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# **Variables influencing network governance to promote good developmental governance**

by

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**2019**

## **DECLARATION**

I certify that the dissertation submitted by me for the degree Magister Artium (Public Management and Governance) (CW) at the University of Johannesburg is my independent work and has not been submitted by me for a degree at another university.

**TISETJO MOTLLANALO MALOBA**



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To the Almighty, my Lord and creator; thank you for always showing me favour and bringing all the elements together, till I conquer.

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To my beloved mother, mmaMaloba, Morema, this one is for you.



## ABSTRACT

The focus of this dissertation was on the critical variables that influences network governance terms of promoting good developmental governance. Public management within a network governance paradigm is seen as a way for government and citizens to manage public administrative and service delivery processes in a cooperative manner. The guiding primary research question for this dissertation was to determine how network governance can serve as a mechanism to promote good developmental governance.

The dissertation focused on related contextual variables, knowledge of the determinants, theoretical approaches, concepts and trends that influence the role and value of network governance within the framework of a developmental state in general and in South Africa in particular. The research approach entailed the application of unobtrusive research techniques as research analysis instruments based on a qualitative research paradigm.

Attempts to define network governance in literature, revealed that no single theoretical approach can explain the complexity of today's public networks and the governance thereof. A concept and content analysis of the term 'network governance shows' that, despite the recent upsurge of interest in network governance in public administration, few authors clearly define the meaning of governance network or network governance. As such, after more than two decades there is no scholarly body of literature on network governance.

**KEY WORDS:** civil society, developmental state, governance, network governance, public participation, public management

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## **CHAPTER ONE**

### **GENERAL INTRODUCTION AND SCIENTIFIC AND METHODOLOGICAL ORIENTATION TO THE RESEARCH**

#### **1.1 INTRODUCTION**

This study focuses on selected critical variables that influences network governance terms of promoting good developmental governance. To contextualise the study, Chapter One provides the background and rationale to the problem statement of the study. The primary guiding research question and the secondary research questions and research objectives are provided. The scientific and methodological approach to the study is discussed. To clarify these approaches, it is necessary to explain the qualitative research approach, the literature review and the conceptual analysis that are applied in the study. The data collection methods are also highlighted. In addition, terms that are frequently used in are defined. The chapter concludes with an overview of the chapters.

#### **1.2 BACKGROUND, RATIONALE AND PROBLEM STATEMENT**

This study will explore the interface between a variety of variables and stakeholders needed to foster good developmental governance to address the challenges of the 21<sup>st</sup> century. Cities across the globe face a growing range of challenges amidst limited and ever-decreasing resources. These challenges include the impact of climate change, rapid urbanisation, poverty, diseases, adequate service provision, crime prevention, child protection and unemployment. Today, governments in developing countries must operate in a rapidly changing 21<sup>st</sup> century environment with the emphasis on developmental governance. As such, issues such as demographics, urbanisation and climate change are placing an increasing strain on public governance (Manna 2010:2).

However, the Diagnostic Report by the National Planning Commission (NPC) (2011:20) states that, although there were significant changes in the well-being of some South Africans, the majority is still living a life of disempowerment, poverty and

inequality. Their daily reality is characterised by inadequate medical care; high levels of disease; lack of proper infrastructure and poor municipal services; a sub-standard education system; a low skills level; and a high unemployment rate (NPC 2011:20). All these issues need to be addressed to eliminate poverty and reduce inequality.

More specifically, the following realities need to be the focus of public governance:

- Although South Africa has critical resource constraints, its economy is resource intensive in terms of water and electricity. The country needs to become less resource intensive while also balancing the use of resources against job creation and economic growth (NPC 2011:20).
- Poorly located and inadequate infrastructure and spatial challenges limit social inclusion and faster economic growth (NPC 2011:20).
- The economy is declining. This low economic growth contributes to poverty, especially in rural areas (Bak 2004 in Auriacombe 2011:78).
- Unemployment is as high as 30% and more than twice as high among the youth (Bak 2004 in Auriacombe 2011:78). Some 45% of South Africans, mostly black, are considered as poor. Some barely survive, while 17 million depend on unsustainable government grants (Gumede 2005 in Auriacombe 2011:78).
- There are poor educational outcomes for primary and secondary educational systems. More than half of every student cohort that enters its first year of education drops out of school before matric and drift into lifetime of low-income jobs in the informal sector (mostly casual labour) (Bak 2004 in Auriacombe 2011:78).
- A dual economy has emerged, as there is a large informal sector where people earn marginal incomes compared to the formal sector. A large percentage of the country's unemployed youth and illegal immigrants form part of this new

economy. Nearly 60% of all unemployed have never worked (Gumede 2005 in Auriacombe 2011:78).

- The public service has a severe shortage of staff with the necessary specialised skills, especially in the health sector, policing, infrastructure planning, engineering, finance and Information Technology Communication (ITC). In addition, high-ranking appointments are often politically motivated and not skills motivated. This has an extremely negative impact on service delivery and long-term planning (NPC 2011:20).
- The country is faced with a poorly skilled workforce and little opportunity for skills development (NPC 2011:20).
- Workers' morale and productivity remain low in the public service, while managerial accountability and performance-based incentives are poor (NPC 2011:20).
- A large number of citizens live in overcrowded, under-serviced poor areas and live in informal settlements or backyard shacks (Jacobs, Shung-King and Smith 2005 in Auriacombe 2011:89).
- Hunger is a primary concern, as it is a significant cause of poor health and mortality (Triegaardt 2005 in Auriacombe 2011:89).
- The collapsing public health system is a serious disease burden amidst a critical shortage of skilled staff.
- Although the HIV-prevalence estimates for children between two and fourteen has decreased, South Africa still has one of the highest rates of HIV/AIDS infection in the world (Auriacombe 2011:78);

- A highly fragmented society leads to crime and violence (particularly against women and children). Poor social services and ineffective policing make communities feel even more powerless.

The South African Government believe that the country is a developmental state with a participative and deliberative democracy based on empowerment and self-determination of its citizens (Hanberger 2006 in Auriacombe 2011:70). Recent evidence has emerged on how collaboration among government, business, and civil society can collectively bring about results that reduce risk and vulnerability. Government should bring public investments, policies and regulations; businesses should help ensure that the economy functions optimally; and civil society should put the interests of vulnerable communities first in decision making processes. Together, these actors can champion stronger policies and interventions. Recently, a variety of voluntary associations have emerged in African cities, often in response to the state's inability to provide public services (Van Dijk and Winters-van Beek 2009:1)

Poor governance has become the major challenge and source of socio-economic crises in Africa. Within the modern governance structure no single actor in the public or private sector has the infrastructure, knowledge or resources to solve the complex societal problems of the 21<sup>st</sup> century (Conley and Moote 2003:372). According to Conley and Moote (2003:372), there is a global trend towards developing a network governance model of cooperation, interaction and co-responsibility. The idea of network governance is rooted in public-private-partnerships (PPPs), which typically has a managerial and economic focus, and municipal-community partnerships that focus on normative aspects, good governance and social contracts. For example, an urban resilience framework calls for a process that brings together diverse actors and sectors to identify proper measures for preparedness, response and recovery. As such, a network form of governance is required.

As the administrative arm of Government, it is clear from above that an efficient public service is crucial to maximise the developmental potential and welfare of citizens. As the executive arm of government, it should take the lead in defining a common national

agenda. Furthermore, the public service should mobilise society to take part in implementing this agenda and direct society's resources towards development.

As a result, governments, researchers and policy-makers realise that the public sector should be reformed to meet these increasing demands. Many see the network governance model, which includes an e-government system of cooperation, interaction and shared responsibility, as the solution.

A developmental state must have the ability to direct and support economic development by building a vibrant public service, creating an investor-friendly environment, supporting small businesses development, driving strategic investment initiatives and using State-owned Enterprises (SOEs) effectively. The concept gained global recognition because of the remarkable economic performance of states such as Japan, Singapore, South Korea and Taiwan that operate in a development framework. Subsequently, several scholars (Evans 2011; Edigheji 2010 and Kohli 2010) have built on the developmental tradition by systematically describing how the developmental state has positively impacted development outcomes.

An efficient public service is vital to enhance the developmental potential and the well-being of its citizens. It should have an oversight institution to play a key regulatory role and be able to translate policies and legislation into practice. Hence, the broad mandate of the Public Service Commission (PSC) covers all areas of public governance. The PSC (2016:11) focuses on six key performance areas:

- *“Human resource management (HRM) and leadership evaluation;*
- *handling labour relations and labour practices;*
- *service delivery evaluation and improvement;*
- *promotion of the democratic values and principles;*
- *conducting public administration investigations; and*
- *promoting professional ethics” (PSC 2016:11).*

Public governance reform in South Africa has come a long way since 1994, from a highly centralised to a more decentralised government with national departments,

provinces and local authorities. Despite all the achievements on the public service transformation journey and the various policy frameworks that were created, such as the former Growth, Employment and Redistribution (GEAR) programme and the Accelerated and Shared Growth Initiative for South Africa (AsgiSA), the public sector is struggling to reach the above goals. Numerous scholars observed that South Africa has no coherent model of public sector reform and public management (Muthien 2013).

This poor performance has a negative impact on economic growth and development, as well as on service delivery (PSC 2016:11). Developmental challenges place a huge demand on the developmental state to develop and implement innovative action plans to ensure that strategic development objectives are met in a global environment (PSC 2016:11). Furthermore, mismanagement and poor performance delivery has led to escalating community protests over the past years and the increasing belief that the South African public service sector is inefficient, unethical, corrupt and incompetent. This is reflected in the PSC findings, where more than half of national public service departments performed poorly (Centre for Development and Enterprise (CDE) 2010 in Auriacombe 2014:123).

Government has admitted that there is an urgent need to improve service delivery in the country. This view was supported by the UNDP Human Development Report (2003), the NPC (2011), the recent National Programme of Action (n.d.: 27) and the PSC's Annual Report (2016).

