaire aux niveaux managériaux inférieurs*

Afin de réduire des tendances personnelles inhérentes aux réponses des interviews auprès des hauts fonctionnaires, un questionnaire d'enquête vous sera administré (en votre qualité de fonctionnaire aux niveaux managériaux inférieurs). Cette approche permet de vérifier, selon les principes de la triangulation de données, la validité des résultats de recherches en termes d'exactitude qui est reflétée dans la situation et l'évidence qui soutient la conclusion.



#### **CONFIDENTIALITE**

Soyez avisé que les résultats de l'étude ne divulgueront jamais les conditions particulières de l'organisation ni des individus, de manière à maintenir la confidentialité à tout moment. Quelques informations dont les réponses peuvent toucher une personne ou l'organisation demeureront confidentielles et seront révélées seulement avec votre permission. Le chercheur gardera tous les dossiers et bandes de votre participation, y compris un formulaire signé de consentement qui est exigé de votre accord de participer à cette étude de recherches, et caché à clef.

#### **PARTICIPATION ET RETRAIT VOLONTAIRE**

Votre participation à cette recherche est entièrement volontaire, qui signifie que vous êtes libre de décliner votre participation. C'est votre décision de prendre ou ne pas prendre part. Si vous acceptez volontairement de faire partie dans cette étude, vous pouvez vous retirer à tout moment sans aucune sorte de conséquences. Si vous décidez d'y participer, vous êtes libre de vous retirer à tout moment – et sans donner de raison. Vous pouvez aussi choisir de ne pas répondre à certaines questions particulières qui sont posées dans l'étude. S'il y a quelque chose que vous préféreriez ne pas en discuter, soyez à l'aise de le dire librement ainsi.

#### **FRAIS DE PARTICIPATION**

Il n'existe pas de frais de participation à l'étude.

#### **CONSENTEMENT AVISE**

Votre consentement signé pour participer dans cette étude de recherche est requis avant de procéder à vous interviewer. Veuillez trouver ci-joint à cette feuille d'informations, le formulaire de consentement en vue de vous permettre de le revoir afin de décider si vous aimeriez participer à cette étude ou non.

### QUESTIONS

Si vous avez des questions supplémentaires ou souhaitez apprendre plus, veuillez me contacter à l'adresse ci-après :

Nom de l'Etudiant : Ken Kalala Ndalamba  
Numéro de l'Etudiant : 2800823  
Numéro Mobile : +244 916 330 888  
Numéro Bureau : +244 222 338 984  
Email : [ndalambaken@gmail.com](mailto:ndalambaken@gmail.com)

Sous la supervision de : Prof. Michelle Esau  
School of Government (SOG)  
Téléphone : +27 21 959 3852  
Fax : +27 21 959 3849  
Email : [mvesau@uwc.ac.za](mailto:mvesau@uwc.ac.za)



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## APPENDIX D: Introductory letter from the SOG, EMS to the MINEC (Angola)



### FACULDADE DE CIÊNCIAS ECONOMICAS E EMPRESARIAIS

### ESCOLA DE GOVERNO

#### FOLHA DE INFORMAÇÃO PARA PARTICIPAÇÃO

#### TÍTULO DO ESTUDO: O ETHOS DA LIDERANÇA E A GESTÃO PÚBLICA NA REGIÃO DA SADC: PERSPECTIVAS E DESAFIOS

Sua Excelência Dr. Abrahão Pio dos Santos Gourgel

Sua Excelência, membros do Gabinete Ministerial e os funcionários do Ministério da Economia estão convidados a participar de um estudo de investigação realizado por **Ken Kalala Ndalamba, Número de Estudante 2800823**. O estudo faz parte da tese do pesquisador para obter o grau de doutor (PHD) pela Escola de Governo da Universidade de Western Cape.