The debate on the developmental state has recently been reintroduced into current political narrative. Seeing it as a potential solution for the continent's developmental challenges, international development agencies are increasingly recommending the developmental framework to Africa (United Nations Economic Commission for Africa (ENECA) 2011; United Nations Conference on Trade and Development (UNCTAD) 2009).

In the past, governments were mainly responsible for maintaining civil society and providing for the needs of the public. Citizens were involved in government affairs on



a service delivery basis, e.g. welfare services were delivered on government's demand within a specific framework. However, there was little opportunity for meaningful participation and deliberation that could mould policies and programmes, provide opportunities for participation or for public involvement (Peters 1997:54).

Hanberger (2006) points out that, internationally, three models of democracy shape citizen participation in governments. Firstly, with elitist democracy (EDE), democracy is embedded and Government develops policy and programmes for the people. Secondly, participative democracy (PDE) is where the people develop and implement programmes. Thirdly, with deliberative democracy (DDE), stakeholders partake in dialogues and deliberations to facilitate policy and programme development.

**Table 1.1: Aspects of citizen participation and democracy: A framework for analysis**

*Table 1. Aspects of citizen participation and democracy: a framework for analysis*

Aspects	Clarification	Theoretical perspective
Inclusion	Allows individual voices to be heard (openness; diversity of opinions)	Social capital Deliberative democracy
Civic skills and virtues	Civic skills (debating public issues, running a meeting) and civic virtues (public engagement and responsibility, feeling a public citizen, active participation in public life, reciprocity)	Participatory democracy Social capital
Deliberation	Rational decisions based on public reasoning (exchange of arguments and shifts of preferences)	Deliberative democracy
Legitimacy	Support for process and outcome	Participatory democracy

Source: (Taken from Michels and De Graaf 2010)

Table 1.1 highlights that both participatory and deliberative democracy help ensure that individual citizens are included in the policy process. Furthermore, participatory democracy encourages networking skills and rational decisions based on public participation. As such, participatory democracy and deliberative democracy increase the legitimacy of the process and the outcome (Michels and De Graaf 2010).

Considering dwindling resources, public spending must be restrained. As such, there is a renewed focus on creating affordable social policies and practices (Pollitt and Bouckaert 2004:28). The changing nature of democracy from elitist to participative and deliberative empowers ordinary citizens to hold government more accountable for their decisions. In this regard, Strathern (2000) refers to the birth of an “audit culture”. Democratic governance demands the participation of citizens in government structures. The participatory theory of democracy is based on the belief that people’s participation fosters democracy. Therefore, participation is regarded as the most important quality of a democracy.

During the last five years, civil society groups in South Africa have raised their concerns about the issue of capacity within local government structures, arguing that these structures are not capacitated to meet service delivery requirements. Especially local and district municipalities lack specialised skills in areas such as civil engineering, town and regional planning, as well as water purification. The high staff turnover rate and the practice of ‘cadre deployment’, whereby high-ranking political figures are rewarded for their loyalty by being appointed in key political and managerial positions in municipalities, further exacerbate this problem (Auriacombe 2014:76).

Members of civil society often organise themselves in pressure and interest groups such as Tax Payers Associations to address service delivery concerns. They argue that local government needs capacity to transform these groups into good agents of development. This includes the strengthening of local government structures, effective communication capacity for ward committees, providing incentives to ward-committee members, as well as providing the required financial support to carry out their work. Civil society groups have also raised their concerns about the dangers associated with appointing political party members to key managerial positions within local government. They argue that political appointees fail to deliver because they do not have the necessary professional skills to perform at that level (Auriacombe 2014:76). The Local Government: Municipal Systems Amendment Bill (14 May 2010) is mainly aimed at depoliticising municipalities, stopping practice of cadre deployment and ensuring that skilled people are appointed in managerial positions.

The number of qualified audits from the Auditor-General (AG) raised serious concerns. Annual AG reports have identified a lack of controls, mismanagement and lack of governance principles as the key reasons for the state of despair in municipalities. (Greyling 2014:78). On 12 August 2009, the Department of Co-operative Governance and Traditional Affairs (CoGTA) launched the “Operation Clean Audit 2014” campaign to address audit queries in a sustainable way and to improve service delivery. The aim was to ensure that, all municipalities and provincial departments would have dealt with the causes of disclaimers and adverse opinions by 2011 (Greyling 2014:78). According to the AG’s 2009-2010 municipal audit results, the process of improved municipal audit outcomes needs to be led by mayors and requires invaluable input from municipal account committees, provincial departments and treasuries. (Greyling 2014:83). As part of the drive towards improved audit outcomes, the AG has developed and implemented quarterly reviews and tracking systems that alert mayors and their administrations of financial management, governance and leadership issues in their respective municipalities. In a free and open democracy, civil organisations and other organs of civil society have the right to criticise government when they believe it is not fulfilling its legislative and constitutional obligations. (Greyling 2014:83).

There has been an increased focus on citizens’ involvement in government and governance networks, which has led to a new Public Administration model. This model is based on business principles to facilitate more responsive and efficient service provision, high service standards and the involvement of PPPs in service provision. As a result, many countries have assessed the role of the state and public service. In line with this, Hanberger (2006:24) states that accountability, effectiveness and participation have become the key words in Public Administration and Public Management literature. As such, there is an emphasis on cooperation, citizen involvement and bringing people together across party lines, ethnic backgrounds and class divides (Edigheji 2010).

The participatory theory of democracy assumes that people’s participation fosters democracy. Therefore, many see participation as the most important quality of a democracy. Some scholars even believe that citizen participation in the public service

sector fosters democratic governance (Hanberger 2006:24). Therefore, participation of citizens on a national, regional and local level is high on the global agenda. Meaningful participation can also help build trust and provide legitimacy to those in power – especially in transitional societies (Hanberger 2006:22). This is even more important for transitional governments, such as post-1994 South Africa, which faced the challenge of involving citizens (as full subjects able to take up their political rights and duties) in participatory processes of social reconstruction and development. According to Auriacombe (2015:56), since the transition to democracy, local government in South Africa had to:

- address the problems of underdevelopment of regions, especially rural areas and municipalities;
- play a developmental and transformative role;
- foster participatory governance through empowerment;
- facilitate sustainable development;
- improve service delivery; and
- eliminate poverty and reduce inequality.

The transition from an elitist democracy, where government ruled the people to a participative democracy, have been supported by appropriate legislative responses. The legislative framework mainly consists of five main documents, namely the Constitution of the Republic of South Africa of 1996, the White Paper on Local Government (Republic of South Africa 1998 A: Section 1.3), the Local Government: Municipal Structures Act 117 of 1998, the Local Government: Municipal Systems Act 32 of 2000, the Municipal Planning and Performance Management Regulations, 2001 and Community Participation by-laws. These legislative documents describe the way in which local government should function and provide a framework for citizen participation, namely to:

- *Provide democratic and accountable government for local communities.*
- *Ensure the provision of services to communities in a sustainable manner.*
- *Promote social and economic development.*
- *Promote a safe and healthy environment.*

- *Encourage the involvement of communities and community organisations in the matters of local government* (Constitution of the Republic of South Africa, 1996 Chapter 7 Section 152).

The vision of a participative and developmental local government as key catalyst for socio-economic development was further explained in the 1998 White Paper on Local Government, 1998 (White Paper on Local Government 1998:36), which is often referred to as the “mini-constitution” for local government. The document stresses the importance of understanding the concepts of developmental government, transformation, decentralisation and community participation (White Paper on Local Government, 1998:36).

The South African Government and people pride itself in the belief that the country is a participative democracy operating on the principles of government for the people by the people. Using Hanberger’s (2006:24) democratic orientations as a point of departure, a participative and deliberative democracy needs to foster empowered, self-determined citizens. In South Africa, with its history of inequality and marginalisation, the importance of empowerment and self-determinism in sustainable public governance cannot be overstressed.

The South African Government has committed itself to building a developmental state, by mobilising human and social capital to guide national economic development and realise democratic goals. Since 1994, Government has placed issues such as health care, housing, education and public safety, as well as the rights of the poor and marginalised sectors, such as women, at the top of its national agenda.

Today, governments are experimenting with many types of arrangements to enhance cooperation with citizens. In the South African context, it has become a necessity to refashion traditional cooperation models into network governance models that involve all stakeholders. Therefore, the question is not whether a network governance model of cooperation, interaction and co-responsibility should be developed but which network governance model will be most suitable (Farelo and Morris 2006 Internet Source). Other important issues are to clarify the role that actors such as civil society

organisations (CSOs), should play in making decisions that are of public concern (Graham and Plumptre 2003 in Auriacombe 2014:66) and how actors should work together to provide good developmental governance (Torfing and Sorensen 2014). This minor- dissertation will explore the interface between a variety of stakeholders in a network governance system to foster good developmental governance.

In view of the above background the following guiding primary research question forms the core of the problem statement of this dissertation: **Can network governance serve as a mechanism to promote good developmental governance?**

### 1.3 SECONDARY RESEARCH QUESTIONS

The following secondary research questions attempt to provide answers to the above guiding research question:

- What is the context and nature of network governance in the public services sector?
- What does the discourse and contemporary debates on network governance entail?
- What does the concept of network governance within a developmental framework entail?
- How can the different definitions of network governance be conceptualised and contextualised within a developmental framework?
- What are the dimensions and interactions of network governance?
- What are the goals and principles of network governance?
- What is the theoretical underpinning of network governance?
- Which types of CSOs can be used by the public sector to promote and maintain the developmental state in the South African context?
- What are the developmental variables influencing network governance?
- How should government, civil society and the private sector cooperate to ensure efficient and effective democratic governance?
- What capacity (strategic, organisational and technical) is needed by the public services sector to play its developmental role?

- What key elements or variables should these governance networks have to be effective?
- What deliberate strategies might help improve state capacity to promote development?
- What legislation, policies, strategies, processes, procedures and practices have an impact on the development and functioning of network governance in South Africa?
- How can the public-sector use network governance to fulfil its developmental and service delivery mandate?
- What are the advantages and challenges associated with network governance in a developmental framework?

#### **1.4 RESEARCH OBJECTIVES**

To provide conceptual and contextual clarification for the above primary and secondary research questions, the following study objectives are formulated for the purposes of this topic:

:

- To develop the methodological, conceptual, contextual and theoretical framework needed to analyse the concept 'network governance'.
- To explore the dimensions needed to clarify the concept 'network governance' within the framework of a developmental state.
- To provide an overview of the conceptual, contextual, legislative and theoretical underpinnings to enhance the understanding of the context, meanings, principles and processes of legislation, policies and strategies aligned to network governance.
- To explore, describe and explain the conceptual and contextual variables influencing the dynamics of network governance on a local level.
- To identify related concept(s) to refine our understanding of the concept 'network governance'
- To draw conclusions and make recommendations regarding the development and functioning of network governance policy, structures and strategies to enhance good developmental governance on a local level.

## 1.5 SCIENTIFIC AND METHODOLOGICAL APPROACH TO THE STUDY

This section explains what lies behind the scientific reasoning of the research design and methodology for the purposes of compiling this minor-dissertation. Scientific research is a systematic process that entails gathering data to explore, describe or explain a phenomenon (Mouton 1996). The research design is a plan developed by the researcher to undertake his/her study on a scientific level. The researcher's background, worldview, training and experiences have a definite impact on the research design and on the decision whether a qualitative or quantitative research approach should be taken (Auriacombe 2017:67). According to Mouton (2001:55), researchers often tend to confuse the concepts of research design and methodology, which are two separate elements of a research project.

Methodology considers and explains the reason and thinking behind using certain research methods, as opposed to others. For example, it highlights why quantitative methods would be more suited to a specific project than a qualitative method. Schwandt (2007:193) is of the opinion that "methodology includes the assumptions and values that serve as a rationale for the research, as well as the standards or criteria the researcher implements to interpret data and draw conclusions".

Research methodology involves decisions regarding the location of the data, as well as data management, gathering and analysis (Auriacombe 2017:67). For the purpose of this study, a framework will be developed, whereby specific concepts, terms, definitions and theories in literature are analysed systematically. The aim is to gain an in-depth understanding of network governance and how it can be applied within a local government context.

In line with this, Schwandt (2007: 193) states that, "Methodology is a theory of how inquiry should proceed". Depending on the chosen methodological dimension, this could be a quantitative research approach based on positivism (nomothetic). In this case, methodology examines regularities and relationships to universal laws (Auriacombe 2013:47). It could also be based on a qualitative approach based on a post-positivism perspective. Also known as an ideographic approach, it is believed that



the social world can only be understood by obtaining first-hand knowledge of the subject and understanding his/her innermost experiences, as is the case with interpretivism and constructionism. Lastly, a pragmatic paradigm (mixed-methods) could be followed using both nomothetic and ideographic assumptions, as is the case with realism (Auriacombe 2013:47).

By committing to a specific methodological framework, the study will be influenced and informed in specific ways (Schram 2006:56). Therefore, the conceptual framework and the methodology and methods chosen to gather and analyse data should be synthesised.

According to Schwandt (2007:193), methodologies explain and describe, *inter alia*:

- “the key components of the research problem;
- how to frame a research problem;
- how to select the specific research setting; and
- methods that should be used to generate, analyse and interpret scientific data”.

A research design “includes a clear outline of the research problem...It also provides information on how the researcher plans to collect, process and interpret observations to answer or to test the hypothesis or answer the research question” (Singleton and Straits 2004, in Webb and Auriacombe 2006:589). Certain research designs are “explicit and in depth, with specially formulated decision steps...Other designs are more flexible, semi structured and open-ended...While details vary according to the researchers’ proposed study matter, they should consider how the data would be collected, sorted, organised indexed and analysed...There are various ways of making sense of ‘soft’ data” (Auriacombe 2017:87).

When designing a study, it forms part of a specific research approach or paradigm. This implies that the study is “located within a particular framework where interconnected assumptions, concepts, values and practices play a role in how the researcher thinks reality should be viewed (ontology) and studied (epistemology)” (Auriacombe 2017:89). When designing research, there should be a clearly outlined

research question. Also, “the research design should be suited to clarify the research objective and perspective” (Flick 2007).

A study’s research question(s) and the theoretical and methodological frameworks are linked directly. Therefore, “the theoretical and methodological dimensions that will be applied to gain insight into the phenomena under study inform the research question. In addition, decisions regarding relevant theory and knowledge depend on the research question” (Auriacombe 2017:89). As such, a coherent study is underpinned by a solid conceptual framework (Babbie 2007).

According to Creswell (2009:5), “the fundamental interconnected dimensions of any research design (quantitative, qualitative or mixed methods) are:

- the research approach;
- the research problem/ research question;
- strategies of inquiry;
- selecting a research setting; and
- the research process”.

### **1.5.1 Qualitative research approach**

According to Onwuegbuzie, Leech and Collins (2012), qualitative data analysis techniques lend themselves well to literature analysis. Therefore, the study was thus undertaken within the framework of a qualitative research approach.

According to Auriacombe (2007:17), “one can refer to research about persons’ lives, stories, behaviour, but also about organizational functioning, social movements, or interactional relationships between phenomena...No matter what paradigm is followed qualitative research aim to gain insight into the meaning (verstehen) that the subject gives to his/her life world to understand human behaviour from an insider's point of view (emic)”.

Using “distinct methodological traditions, qualitative research is a method of inquiry that explores social or human problems” (Auriacombe 2007:19). The researcher constructs an intricate, holistic picture by analysing words or concepts and reporting on informants’ in-depth views in a natural setting (Cresswell 1998:82).

As opposed to quantitative researchers’ approach, “qualitative researchers are of the opinion that data can only be interpreted effectively when they maintain a close relationship with the study object and come as close as possible to it” (Mouton, in Webb and Auriacombe 2006:597).

Qualitative research has a number of characteristics. According to Bryman, (in Webb and Auriacombe 2006:599):

- “Firstly, it focuses to viewing events, norms and values from the study subjects’ viewpoints.
- Secondly, such researchers include in-depth descriptions of the social settings they explore in the research. This enables the researcher to gain deeper insight into the subject’s interpretation of the status quo.
- Thirdly, as a participant-observer, the researcher follows a holistic approach to try to understand events and behaviour in the context in which they occur.
- Fourthly, quantitative research views life as a series of interconnecting, interlocking events and a process of continuous change” (Bryman, in Webb and Auriacombe 2006:599).

### **1.5.2 Literature review**

After defining the purpose of the study, it is important to delimit its scope by focussing on the concept “network governance”, as displayed in the literature. A literature review merges existing information on the topic and demonstrates the knowledge gaps that need to be filled to clarify a concept under investigation. By learning from the results of related studies, the researcher should be able to relate his/her reasoning to the “...larger, ongoing dialogue in the literature” (Creswell 2009:25).

By investigating the latest research and developments on the concept “network governance”, the researcher will gain deeper insight into recent thinking to discuss conflicting arguments and detect gaps in the literature. To develop a plan for the literature review, the researcher will take heed of the guidelines presented by Creswell (2009:29). According to Creswell, a researcher should identify key concepts and interrelationships; capture and summarise the main arguments; clarify various types of relationships between concepts; and critique the literature on the subject under study (Creswell 2009:29). In this manner, a conceptual framework is developed for the systematic analysis within the conceptual context of the concept “network governance” and related concept(s) (Nuopponen 2010 in Auriacombe 2017:69).

Traditionally, the literature review forms the foundation of the research undertaken. This view emphasises the concept of ‘knowledge building’. The literature review should present a synthesis of previous knowledge on the topic, weaknesses in research, as well as how your study aims to address these. It presents the researcher with the opportunity to relate his/her own ideas and thoughts to that of published scholars and thus to the “...larger, ongoing dialogue in the literature” (Creswell 2009: 25). A good literature review sets a pattern for critical thinking and developing a conceptual framework for a study.

Hofstee (2006:91) observes that a good literature review should be comprehensive, critical and contextualised. Moreover, when conducting a literature review, a conscientious decision should also be made to determine which literature to include and which to exclude. Coverage is arguably the most distinct facet of the literature review. The degree to which researchers collect and include relevant literature is a single activity that sets this expository form apart from all others (Cooper 1985:12). However, a good literature review must have the following attributes (Leedy and Ormrod 2001:66; Hofstee 2006:91):

- Providing awareness of what is going on in the field, thus the researcher's credentials.
- Providing a theoretical base for the proposed study.
- Providing a detailed context for your study.
- Showing the significance of your study.

- Offering new ideas.
- Showing how other researchers have handled methodological and design issues in similar studies.
- Revealing data sources that the researcher might not have been aware of.
- Revealing measurement tools that other researchers have developed.
- Helping with interpreting and making sense of the findings.
- Ensuring that the researcher does not duplicate previous studies.
- Finding the most widely accepted definitions of key concepts in the discipline.
- Discovering the most widely accepted empirical findings in the field.

In view of the above, the literature review is regarded as a systematic evaluation and synthesis of the existing body of knowledge produced by researchers, scholars and practitioners (Fink 2009:3) measured against the critical thinking and conceptual analysis of the topic by the researcher. The literature study assisted the researcher to understand data patterns. By comparing and synthesising the current study with other studies, the researcher gained a deeper understanding of case studies and the research method's knowledge base. In this regard, the following questions were continuously asked to facilitate the process (Hofstee 2006:63):

- What information from the different sources should be categorised together?
- Within a source, what information can be categorised?
- What arguments contribute to categorising?
- What do I already know?
- How does the new data compare to what I already know?
- What gaps are there in the information?
- How do various sources of information affect findings?
- What information links the findings?
- What previous information provides a basis for analysis?
- What is my research question?
- What generalisation can be made, if any?