Antes de Sua Excelência decidir participar, é importante entender o objectivo da pesquisa e o que poderá implicar. Por favor dedique algum tempo a leitura cuidadosa das informações seguintes e discuti-as com outros, se desejar. Se Sua Excelência tiver qualquer dúvida, eu terei o maior prazer em responder qualquer questão.

#### OBJECTIVO DO ESTUDO

O objectivo primário do estudo é de explorar a relação entre o ethos da liderança e as políticas públicas concentrando particularmente em entender a influência e o impacto do ethos da liderança na formulação, implementação e gestão de políticas públicas.

Os objectivos específicos são:

- 1) Analisar de forma crítica o discurso teórico e os debates académicos sobre a liderança no contexto da formulação de políticas públicas;
- 2) Identificar e considerar os Factores Críticos de Sucesso (FCS) que constituem o ethos da liderança e o seu impacto na política pública;
- 3) Explorar a interface de liderança política e administrativa, com referência específica à compreensão, o conhecimento e a prática dos Factores Críticos de Sucesso e o seu impacto na política pública através do estudo de três

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países da SADC, nomeadamente, Angola, República Democrática do Congo e África do Sul;

- 4) Estabelecer um quadro de liderança que incorpora Factores Críticos de Sucesso apropriados e relevantes para o desenvolvimento de políticas públicas mais eficazes para a transformação social.

#### DESCRIÇÃO DO ESTUDO E A SUA PARTICIPAÇÃO

Dada a natureza e complexidade do estudo, a abordagem adequada será a de um caso de estudo. Esta é uma abordagem empírica de um estudo que investiga o fenómeno da vida real dentro de um contexto onde os limites entre o fenómeno e o contexto não estão claramente definidos. Isto significa, que " estudos de caso são análises de pessoas, eventos, decisões, períodos, projectos, políticas, instituições, ou outros sistemas que são estudados de forma holística por um ou mais métodos. O caso que constitui o *assunto* do inquérito incidirá sobre uma classe de fenómenos que apresenta um quadro analítico - um *objecto* - dentro do qual o estudo é realizado e é iluminado e explicado pelo caso".

Considerando os pontos de vista acima mencionados, o assunto do inquérito neste caso é a relação entre o *ethos* da liderança e as políticas públicas. Esta abordagem de caso de estudo permite ao pesquisador utilizar múltiplas fontes de informação. Neste contexto, ambas as abordagens de pesquisa secundária e primária serão executadas.

➤ *Envolvimento 1: Funcionários Superiores (políticos e administrativos)*

Portanto, será necessário o envolvimento da Sua Excelência e membros do Gabinete Ministerial nesta secção - a pesquisa primária, onde lhe apresentamos um plano de entrevista (na sua qualidade de funcionário superior) com vista a recolher dados primários sobre o *ethos* da liderança e a gestão pública. Com base em planos de entrevista semi-estruturadas, Sua Excelência será questionado sobre o seu estilo de liderança e a sua abordagem em relação aos Factores Críticos de Sucesso (FCS).

➤ *Envolvimento 2: Funcionários a níveis gerenciais mais baixos*

A fim de reduzir preconceitos pessoais inerentes as respostas das entrevistas dos funcionários superiores (Sua Excelência e membros do Gabinete Ministerial), outros funcionários receberão um questionário de inquérito (na qualidade de funcionários a nível gerencial mais baixo). Isso permitirá verificar, de acordo com os princípios da triangulação de dados, a validade dos resultados da investigação em termos da precisão que se reflecte na situação e a comprovação que apoia os resultados.

**CONFIDENCIALIDADE**

Informamos que os resultados do estudo não divulgarão os pormenores da organização nem os elementos individuais, afim de manter a confidencialidade. Qualquer informação que poderá associar as respostas a qualquer indivíduo ou organização permanecerá confidencial e só será divulgada com a sua autorização. O pesquisador deverá manter todos os registos e gravações da sua participação, incluindo um formulário de consentimento assinado que lhe será exigido se concordar em participar neste estudo.