### **1.5.3 Conceptual analysis**

By analysing the identified concept within its context, a conceptual and context analysis were undertaken simultaneously in the current research. In the process, the concept became more refined (Nuopponen 2010 in Auriacombe 2017:70). This opened the discussion on network governance to provide clarity on the concept and to make viable recommendations (Creswell 2009). As such, a critical analysis of literature was undertaken to provide clarity, examine logical relations, as well as identify assumptions and implications. “A conceptual analysis refers to the process of developing the empirical study’s conceptual framework” (Auriacombe 2012:157). According to Maxwell (2005 in Auriacombe 2012:96), “it encompasses the system of concepts, assumptions, expectations, beliefs and theories informing the research and is generally regarded as an explanation proposed to reach a better understanding of the social reality/phenomena that is being investigated”.

According to Eriksson and Kovalainen (in Auriacombe 2012:97), a “conceptual framework’s assumption is to assess and refine the goals; develop realistic and relevant research questions; substantiate arguments; clarify the theoretical framework and logic or reasoning used; define concepts; justify decisions; and direct data collection and analysis. The conceptual framework is the operationalisation of the theoretical framework of a study and therefore forms an intricate part of the research design. Qualitative researchers utilise a conceptual framework to develop typologies, models and theories from the bottom up”.

#### **1.5.4 Data collection methods**

Documentary and literature sources from which secondary data was obtained included:

- relevant published textbooks;
- official documents;
- policies;
- scientific journal articles;
- unpublished university study manuals;
- legislation;

- newspaper articles;
- internet; and
- unpublished lectures.

## **1.6 TERMINOLOGICAL CLARIFICATION**

Terms used in the minor-dissertation are briefly defined below.

### **1.6.1 Public governance**

Public governance has many different meanings. In literature, governance refers to, “strategies used by governments and non-governmental organizations (NGOs) to initiate, facilitate and mediate network processes as well as the interactions of various public and private actors at various levels of government to self-regulate their interdependencies in order to realise public policies and deliver public services” (Muijs, West and Ainscow 2010:2). The literature review for the current study has shown that very few authors define the term “public governance”, as well as its margins and important properties. This lack of a clear definition poses a challenge to understanding governance and network governance, which are crucial elements within a developmental state (the development of a coherent agenda moving forward) (Lecy, Mergel and Schmitz 2014).

The World Bank (WB) defines governance as the way in which power is executed in managing a country’s socio-economic resources (WB 1994). Three different aspects of governance are defined, namely governance as a form of political administration; as a process whereby a country’s socio-economic resources are managed for development; and government’s capability to design, formulate and implement policies (WB 1994). In line with this, the United Nations Development Plan (UNDP) (1997) emphasises that governance includes mechanisms, processes and institutions that citizens can use to indicate their interests, exercise their legal rights, meet their responsibilities, as well as discuss their differences and come to some agreement (UNDP 1997). The Commission on Global Governance (CGG) (1995) supports a wide-spectrum view of governance by viewing it as “the playing field of individuals and

institutions, public and private, formal and informal in the continuous management (agreement and disagreement) of their common affairs” (CGG 1995).

During the past two decades, literature on governance and governance networks has steadily grown. Notably, the term “governance” indicates a shift away from a state-centric view of power that has become more problematic over the years. In its widest form, the term “governance” could be seen as a continuing dynamic process within a hierarchical structure whereby public and private individuals and institutions manage their diverse interests through co-operative action to formulate and implement public policy (CGG 1995:1).

### **1.6.2 Civil society**

Civil society could be defined as, “The sphere of organisations and/or associations of organisations located between the family, the state, the government of the day, and the prevailing economic system, in which people with common interests associate voluntarily. Amongst these organisations, they may have common, competing, or conflicting values and interests” (CIVICUS 2002:3).

### **1.6.3 Civil society organisations (CSOs)**

The Advisory Group on CSOs and Aid Effectiveness (2008 in CIVICUS 2002:3) proposed the following definition for CSOs: “CSOs can be defined to include all non-market and non-state organisations outside of the family in which people organise themselves to pursue shared interests in the public domain. Examples include community-based organisations (CBOs) and village associations, environmental groups, women’s rights groups, farmers’ associations, faith-based organisations, labour unions, co-operatives, professional associations, chambers of commerce, independent research institutes and the not-for-profit media”.

### **1.6.4 Partnership**



There is no common agreement on the meaning of “partnership”, as it means different things to different people. The definition has evolved from a matter of simple coordination and coalition to more participatory terms, such as “mutual collaboration”, “common goal”, and “shared responsibility” (Brinkerhoff 2003:20). Furthermore, Brinkerhoff (2003:20-22) suggests that the definition of partnership must include two essential components:

- “mutuality”, which refers to interdependence and commitment between partners, equality in decision-making, as well as rights and responsibilities to each other; and
- “organisational identity”, which refers to the maintenance (rather than surrender) of each partner’s own identity, beliefs and values.

However, it should be noted that, in the actual process of any partnership, the extent to which such mutuality and identity can be realised often depends on the socio-economic and political powers of the partners involved. It is always the more powerful partner whose identity and interest become dominant in most cases (Brinkerhoff 2003:20-22).

### **1.6.5 Policy**

According to Bernhardt (2016:19), “policy is presented as a formal policy statement of a parliamentary agreement on the designated course of action that should be taken to address problems by means of a political agenda”. The author identifies the following elements of public policy:

- A commanding government, which has the legislative, political and financial authority to implement action plans that will address real-world needs or problems.
- A goal-oriented attempt to address a particular need within a target community.
- A course of action that forms part of an elaborate approach or strategy to address the problem.
- A justification for action or a statement of reasoning outlining the policy.

- A decision to implement public policy, not an intention or promise (Bernhardt 2016:19).

The following stages in the public policy making process are significant as units of analysis in this dissertation:

- Problem identification and agenda setting.
- Policy formulation that investigates alternatives or options to solve public problems.
- Adoption by deciding on proposed alternatives to deal with a problem.
- Implementation to carry the decision into effect or apply adopted policies.
- Evaluation to determine whether the policy is achieving its goals and whether it has other consequences (Bernhardt 2016:19).

### 1.6.6 Public participation

Public participation is closely linked to deliberative democracy and could be defined as “the public sharing in, taking part of, providing input and involved in government, or... legislation, policy and government accountability” (Doyle 2017:5). Public participation opens up potential avenues for the public to gain a deeper understanding of how policies affect their lives. Notably, this could bring about more informed citizens able to engage with government (Doyle 2017:5).

## 1.7 OUTLINE OF THE CHAPTERS

**Chapter One** provides a general conceptualisation of the scientific and methodological orientation as well as the data collection methods of the study.

**Chapter Two** entails the conceptual and contextual analysis of network governance and its underlying theories.

**Chapter Three** clarifies the properties of network governance in promoting good developmental governance (statutory, regulatory, policy provisions and requirements), with specific reference to South Africa.

**Chapter Four** clarifies the conceptual and contextual variables that affect network governance and its focus on development.

**Chapter Five** provides a synthesis and evaluation of the main findings of the research recommendations for further research the successful implementation of network governance in a developmental state with specific reference to South Africa.

## **1.8 ETHICAL CONSIDERATIONS**

The ethical considerations laid down by the University of Johannesburg (UJ) will be closely complied with. In this regard, the researcher will conduct herself in an ethical manner related to all aspects of the research; by respecting the rights of the people, negotiating approval to conduct research in various settings and treating all the information collected in a confidential manner. The procedures underlying social science research ethics in terms of informed consent, non-exploitation and non-coercion will be followed during the dissertation preparation.



## CHAPTER TWO

### CONCEPTUAL AND CONTEXTUAL ANALYSIS OF NETWORK GOVERNANCE

#### 2.1 INTRODUCTION

Citizens are no longer satisfied with only being involved in government through elections (vertical control). They want to become involved in checks to evaluate government itself (horizontal control), which is only possible with the division of power. This balance of power is increasingly seen as an essential component of democracy (Zurbriggen 2014). This, coupled with financial pressure and dwindling global resources, demanded a new way of thinking about public administration. In the early 1990s, the New Public Management (NPM) system played an important role in revising public administrations in overseas countries.

In general, the international community played a significant role in this development process. The notion of empowering citizens to participate in their own development and demand quality services was driven by the United Nations Millennium Development Goals (MDGs) for community and social development. According to Zurbriggen (2014), the MDGs represented a global treaty on poverty reduction, environmental sustainability and development by promoting concerted global strategies. In line with MDG resolutions taken at the United Nations Conference on Environment and Development (Agenda 21), ordinary people were encouraged to hold governments more accountable and to participate in policy and programme development, as well as service delivery (Pollitt and Bouckaert 2004:28). This notion gave birth to the concepts “governance” and “governance networks” (Colebatch 2014:308), which give ordinary citizens a voice to demand more efficient public services from government.

As such, the term “governance” has emerged as a response to the growing awareness that governments are no longer the only relevant actors in managing public issues (Lange *et al.* 2013:2). In recent years, the state, market and civil society have shared the responsibility of governance (Lange *et al.* 2013:2). Since 1990, network governance has become an increasingly popular concept in good governance

(Bartelings, Goedee, Raab and Bijl 2017:342). Furthermore, public management, which took shape in network governance, is seen as a way for government and citizens to manage public administrative processes in a cooperative manner.

There has been an unprecedented increase in scholarly literature on governance in all spheres. Public-private collaboration under a variety of terms has been put forward as a way for governments to organise citizens more effectively and efficiently (Stoker 2004; Provan and Kenis 2008; Pollitt and Bouckaert 2004; Torfing and Sørensen 2014). Network governance on a public and private level has opened up new paths to democracy and increased participation, accountability, equity and inclusion (Michels and De Graaf 2010:480). Globally, local and national initiatives have stimulated a variety of network governance structures based on different collaborative typologies rooted in Social Sciences (including Public Administration or Public Management), Psychology and Business Studies (Bartelings *et al.* 2017:342). However, these initiatives are not based on a clear understanding and definition of networking or networking governance (Zurbriggen 2014).

In this chapter, network governance in the public sector will be analysed conceptually and contextually through a systematic literature study of public governance on a national and international level. The nature of different network governance theories and approaches will be discussed as well as other conceptual and contextual variables in network governance theory building to clarify the concept “network governance” that follows. These aspects encapsulated the theoretical development of the concept, its nature, structural goals, activities, principles and advantages in line with its evolving meaning within public governance, as linked to new developmental thinking in the South African context.

## **2.2 THE NATURE OF NETWORK GOVERNANCE THEORIES AND APPROACHES**

There is no commonly accepted theory of network governance. However, a number of theoretical contributions could serve as a framework for a conceptual analysis of network governance (Torfing and Sørensen 2014). Thinking about network governance is largely based on network-related theories (Junki 2006) that have

developed over the past 40 years in the fields of Organisational Science, Political Science, Public Administration and Public Management. The communality of these types of theories is that they all focus on several types of relationships between the state and its citizens. Policy network philosophy, for example, emphasises the relationship between the state and interest groups in public policy making. The service delivery and implementation paradigm focus on the coordination problems experienced in public service delivery. In turn, the tradition of managing networks pays attention to solving complex policy issues through horizontal networks created between interdependent actors.

All three above-mentioned perspectives emphasise horizontal coordination mechanisms to negotiate and reach a stage of organisational synergy through shared goals, common interest and benefits (political, economic and social). These perspectives assume that outcomes and performance result from networking between a variety of actors/stakeholders and not from the actions of one. As such, the resource dependency perspective is introduced. Therefore, all three traditions provide a platform for analysing the context in which policies and policy programmes emerge and are sustained (Klijn and Koppenjan 2012:4). According to Torfing and Sørensen (2014:336), interdependence theory, governability theory, institutional theory of normative integration and governability theory are four institutionalist approaches to the study of governance network theories, as related to networking in public governance. The following theoretical frameworks serve as a baseline for explaining network formation in public governance, are discussed below.

### **2.2.1 Interdependence theory**

According to interdependence theory, network governance is the mutual relationship between private and government actors where interaction is regulated through the mutual exchange of resources. Interdependence theory is firmly anchored in the historical institutionalist approach, which explains institutionalisation of governance networks in terms of positive feedback loops that reinforce the initial pattern of interaction and network formation. It defines governance networks as an inter-organisational medium for mediation between self-interested actors who might be

different minded or even in conflict with each other to form networks based on their mutual dependence on shared resources.

The network is held together by rules and the mutual interdependence of actors who have to modify their interests, goals and perceptions over time to accommodate each other. In doing this, they develop common norms, values and objectives that pave the way for ongoing negotiation, learning and development. The formation of bottom-up governance networks enables actors to find joint solutions to common problems and to prevent institutional fragmentation (Torfing and Sørensen 2014:336).

### **2.2.2 Governability theory**

The rational choice institutionalism perspective informing governability theory recognises the limits of formal rules to guarantee compliance in network settings. Therefore, the manipulation of incentives, such as expected gains from the exchange and sharing of resources, is regarded as the principal means to attract and retain relevant actors. The interpretative theory of normative integration emphasises the role institutional socialisation plays in creating commitment to the basic structures of interactive governance arrangements and providing stability (Torfing and Sørensen 2014:336).

Like interdependence theory, governability theory is driven by institutionally conditioned decisions made by rational actors to form networks for their own benefit. However, it differs in that the way collaboration is facilitated and how stakeholders deal with conflict (Kooiman 2003). The more uncertainty and complexity there is in the environment, the more there is a need for collaboration to ensure that participants are able to become skilled in the necessary competence to cope with challenges (Muijs, West and Ainscow 2010). The assumption is that, where participants collaborate in an effort to share ideas, find solutions and build innovations, new knowledge emerges to help meet mutual goals (Torfing and Sørensen 2014:336).

Governability theory defines governance network spaces for horizontal coordination between autonomous actors who interact with each other through different negotiation strategies. Governance networks are viewed as structures that facilitate horizontal

coordination among the public and private sectors (Torfing and Sørensen, 2014:336). Notably, these networks are held together by the expected gains from exchanging and sharing resources and developing mutual trust (Torfing and Sørensen 2014:336).

### **2.2.3 Institutional theory of normative integration**

Although this theory does not focus on network governance *per se*, it provides valuable insight into the workings of network governance. Institutional theory of normative integration conceives governance as a decentred process that involves many diverse public and private actors that are involved in different types of other networks. The theory has an interpretative perspective on social action and emphasises the role institutions and discourses play in shaping participants' identity, perceptions and actions (Torfing and Sørensen 2014:336). Notably, this theory views governance networks as "*institutionalised fields of interaction that bring together relevant and affected actors who become normatively integrated by the emerging rules, norms, values and perceptions that together define a particular logic of appropriate action*" (Torfing and Sørensen 2014:337).

Governance networks are formed through a bottom-up process, whereby tentative and provisional contacts are established based on the recognition of mutual interdependence, mutual learning and pragmatic adjustments between actors. Torfing and Sørensen (2014:336) assert that, "*Network actors interact on the basis of a shared logic of appropriate action, but that does not preclude the rise of conflicts. However, there seems to be considerable scope for dealing with conflicts through the construction of solidarity and the formation of democratic identities*".

### **2.2.4 Governmentality theory**

This theory defines governance networks as a regulatory state's attempt to govern within an institutional framework of regulatory norms, performance standards and practices ensuring conformity with overall policy objectives. Non-profit organisations (NPO's) are encouraged to regulate themselves and their mutual interaction as long as it falls within an institutional framework of regulatory norms and practices ensuring conformity with overall policy objectives (Torfing and Sørensen 2014:336).



The above theories could be seen as the basis for the development of Governance Network Theory (GNT). The theoretical foundation for this view lies in the network approach to policy that has acquired an increasingly prominent position in policy science and public administration. This paradigm builds on a process approach to network governance and focuses its attention on the interaction between interdependent actors and the complexity of these relations (Klijn and Koppenjan 2012). The next section will take a closer look at GNT as an evolving theoretical approach.

### **2.2.5 Governance network theory (GNT)**

The above theoretical approaches tend to emphasise the role of reinforced rules, norms, values and cognitive schemes to stabilise, structure and frame the ongoing interaction in network governance. In developing a theory explaining network public governance, a convergence has occurred between the different theoretical frameworks. Klijn and Koppenjan (2012:4) highlights the following key concepts that have emerged from the above perspectives:

#### **2.2.5.1 Interdependency of actors**

Most network researchers agree that interdependency is the key factor that initiates and sustains networks (Klijn and Koppenjan 2012:4). With network public governance theory, policy and service delivery is regulated and sustained within a framework of diverse interdependent actors.

#### **2.2.5.2 Interactions and complexity**

Interdependent relationships between diverse actors and the variety of perceptions and strategies they apply to policy implementation and service delivery lead to complex interaction and negotiation patterns. The different layers of government that connect governmental actors exacerbate the complexity of interactions (Torfing and Sørensen 2014:336).

### **2.2.5.3 Institutional features**

Interaction patterns result in the formalisation of relationships between actors and the state. It includes power relations and rules that regulate behaviour in networks (Klijn and Koppenjan 2012:4).

### **2.2.5.4 Network management**

Due to the complexity of processes within networks, it is important to manage and regulate interactions. Referred to as network management, it aims to facilitate and organise interactions. Network management strategies and skills within the network governance framework differ from traditional management approaches (Klijn and Koppenjan 2012). This includes initiating and facilitating interaction processes between actors to create and change network arrangements for better coordination and cooperation (Klijn and Koppenjan 2012).

### **2.2.5.5 Common ground**

Grounding is the process by which actors expand and maintain common ground. Building on this, common ground can be defined as a process of developing and maintaining mutual understanding, interests and goals that support interdependent actions in joint activity. Notably, the concept “common ground” is used in consensus-building and conflict-resolution theories to indicate to which extent diverse actors with different backgrounds, goals and ambitions share the same interests. As such, it is a promising theoretical framework to explain how participants develop their mutual relationships and collaborate to solve complex issues. Importantly, common ground is not a stable condition but refers to a dynamic process of communicating, forming and maintaining mutual understandings. However, this does not imply that network participants have a uniform set of values, interests or beliefs but that there is sufficient common ground in their goals to provide shared identity, collaboration and cooperation (Edelenbos and Van Meerkerk 2017).

### **2.2.5.6 Trust in governance networks**

Trust stimulates the development of common ground in governance networks (Edelenbos and Van Meerkerk, 2017), as it reduces strategic uncertainty and could lead to different role-players taking each other's interests into account. It also enhances cooperation and coordination and the effectiveness of network performance (Huang and Provan, 2007). According to Edelenbos and Van Meerkerk (2017:3), the core indicators of trust are positive intentions or working towards the common good of the public, refraining from unscrupulous behaviour, reliability, giving co-members the benefit of the doubt and consensus. Trust and trusting relationships in governance networks lead to steady expectations, insight and understanding (Klijn and Koppenjan 2016:4), which ultimately pave the way for reaching common ground. Co-members in a trustworthy relationship will then identify more easily with the interests, values and perspectives of others in the governance network (Klijn and Koppenjan 2012:4).

However, many authors observe that trust in network governance is rare and that networks are characterised by conflicts of interest. Therefore, trust cannot be regarded as an inherent characteristic of networks.

### **2.2.5.7 Consensus orientation**

Consensus seeking, which is seen as a core aspect of collaborative network governance, has received considerable attention in recent years. The goal of collaboration in governance networks is to realise some degree of consensus or agreement among diverse stakeholders. As such, consensus orientation focuses on actors' willingness and openness to engage in a process of developing joint goals from diverse interests and perceptions in relation to the issue at hand. Consensus-orientated participants in governance networks will strive to develop common ground and mutual understanding in a negotiation process. Therefore, the extent to which actors are consensus oriented is a key factor for developing common ground in governance networks (Edelenbos and Van Meerkerk 2017). A high level of consensus orientation among actors in network governance will have a positive effect on developing common ground.