**PARTICIPAÇÃO E RETIRADA VOLUNTÁRIA**

A participação da Sua Excelência nesta pesquisa é totalmente voluntária. Sua Excelência é livre de decidir se deseja ou não participar. Se Sua Excelência voluntariar-se a participar neste estudo, poderá retirar a sua participação a qualquer momento sem consequências ou justificação alguma. Sua Excelência tem também o direito a não responder a perguntas específicas do estudo. Se Sua Excelência preferir não discutir algo, por favor, não hesite em se pronunciar.

#### **PAGAMENTO PARA PARTICIPAÇÃO**

Não haverá qualquer remuneração para o participante do estudo.

#### **CONSENTIMENTO INFORMADO**

É necessário o seu consentimento por escrito e assinado antes de eu poder proceder à sua entrevista. O formulário de consentimento encontra-se incluído nesta folha de informações que lhe permitira decidir se gostaria de participar ou não do estudo.

#### **QUESTÕES**

Se Sua Excelência tiver dúvidas ou desejar mais informações, poderá contactar-me a traves do seguinte:

Nome do Estudante: Ken Kalala Ndalamba

Número do Estudante: 2800823

Número de telemóvel: +244 916 330 888

Telefone do trabalho: +244 222 338 984

Email: [ndalambaken@gmail.com](mailto:ndalambaken@gmail.com)

Eu sou responsável perante o meu supervisor: Prof. Michelle Esau

Escola de Governo (SOG)

Telefone: +27 21 959 3852

Fax: +27 21 959 3849

Email: [mvesau@uwc.ac.za](mailto:mvesau@uwc.ac.za)



UNIVERSITY of the  
WESTERN CAPE

## APPENDIX E: Approved Consent Form from the DTI (RSA)



### FACULTY OF ECONOMIC AND MANAGEMENT SCIENCES

### SCHOOL OF GOVERNMENT

#### CONSENT FORM

#### RESEARCH TITLE: LEADERSHIP ETHOS AND PUBLIC MANAGEMENT IN THE SADC REGION: PROSPECTS AND CHALLENGES

I have read the information presented in the information letter about a study being conducted by **Ken Kalala Ndalamba** towards the Doctoral Programme at the School of Government (SOG) at the University of the Western Cape.

This study has been described to me in a language that I understand and I freely and voluntarily agree to participate. My questions about the study have been answered.

I understand that my identity will not be disclosed and was informed that I may withdraw my consent at any time by advising the student researcher.

With full knowledge of all foregoing, I agree to participate in this study.

Participant Name : Elizabeth van Renen  
Participant Signature : [Signature]  
Date : 12/2/2016  
Place : Pretoria  
Student Researcher : Ken Kalala Ndalamba  
Student Researcher Signature : [Signature]  
Student Number : 2800823  
Mobile Number : +244 916 330 888  
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## APPENDIX F: Approved Consent Form from the ECONAT (DRC)



UNIVERSITY of the  
WESTERN CAPE

### FACULTY OF ECONOMIC AND MANAGEMENT SCIENCES

### SCHOOL OF GOVERNMENT

#### FORMULAIRE DE CONSENTEMENT

#### TITRE DE RECHERCHES: LE LEADERSHIP ETHOS ET LA GESTION PUBLIQUE DANS LA REGION DE SADC: PROSPECTIVES ET DEFIS

J'ai pris connaissance des informations présentées dans la lettre d'information au sujet d'une étude menée par **Ken Kalala Ndalamba** pour le Programme de Doctorat au School of Government (SOG) à l'Université de Western Cape.

Cette étude m'a été décrite dans une langue que je comprends et j'ai librement et volontairement accepté d'en prendre part. Mes questions au sujet de l'étude ont trouvées des réponses.

Je comprends que mon identité ne sera pas divulguée et j'étais informé que Je peux à tout moment retirer mon consentement en conseillant à l'étudiant chercheur.

En toute connaissance de tout ce qui précède, j'accepte de prendre part à cette étude.