### **2.2.5.8 Boundary spanners**

Boundary spanners refer to individuals in network governance who, through their relationship with one another and mutual understanding, help other role-players to develop trust, reach common ground by passing on relevant information, facilitate interaction and mediate conflict among team members (Klijn and Koppenjan 2012:4). In this context, boundary spanners are engaged in three main interrelated activities, namely:

- connecting people from different sides;
- selecting relevant information; and
- translating this information to both sides.

Competent boundary spanners are active listeners who try to understand other actors' needs, thus enabling them to search for shared meanings (Klijn and Koppenjan. 2012).

## **2.3 OTHER CONCEPTUAL AND CONTEXTUAL VARIABLES INFLUENCING NETWORK GOVERNANCE THEORY BUILDING**

Apart from the above central conceptual and theoretical variables, some new topics have emerged that have contributed to enriching network theory beyond its original roots.

### **2.3.1 Governance and meta-governance**

The concept “networks” has increasingly been connected to the concept “democratic governance”. Subsequently, “policy networks” and “network management” has been changed to “governance networks” and “network governance”. There is an increased emphasis on coordinating participants' interdependencies to develop public policies and deliver public services (Torfing and Sørensen 20014).

### **2.3.2 The rediscovery of democratic theories**

Originally, the concept “network” was tied to the theme of democracy. Here, the main question was who made the decisions and how it related to (representative) democracy. Increasingly, network research linked the efficiency of networks to problem solving. Recently, this connection between networks and democracy has been rediscovered and its importance re-emphasised (Torfing and Sørensen 20014).

### **2.3.3 The governance of innovation networks and collaborative innovation**

The main concern regarding the network approach has always been effectiveness and legitimacy. Linking network theory and literature on innovation is a step in the right direction. Enhancing the development of network formation in public governance has been an essential part of governmental innovation policies (Torfing and Sørensen 20014).

### **2.3.4 Future developments affecting network governance**

The following three current societal developments are expected to have a major impact on network governance theory building.

#### **2.3.4.1 Governance networks in a mediatised world**

Public managers’ ability to manage their network is directly linked to their ability to interact with a variety of stakeholders. Furthermore, to survive in a mediatised and dramatised political world, public managers should have the leadership skills to work with the media on different levels. Bennett identifies the following four types of informational biases that are characteristic for media logic (Torfing and Sørensen 20014):

- The tendency to emphasise the personal aspect of news.
- Emphasising crisis and conflict and presenting news in a more dramatic way than it actually is.
- Fragmentation, or focusing more on isolated stories and events and separating these from the larger context and from each other.

- Emphasising an authority-disorder bias and the capability of maintaining or restoring order.

The mediatised drama-democracy demands strong leaders who can communicate strong ideas but are not necessarily able to implement them. Recent research shows that negative media attention has a negative effect on the performance of networks. Mediatisation is not limited to mass media and it is increasingly seen in social media. The impact of new media goes beyond the development of e-governance, which uses the Internet to provide services to citizens. The study of how social media influences the development of network governance is in its early years. However, there is no denying it will enhance the ability of citizens to self-govern (Torfing and Sørensen 20014).

#### **2.3.4.2 Risks and uncertainties of governance networks**

The complex nature of network society poses serious challenges to governments and network governance. Threats such as climate change, disasters, the spread of epidemics and cyberattacks portray the vulnerability of today's globalised society. "Unknown unknowns" and "Black Swan" events such as the Texas City oil refinery explosion, the September 11, 2001 terrorists attacks on the United States (US) and the Chernobyl and Fukushima nuclear disasters threaten the technological, societal and governmental infrastructures of our global society in that it could not be handled by today's crisis management systems. However, due to today's social media mechanisms, the public and media call for immediate action. A case in point is Hurricane Katrina that hit the US Gulf Coast on 29 August 2005, where governance structures dismally failed in their disaster management plan.

Information producers and experts are increasingly seen as biased and involved in policy advocacy. This makes it much more difficult to distinguish between news that is evidence based and non-evidence based, or fake. Network theory should include new ways of arranging relationships between information producers and social media platforms. However, it should be noted that a single theoretical approach cannot explain the complexity of today's public networks and the governance thereof.

There is no universally accepted definition of the term “governance”. Auriacombe (2011:34) notes that definitions and descriptions of governance differ widely (depending on where the emphasis lies). Related dimensions such as governance as government, collaborative partnership, network governance, policy networks, inter-organisational networks, social networks and horizontal government have been used to refer to new ways of managing the public sector (Ikeanyibe, Ori, Arinze and Okoye 2017).

Good governance is one of the most popular terms related to governance, as it can help scholars understand what governance entails. According to Adetoye and Omilusi (2016:574), good governance emphasises the prerequisites whereby public institutions should conduct public affairs, manage resources and enhance human rights. The good governance model emphasises effective and visionary leadership, integrity, transparency and accountability within the public sector (Zurbriggen 2014). On the other hand, it steers away from two characteristics of bad governance, namely non-representation and inefficiency (Auriacombe 2011:35).

The WB (1994) sees bad governance as a personification of control, lack of human rights, corruption and un-elected governments that citizens find unacceptable. However, to truly understand good governance, it is important to unravel the complex reality of governance. This encompasses all the structures and processes to determine the available resources and how these can be used for the greater public good within a state. Therefore, good governance entails more than elections, a judiciary and a parliament, which are seen as the primary symbols of Western-style democracy. Other key variables that influence good governance include human rights; non-discriminatory laws; efficient, impartial judicial processes; transparent public works; accountability of public officials; decentralisation of resources; local-level decision-making; and meaningful citizen participation in debating public policies and decision-making (Weiss 2000 in Auriacombe 2011:36).

Scholars have conceptualised governance in various ways. It is seen as the notion of collective will and diversity of interests (politics); a system directing the actions of the public sector; and political steering of socio-economic relations based on voluntary cooperation, coordination and measures for public performance (policy) (Torfing and

Sørensen (2014:333). However, these diverse definitions do not capture the essence of governance, since they do not show the value that it adds to the more traditional ways of managing the public sector in general, and NPM in particular. In line with this, Jordan, Wurzel and Zito (2005 in Auriacombe 2011:84) argue that government and governance are not clearly separated concepts but should rather be seen as two poles on a continuum of different governance modes.

While the content and application of the term “governance” vary, it can be seen as a bridging concept between bureaucratic management and the NPM model (Scholz, Berardo and Kile 2008:393). Notably, there is a specific emphasis on network governance, which is characterised by the complex processes where a variety of participants/stakeholders with different interests and needs interact to achieve common citizen-focused objectives (Scholz *et al.* 2008:393). In line with this, for Zurbruggen (2014) NPM represents a paradigm that attempts to transform the public sector through organisational reforms that fit into the larger political theory of governance. This introduces the same principles as the private sector, namely efficiency, effectiveness and service quality. Many scholars see this as the heart of the NPM, while others emphasise the relationship between the public and private sectors. Zurbruggen (2014) suggests that the ideas and management practices of GNT has grown into the new paradigm of NPG. This new paradigm might deal with the complexities, interdependencies and dynamics of public problem solving and service delivery, which NPM failed to address. This implies that GNT has now developed into a theoretical perspective accompanied by an organisational and managerial practice (Torfing and Sørensen 2014).

An important governance dimension is that the public demands to hold government accountable (Ikeanyibe, Ori, Arinze and Okoye 2017). In an effort to unify these diverse perspectives Torfing, and Sørensen (2014) suggest that the terms “governance” and “network governance” should be seen as a “new perspective on an emerging reality”. Within the public management paradigm, network governance is increasingly replacing traditional hierarchical modes of government – especially in the Western world. Changes in governance have taken place within various dimensions such as introducing new stakeholders; a greater focus on citizen involvement in policy



making; changes in power relations among actors and decision-making structures; and a focal shift in institutional rules and new policy instruments.

These changes have also influenced other aspects of governing such as power relations between actors, decision-making structures, policy making, how problems are defined and which solutions are considered legitimate (Van Leeuwen and Van Tatenhove 2010 and Weber, Driessen and Runhaar 2011). However, there is no agreement on the way to meaningfully distinguish and comprehend governance modes nor a foundation to distinguish the elements of governance. Therefore, Hillman, Nilsson, Rickne and Magnusson (2011:409) conclude that “attempts to conceptualise modes of governance have sometimes led to more confusion than clarity”.

The problem with the available definitions are that they either define governance too narrowly or too widely. To avoid these pitfalls Lange *et al.* (2013:2) define modes of governance as “forms of realizing collective goals by means of collective action”. Similarly, Torfing and Sørensen (2014:334) simply define governance as the process of steering the public and the economy through communal action and in accordance with public interest.

According to Lange *et al.* (2013:8,9), governance settings or modes consist of a variety of governance arrangements with different key features grouped along various governance dimensions:

- **The political dimension** pertains to the specific relationships of state and non-state actors during the development and execution process of governance. The determining factors are the basic distribution of power among members, as well as the way power is used and translated into policy choices and collective action. Power relations can influence governance and highlight whether political power favours state or non-state actors, which determines their political strength to negotiate (Lange *et al.* 2013:8).
- **The polity dimension** is the institutional framework in which politics and policy making take place and refers to institutional structures, norms and procedural

settings. It also includes interaction patterns among participating members on multiple policy levels (Lange *et al.* 2013:9).

- **The policy dimension** encompasses policy formulation and implementation. It includes policy development, as well as the implementation of strategies and policy instruments to reach specific goals. As such, this dimension also includes issues such as policy integration. The most important factor that distinguishes governance modes (hierarchical to horizontal) from one another is the nature of regulation in policy implementation (Lange *et al.* 2013:9).

Aside from its ability to capture changes in governing, these dimensions are of vital importance as they all constitute collective goals through collective action. According to Lange *et al.* (2013:8,9), a conceptual framework should be able to cover aspects of politics, polity and policy. The assumption is that, due to their inter-connected nature, changes in one of the three dimensions result in modifications within the other two. Instead of seeing governance changes as one-dimensional, a shift from hierarchical to non-hierarchical modes of governance within all three dimensions could help capture the complexity of the term “governance”. The next section will explore the dimensions needed to clarify the concept “network governance”.