Nom du Participant : KALALA MBAYO

Signature du Participant : [Signature]

Date : 12/08/2015.

Lieu : KINSHASA/RDC

Etudiant Chercheur : Ken Kalala Ndalamba

Signature de l'Etudiant Chercheur : [Signature]

Numéro de l'Etudiant : 2800823

Numéro Mobile : +244 916 330 888

Email : ndalambaken@gmail.com

Je répons auprès de mon superviseur : Prof. Michelle Esau  
Ecole du Gouvernement (SOG)  
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**APPENDIX G: Letter from the MINEC (Angola) declining collaboration**



REPÚBLICA DE ANGOLA  
MINISTÉRIO DA ECONOMIA  
GABINETE DO MINISTRO

Ao  
Exmo Senhor  
**Ken Ndalamba**

**LUANDA**

**01217/GME/2015**

**ASSUNTO: PESQUISA SOBRE ASSUNTOS ECONÓMICOS**


Exmo. Senhor,

Acusamos e agradecemos a recepção do vosso ofício com a referência 24/07/2015 de 24 de Julho sobre o assunto em epígrafe através do qual solicita entrevista com altos funcionários deste Ministério para enriquecer a pesquisa relacionada explora as questões com estado da liderança e as políticas públicas para transformação social.

Servimos da presente por orientação de sua excelência senhor Ministro da economia, para informar que por razões de agenda não será possível a realização da referida entrevista e conseqüente informação.

Sem outro assunto de momento, queira aceitar desde já os nossos agradecimentos.

**GABINETE DO MINISTRO DA ECONOMIA**, Em Luanda, 02 de Dezembro de 2015

  
**Luzia do Nascimento**  
Directora Adjunta

Rua Rainha Ginga, n.º 31 - Tour Elysée, 1º e 2º Andar - LUANDA

## APPENDIX H: Interview Schedule for the key informant at the DTI (RSA)

RESEARCH TITLE: LEADERSHIP ETHOS AND PUBLIC MANAGEMENT IN THE SADC REGION:  
PROSPECTS AND CHALLENGES

### Data Collection Instruments

#### 1. Interview schedule

Given the study about leadership ethos and public policies in public management, the following constitute questions of the semi-structured interview with senior officials:

1. When you think about leadership ethos in public management:
  - What comes to mind?
  - What concerns you?
2. Leadership ethos is understood as common value framework, constructed jointly by a leader and his/her followers, which serves as basis for establishing a collective vision of change through meaningful and responsible actions. Do you exercise or have such an approach to leadership?
  - If yes, how?
  - If no, why?
3. Given the following characteristics of leadership ethos: vision, virtues, values and obligation. What in your opinion constitute a challenge in relation to public policies?
4. Do your leadership abilities play a role in influencing the formulation, implementation and administration of public policies?
  - If yes, how?
  - If no, why?
5. When you think of Critical Success Factors (CSFs) with regard to leadership ethos in public management:
  - What comes to mind?
  - What concerns you?
6. In this study, the following have been identified as CSFs with respect to leadership ethos in public management through the formulation, implementation and administration of public policies: **1 – mutually trusting relationship; 2 – recognition of power dynamics in the relationship; 3 – effectiveness in reaching the objectives; 4 – participatory leadership.**
  - a) Do you in any way relate to them in your practices?
    - If yes, how?
    - If no, why?
  - b) What kind of challenges do they present in your own understanding and practice of leadership?
  - c) How could such challenges affect the process of policy formulation, implementation and administration?
7. Performance in Public Management can be regarded as a natural consequence of the above mentioned CSFs. It depends, however, on the Interface between the Political and Administrative Leadership that should be understood as complementary relationship without undermining the authority and responsibility of each part.
  - a) How do you demonstrate an understanding of this concept in your practice of leadership?