## 2.4 CONCEPTUALISING NETWORK GOVERNANCE

Although it is not easy to define, the term “network” is dispersing rapidly throughout the field of Social Sciences and widely seen as a cure-all for the problems public management face (Klijn and Koppenjan 2012). A concept and content analysis of the term “network governance” shows that, despite the recent upsurge of interest in its application in public administration, few authors clearly define the meaning of governance network or network governance. Due to this lack of clarity, scholars only have a vague ambitious idea of what network governance entails (Lecy *et al.* 2014). After more than two decades, there is still no coherent body of scholarly work on network governance. These issues pose a challenge to the development of a coherent agenda of further developing network governance and developmental governance (Lecy *et al.* 2014). In general terms, networks can be seen either as social networks or as webs of information and communication technology (ICT), particularly the

Internet (Van Dijk and Winters-van Beek 2009). In addition, network governance could be described as a form of grouping in which relevant stakeholders are linked as co-producers who are more likely to identify and share common interests if they develop a trusting relationship.

It is important to clarify that “governance”, and “public governance”, are revolving concepts that developed and changed over decades along with government administration. Therefore, these terms “come with considerable prior theoretical and/or ideological baggage” (Osborne 2006). Over the past four decades, there has been an international trend towards developing a network governance model of cooperation, interaction and co-responsibility between the public sector and citizens (Conley and Moote 2003 in Auriacombe 2011:72). Therefore, like governance, the idea of network governance finds its roots in citizens’ demands for governments to be accountable and effective of government, while civil society is viewed as an important resource to address complicated public governance issues amidst dwindling funds (Zurbruggen 2014).

Although network governance has been analysed in many research projects, it is dealt with in terms of specific activities performed within a particular network, rather than comparing different forms of network governance. Most network research also focuses on the micro-level network problems, such as who connects with whom and why. Although these definitions contribute to an understanding of the structural characteristics, they fail to explain the governance network itself. Therefore, there is little general theory on the entire network structure of collaborative network governance and how it operates in terms of cooperation and coordination, among others. According to Park and Park (2009:93), a step forward would be to analyse networks as independent variables rather than dependent variables.

One can therefore gain a deeper understanding of network governance by critically looking at the contextual elements, as described by Marcussen and Torfing (2003:7). It is clear from the above that governance networks are characterised by:

- ongoing negotiations;

- trust;
- size (number of participants);
- goal consensus
- a regulative framework in which bargaining, and consensus could take place;
- a clear vision and mission;
- strategy and protocol;
- diverse members with different strengths and abilities;
- collaboration and coordination;
- working towards the common public good;
- effective participation;
- close involvement;
- making a valuable contribution; and
- specific norms, values and standards (Marcussen and Torfing 2003:7).

A detailed content and conceptual analysis of the literature showed that very few authors clearly define the term “network governance”, identifies its boundaries or outline important properties when discussing the subject. These issues pose a challenge to the clarification and conceptualisation of the term. As with governance, a review of network governance finds value in organising research along different governance modes or settings that focus on policy formation, governance and implementation. These governance settings are distinguished on a continuum according to their level of horizontal integration (Lecy *et al.* 2014).

Cooperative networks are the least integrated since they only focus on information exchange. Coordination networks are identified by participants who align their strengths to reach outcomes they cannot achieve without cooperating with others. Most of public governance networks literature falls into this category. The collaborative network lies on other side of the continuum, as it is the most integrated and shows true interdependence among entities. This type of network requires a significant level of trust to address complex problems that cannot be solved singlehandedly. As with the concept “governance”, the analysis of network governance shows that networks within the public administration sector focus on governance and service delivery networks and not on policy development (Lecy *et al.* 2014).

Networks could thus be seen as connections amongst a group of interdependent, but operationally independent members who establish a meaningful relationship within an institutionalised framework with regulative, normative and cognitive elements and is self-regulating to a certain extent (Sørensen and Torfing 2014:334). Competence is transferred based on the specialisation and relative strength of each interdependent member. Therefore, network partners bring strategic resources to the table that contribute to a mutual relationship. The facilitation of an interdependent relationship tends to develop trust and reciprocity in the governance network. In turn, these mechanisms contribute to the development of public resolutions concerning public values, visions, plans, standards, regulations and concrete decisions within a particular area (Marcussen and Torfing 2003:7 and Torfing and Sørensen 2014:339).

For purposes of this study, governance networks can be defined as: *“(1) a relatively stable horizontal articulation of interdependent, but operationally autonomous actors from the public and/or private sector; (2) who interact with one another through ongoing negotiations; (3) which take place within a relative institutionalised framework with regulative, normative, cognitive and imaginary elements; (4) facilitate self-regulation in the shadow of hierarchy (a kind of ‘bounded autonomy’); and (5) contribute to the production of public purpose in the broad sense of public values, visions, plans, standards, regulations and concrete decisions”* (Torfing and Sørensen 2014:334).

Although other characteristics may play a role, the above description of network governance encapsulates the essence of what is commonly referred as governance networks (Marcussen and Torfing 2003:9). Governance networks have different functions. These functions range from exchanging knowledge, information and ideas to facilitate well-informed knowledge-based decision-making, to coordinating participants' actions to prevent a duplication of efforts and rather create coordination and collaboration (Marcussen and Torfing 2003:9). Some governance networks only aim to develop a common understanding of emerging policy problems and formulate and implement joint solutions (Marcussen and Torfing 2003:9).

In network governance the relations between the actors are horizontal rather than vertical. There are a number of private, semi-public and public actors who operate independently but depend on one another to reach certain expectations. Members of a governance network must demonstrate that they have a vested interest in the matter at hand. Furthermore, they must be able to contribute resources and skills to deliver something of value to other members and the network as a whole. Stakeholders could be motivated to participate meaningfully if they value the output and view it as something for the common good. Notably, unequal interdependencies can develop, such as where certain actors are stronger and more central to the outcome than others. The relations between the stakeholders in the network are characterised by exchange and bargaining rather than commands. Therefore, there tends to be no formal chain of command and members are equal participants (Marcussen and Torfing 2003:7).

As an important point of departure, members of a governance network should ideally develop a shared vision, mission, strategy, goals and objectives to address the issue at hand. Stakeholders interact through bargaining and deliberations, such as over the distribution of resources. However, this bargaining and negotiations take place within a framework of deliberation that should facilitate learning, understanding and insight into one another's problems to address the issue and facilitate joint action. This framework should also allow room for stakeholders to develop trusting relationship (Marcussen and Torfing 2003:7).

Negotiations between stakeholders do not take place in a vacuum but within a relatively institutionalised framework. This framework has a regulative function that provides rules, roles and procedures; a normative function that transforms norms, values and standards; a cognitive function that generates concepts and specific knowledge; and a development function that creates identities, ideologies, common hopes and visions to address the issue at hand (Marcussen and Torfing 2003:7).

The multi-dimensional system of stakeholders is, to a certain extent, self-governing in that they are not part of a hierarchical chain of command. Rather, network participants regulate a particular issue on the basis of their own ideas, resources and capabilities within a regulative and normative framework moulded by negotiations and regular

interaction. However, governance networks always operate in the shadow of public authorities and the state remains a central actor, especially regarding legitimacy and accountability (Lange *et al.* 2013:7).

Governance networks contribute to the expression of public-focused visions, understandings, values and policies that are directed towards a common good. The network members are thus engaged in negotiations to identify and solve emerging policy problems. Networks that fail to contribute to the common good of the public cannot be regarded as governance networks (Lange *et al.* 2013:7).

When the functions of governance networks are placed on a continuum, actors who are interactively dependent on one another are placed on the one pole, while they act almost autonomously and are much more self-sufficient on the opposite pole. The points between these extremes portray the relationships of actors within a public governance network (Lange *et al.* 2013:7). Similarly, internal interaction patterns allow for a dynamic typology of functioning modes that can vary from one governance network to another. Deliberative governance networks are characterised by the free exchange of ideas to develop new and common understandings of the issues at hand. On the other hand, bargaining governance networks are characterised by uncompromising, inflexible reasoning based on predefined narrow mandates. Thus, functions are interlinked with structure. However, as governance entities are dynamic, they can adapt their functions and structures over time as new situations arise (Provan and Kenis 2008:233).

Within the broader context, the above elements could be placed on a continuum showing the link between traditional forms of management and governance networks. It involves the NPM in the public sector and the rethinking of the crucial democratic issues of structure (horizontal versus hierarchical), access (exclusion versus inclusion), representation (autocracy versus democracy), legitimation (citizen versus stakeholder), equality (disempowered to empowered) and transparency (incapable versus accountable) in relation to governance networks (Provan and Kenis 2008:233).

A governance network is time, place and issue bound. For example, the network may be more regulated in the beginning than at a later stage after stakeholders have built

a relationship of trust. A higher level of external control and accountability may encourage stakeholders to work toward the common public good (Marcussen and Torfing 2003:7). Networks that do not help resolve public problems in this broad sense cannot be regarded as governance networks.

Ideally, network participants should believe in shared norms and values about minimum standards for human dignity, welfare and security. However, to be successful, participants should also believe that they are personally and collectively bound to promote these standards. They should identify with the problem at hand, and strive towards common goals to address the problem in a collective manner (Marcussen and Torfing 2003:14). According to (Reinicke and Deng 2000, the essence of a public governance network “*combines the voluntary energy and legitimacy of the civil society sector with the financial muscle and interest of the business and the enforcement and the rule-making power and coordination and capacity-building skills of states and international organizations*”.

Resulting from the above changes in governance over the past decades, a variety of different modes of governance have emerged in the global society Kooiman (2003); Provan and Kenis (2008) and Park and Park (2009:93) identify the following basic network governance forms in the public governance sector.