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Faculty of Economic and Management Sciences, School of Governance  
University of the Western Cape

## APPENDIX I: Interview Schedule for the key informant at the ECONAT (DRC)

### TITRE DE RECHERCHES : LE LEADERSHIP ETHOS ET LA GESTION PUBLIQUE DANS LA RÉGION DE SADC : PERSPECTIVES ET DÉFIS

#### Instruments De Collecte De Données

##### 1. Interview prévue

Etant donné l'étude menée au sujet de leadership éthos et les politiques publiques dans la gestion publique, ci-dessous sont des questions qui constituent l'interview semi-structurée à apporter aux autorités supérieures:

1. En pensant au leadership éthos dans la gestion publique :
  - Qu'est-ce qui vous arrive à l'esprit?
  - Qu'est-ce qui vous préoccupe ?
2. Le leadership éthos est compris comme étant un cadre commun de valeur construit conjointement par un leader et ses partisans, qui sert comme base pour établir une vision collective de changement par des actions significatives et responsables. Est-ce que vous l'exercez ou vous avez une telle approche en rapport avec ce leadership éthos ?
  - Si oui, comment ?
  - Si non, pourquoi ?
3. Etant donné les caractéristiques suivantes du leadership éthos: la vision, les vertus, les valeurs et l'obligation. Qu'est-ce que constitue selon votre avis un défi par rapport aux politiques publiques ?
4. Vos capacités de leadership, jouent-elles un rôle en influençant la formulation, l'exécution et l'administration des politiques publiques ?
  - Si oui, comment ?
  - Si non, pourquoi ?
5. Quand vous pensez aux Facteurs Critiques de Succès (FCS) en ce qui concerne le leadership éthos dans la gestion publique :
  - Qu'est qui vient à l'esprit ?
  - Quelles sont vos préoccupations ?
6. Dans cette étude, les éléments suivants ont été identifiés comme Facteurs Critiques de Succès en ce qui concerne le leadership éthos dans la gestion publique par la formulation, l'exécution et l'administration des politiques publiques : **1 – les relations mutuelles de confiance ; –2 la reconnaissance de la dynamique des pouvoirs dans les relations ; – 3 l'efficacité dans l'atteinte des objectifs ; –4 le leadership participatif.**
  - a) Y-a-t-il de quelque façon le rapport entre ce qui a été récemment évoqué et vos pratiques?
    - Si oui, comment ?
    - Si non, pourquoi ?
  - b) Quel genre de défis présentent-ils dans votre propre compréhension et pratique du leadership ?
  - c) Comment de tels défis pourraient affecter le processus d'élaboration, de la mise en œuvre et de l'administration de la politique ?
7. La performance dans la gestion publique peut être considérée comme une conséquence naturelle des FCS mentionnés ci-dessus. Toutefois, cela dépend de l'Interface du leadership entre les autorités Politique et Administrative qui devrait être compris comme une relation complémentaire sans saper l'autorité et la responsabilité de chaque partie.
  - a) Comment démontrez-vous la compréhension de ce concept dans votre pratique du leadership ?

## APPENDIX J: Survey Questionnaire for key informants at the DTI (RSA)

RESEARCH TITLE: LEADERSHIP ETHOS AND PUBLIC MANAGEMENT IN THE  
SADC REGION: PROSPECTS AND CHALLENGES

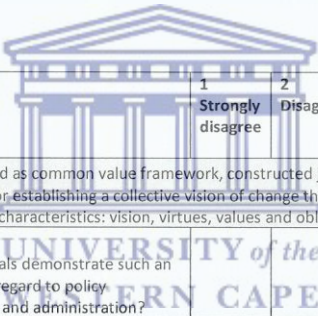
### Data Collection Instruments

#### 1. Survey questionnaire

The following survey questionnaire will be administered to officials at lower managerial levels. Respondents' attitudes on their bosses with regard to leadership ethos and public management will be measured with a view to reduce the personal biases inherent in the responses of the senior officials' interviews (Saunders et al 2009:388-406). This will enable to verify, according to the principles of data triangulation, the validity of the research findings in terms of the accuracy that is reflected in the situation and evidence that supports the findings.

The survey questionnaire is a scale adapted from Rensis Likert (1932; Likert, Roslow & Murphy 1934) whereby the respondents are required to read the statements and select one option in the continuum from 1 (strongly disagree) to 5 (strongly agree) of the corresponding statement (Vagias: 2006).

The attitude on the issue will be measured by summing up the value of each selected option and create a score for each respondent. Scores superior to 50% will favour and support the leader's views and responses to the interview schedule thus reduce high probability of biases.



	1 Strongly disagree	2 Disagree	3 Don't know (undecided)	4 Agree	5 Strongly agree
<b>1. Leadership ethos</b> is understood as common value framework, constructed jointly by a leader and his/her followers, which serves as basis for establishing a collective vision of change through meaningful and responsible actions and include the following characteristics: vision, virtues, values and obligation					
<b>a. Vision:</b> Do your senior officials demonstrate such an approach to leadership with regard to policy formulation, implementation and administration?					
<b>b. Virtues:</b> Do your senior officials demonstrate such an approach to leadership with regard to policy formulation, implementation and administration?					
<b>c. Values:</b> Do your senior officials demonstrate such an approach to leadership with regard to policy formulation, implementation and administration?					
<b>d. Obligation:</b> Do your senior officials demonstrate such an approach to leadership with regard to policy formulation, implementation and administration?					

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<p><b>2. Critical Success Factors (CSFs)</b> are "those few key areas of activity in which favourable results are necessary for a manager to reach his/her role". In this work they are identified as follow: 1 – mutually trusting relationship; 2 – recognition of power dynamics in the relationship; 3 – effectiveness in reaching the objectives; 4 – participatory leadership.</p>					
<p><b>e. Mutually Trusting Relationship:</b> Do your senior officials demonstrate an understanding of this concept in their practice of leadership?</p>					
<p><b>f. Recognition of power dynamics in the relationship:</b> Do your senior officials demonstrate an understanding of this concept in their practice of leadership?</p>					
<p><b>g. Participatory leadership.</b> Do your senior officials demonstrate an understanding of this concept in their practice of leadership?</p>					
<p><b>h. Effectiveness in reaching the objectives:</b> Do your senior officials demonstrate an understanding of this concept in their practice of leadership?</p>					
<p><b>3. Performance in Public Management</b> can be regarded as a natural consequence of the above mentioned CSFs. It depends, however, on the Interface between the Political and Administrative Leadership that should be understood as complementary relationship without undermining the authority and responsibility of each part.</p>					
<p><b>i.</b> Do your elected officials (<b>politicians</b>) demonstrate an understanding of this concept in their practice of leadership?</p>					
<p><b>j.</b> Do your senior officials (<b>public managers</b>) demonstrate an understanding of this concept in their practice of leadership?</p>					

RESPONDENT						SCORE
Name (Optional):						(To be filled by the researcher)
Age group:	20 – 30	31 – 40	41 – 50	51 – 60	60 +	
Gender:	M		F			
Position:						
Date:						

## APPENDIX K: Survey Questionnaire for key informants at the ECONAT (DRC)

### TITRE DE RECHERCHES: LE LEADERSHIP ETHOS ET LA GESTION PUBLIQUE DANS LA REGION DE SADC: LES PROSPECTIVES ET DEFIS

#### Les Instruments De Collection des Données

##### 1. Questionnaire d'Enquête

Le questionnaire d'enquête suivant sera administré aux fonctionnaires aux niveaux managériaux inférieurs. Les attitudes des répondants sur leurs chefs concernant le leadership éthos et la gestion publique seront mesurées en vue de réduire les tendances personnelles inhérentes aux réponses des interviews des autorités supérieures (Saunders et al 2009:388-406). Ceci permettra de vérifier, selon les principes de la triangulation de données, la validité des résultats de recherches en termes d'exactitude qui est reflétée dans la situation et l'évidence qui soutiennent les résultats.

Le questionnaire d'enquête est une échelle adaptée de Rensis Likert (1932 ; Likert, Roslow & Murphy 1934) par laquelle les répondants sont requis de lire les déclarations et choisir une option dans le continuum à partir de 1 (désaccord entier) à 5 (accord entier) de la déclaration correspondante (Vagias : 2006).

L'attitude sur la question sera mesurée en résumant la valeur de chaque option sélectionnée et créer une note pour chaque répondant. Les notes supérieures à 50% favoriseront et soutiendront les vues et réponses du leader à l'interview pour ainsi réduire la probabilité élevée des tendances.

	1 Entièrement Pas d'accord	2 Pas d'accord	3 Je ne sais pas (indécis)	4 D'accord	5 Entièrement d'accord
<b>1. Le Leadership ethos</b> est compris comme étant un cadre commun de valeur construit conjointement par un leader et ses partisans, qui sert comme base pour établir une vision collective de changement par des actions significatives et responsables et inclut les caractéristiques suivantes: la vision, les vertus, les valeurs et l'obligation					
<b>a. Vision:</b> Est-ce que vos autorités supérieures démontrent une telle approche au leadership par rapport à la formulation, la mise en œuvre et l'administration de politique en générale?					
<b>b. Vertus:</b> Est-ce que vos autorités supérieures démontrent une telle approche au leadership par rapport à la formulation, la mise en œuvre et l'administration de politique en générale?					
<b>c. Valeurs:</b> Est-ce que vos autorités supérieures démontrent une telle approche au leadership par rapport à la formulation, la mise en œuvre et l'administration de politique en générale??					
<b>d. Obligation:</b> Est-ce que vos autorités démontrent une telle approche au leadership par rapport à la formulation, la mise en œuvre et l'administration de politique en générale?					

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**2. Les Facteurs Critiques de Succès (FCS)** sont "ces quelques secteurs principaux d'activités dans lesquels les résultats favorables sont nécessaires pour un manager d'atteindre son rôle". Ils sont identifiés dans ce travail comme suit: 1 – les relations mutuelles de confiance; 2 – la reconnaissance de la dynamique des pouvoirs dans les relations; 3 – l'efficacité dans l'atteinte des objectifs; 4 – leadership participatif.

<b>e. Les Relations Mutuelles de Confiance:</b> Est-ce que vos autorités supérieures démontrent une compréhension de ce concept dans leur exercice du leadership?					
<b>f. La Reconnaissance de la Dynamique des Pouvoirs dans les Relations:</b> Est-ce que vos autorités supérieures démontrent une compréhension de ce concept dans leur exercice du leadership?					
<b>g. Le Leadership Participatif.</b> Est-ce que vos autorités supérieures démontrent une compréhension de ce concept dans leur exercice du leadership?					
<b>h. L'Efficacité dans l'Atteinte des Objectifs:</b> Est-ce que vos autorités supérieures démontrent une compréhension de ce concept dans leur exercice du leadership?					
<b>3. La Performance dans la Gestion Publique</b> peut être considérée comme une conséquence naturelle des FCS mentionnés ci-dessus. Toutefois, cela dépend de l'Interface du leadership entre les autorités Politique et Administrative qui devrait être compris comme une relation complémentaire sans saper l'autorité et la responsabilité de chaque partie.					
<b>i.</b> Est-ce que vos autorités élues (politiciens) démontrent une compréhension de ce concept dans leur exercice du leadership?					
<b>j.</b> Est-ce que vos autorités supérieures (les mandataires publics) démontrent une compréhension de ce concept dans leur exercice du leadership?					



<b>REPONDANT</b>					<b>NOTES</b> (A être complété par le chercheur)
Nom (Facultatif):					
Age groupe:	20 – 30	31 – 40	41 – 50	51 – 60	60 +
Genre:	M		F		
Position:					
Lieu et Date:					