#### **2.4.1 Government-leading network**

This type of network has a thin, flat structure, rather than a hierarchy and is externally governed. The governance network is maintained by an administrative body such local government, which acts as a key network manager. Because of its central position in the flow of information and key resources, it is ideally suited to govern the network and its activities. Although network members interact with one another, as with the lead organisation, residents tend to partake more passively in community development activities. The entire community is not represented and sometimes only a few representatives attend discussions. The local government gives the impression that local residents support and promote the project, actual participation tends to be more superficial (Provan and Kenis 2008:238).



### 2.4.2 Participatory-governed network

As the simplest and most common governance network, a participatory-governed network has a flat structure with interdependent relations that are sustained by each participant. With this participant-shared network, stakeholders work collectively as a network with no separate governance structure. There are no central actors and the size of network governance is small. On the one extreme pole, participatory-governed networks can be highly decentralised. It makes room for all network members to participate on an equal basis, which facilitates shared participant governance. At the other pole, the network may be highly centralised and governed by a lead organisation that is a network member. This simplest form of network governance is known as self-governance. Here, network participants govern collective activities through formal or informal meetings and are responsible for managing relationships, operations and external relations (Provan and Kenis 2008:238).

### 2.4.3 Public-private partnership (PPP) network

With a PPP network, collaboration typically involves all organisations that want to form part of the network and attempts are made to reach decisions through consensus. This component thus closely resembles the participatory model. However, to maintain efficient operations, some stakeholders represent other groups or cliques (Provan and Kenis 2008:233).

**Table 2.1: Network governance types and network characteristics**

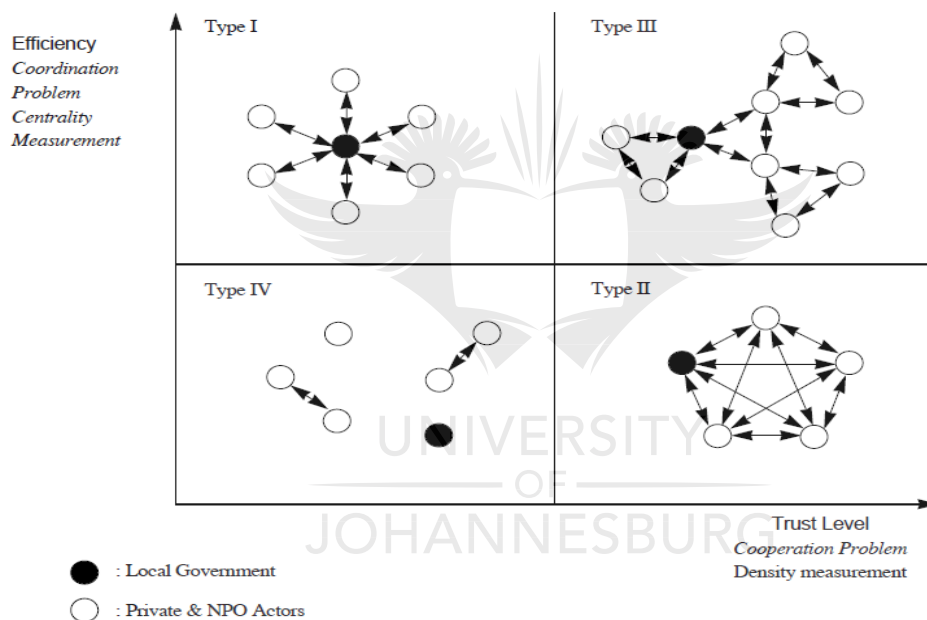
	Trust (Density)	Efficiency(Centrality)	Size	Key Players
TYPE 1 (Government-Led)	Moderately Low	High	Moderate	Local Gov't
TYPE 2 (Participatory)	Moderately High	Low	Few	NGO, Private Org.
TYPE 3 (Partnership)	High	Moderate	Many	Local Gov't, NGO, Private Org.

Modified from: (Provan and Kenis 2008)

Table 2.1 shows that each network governance type has its own benefits and costs and neither one is superior to the other. The government-leading network structure is highly efficient with low information and bargaining costs, but also has a low level of trust and cooperation among stakeholders. In turn, the clustered participatory network is dense, which reduces monitoring costs and increases the possibility of cooperation (Provan and Kenis 2008:233).

Figure 2.2 illustrates the types of governance related to the context of this chapter.

**Figure 2.1: Types of network governance**



Source: (Park and Park 2009:95 and Reinicke and Deng 2000)

Diversity of different types of governance contributes to effectiveness. However, a basic challenge of network governance is that the needs and activities of various entities must be accommodated and coordinated. As the number of stakeholders increases, the network becomes more complex and dense meaning that more people must reach consensus on matters discussed. Therefore, the effectiveness of a governance network is directly linked to its structure (Park and Park 2009:93). Throughout the contextual and conceptual analysis of the literature on governance

networks, a common theme is the need to build collaborative collaboration (Park and Park 2009:94). Even a clustered and dense network could function well if there is mutual trust among the stakeholders.

## 2.5 Summary

Networking with civil society is built on close cooperation, coordination and partnerships. As such, a network structure is viewed as a mechanism of coordination and cooperation (Muijs, West and Ainscow 2010). Local government can develop partnership arrangements with a wide variety of actors that are regarded as crucial parts of network governance such as NPOs, inter-ministerial committees, inter-agency structures and PPPs. One of the most important questions to ask is which governance mode (or mix of modes) is best suited to serve the needs of the public in developmental governance (Lange *et al.* 2013: 2).

Chapter Two discussed, network governance in the public sector through a systematic literature study of public governance on a national and international level. The nature of several network governance theories and approaches were discussed. These include interdependence theory, governability theory, institutional theory of normative integration, governmentality theory and governance network theory (GNT). In terms of GNT attention was paid to interdependency of actors, interactions and complexity, institutional features, network management, common ground, trust in governance networks, consensus orientation and finally boundary spanners.

Attention was also paid to other conceptual and contextual variables influencing network governance theory building in order to provide the context to the conceptual clarification and definition of network governance. In this regard, the focus was on governance and meta-governance, the rediscovery of democratic theories, the governance of innovation networks and collaborative innovation and future developments affecting network governance (including governance networks in a mediated world and risks and uncertainties of governance networks. These aspects will be revisited in Chapter Four of the dissertation. The chapter then proceeded to conceptualise network governance in order to provide better clarity on the concept. In this regard government-leading network, participatory-governed network and public-

private partnership network were highlighted. The aim of the chapter was to contextualise the theoretical development of the concept, its nature, structural goals, activities, principles and advantages in line with its evolving meaning within public governance, as linked to new developmental thinking in the South African context. Chapter Three will provide an overview of the different types of CSOs, with special reference to network governance in promoting good developmental governance in South Africa.



## CHAPTER THREE

### THE ROLE OF NETWORK GOVERNANCE IN THE PROMOTION OF GOOD DEVELOPMENTAL GOVERNANCE

#### 3.1 INTRODUCTION

Developmental local government in South Africa is described as being committed to developing structures and strategies to enable cooperation and co-ordination between local government and community networks. The aim to develop sustainable ways to improve service delivery, meet socio-economic and material needs and improve the quality of citizen's lives. The active participation of citizens requires four levels, namely "... voters to ensure the accountability of local government; participants in policy- and decision-making processes; consumers and end-users of services; and partners in mobilising resources such as businesses, NGOs and community-based institutions for the purposes of development" (Department of Provincial and Local Governance (dplg) 2009 in Auriacombe 2011:78).

The important role that civil society plays in development is widely recognised in literature. Various scholars, Kooiman (2003); Provan and Kenis (2009) and Park and Park (2014), indicate that, although successful public governance cannot be maintained without formal government structures, informal governance networks play a definite role in formulating policy, service delivery, as well as making and implementing political decisions.

Public participation is a principle that is accepted by all spheres of South African Government. It is heralded as an instrument to ensure that Government addresses the true needs of communities in the most effective way. It is believed that participation could help build informed and responsible communities with a sense of citizenship of government developments and projects (Accountability and Community Participation. Internet Source in Auriacombe 2011:78).

Stakeholder participation establishes the basis for the required system and policy process to build a participative and deliberative democracy. More importantly, it

provides a framework for the radical transformation of local government (Republic of South Africa 1998). The process of transforming South African Government institutions is based on the participative democratic state's mission to meet developmental objectives to create a better life for all (Republic of South Africa 1998). In addition, governments can develop partnership arrangements with several stakeholders on a national and international level including other governments, NGOs, business organisations, as well as voluntary and charitable organisations (Kernaghan 2004 in Auriacombe 2011:78).

The chapter will explore the different types of national and international partnership arrangements that could be used as developmental mechanisms. These partnership arrangements include all types of CSOs namely INGOs, NGOs, CBOs; PPPs and traditional leaders, which are all regarded as crucial parts of network governance. The chapter also discusses how networks can influence government's role and functions.

### **3.2 CIVIL SOCIETY ORGANISATIONS (CSOs) AS A MECHANISM OF DEVELOPMENT**

CSOs are sprouting up all over the world and play an increasingly active role in society – especially in politics and social issues. CSOs can be regarded as an umbrella term that includes NGOs, Constituency-based organisations (CBOs) and PPPs. CSOs are voluntary organisations, where governance and direction come from citizens or constituency members, without significant government-controlled participation or representation (Auriacombe 2011:90). Although their area of operation is often unclear, NGOs should be understood as a subset of CSOs that are involved in developing cooperation. CBOs, such as trade unions or professional associations, for example, often do not regard themselves NGOs, but rather as CSOs. In America, the term “NGO” refers to CSOs that are involved in international development and humanitarian assistance, called private voluntary organisations (PVOs).

Increased interest in the role of civil society is in part a response to the growing realisation that the state as development agent does not have the capacity to act alone (Lindenberg and Dobel 1999 in Auriacombe 2011:90). Global trends show that the state's role is being streamlined in that many government institutions have transferred

some of their responsibilities and functions to CBOs. Due to the diminishing role of the state and the growing significance of non-state actors, most developing countries have embraced various modes of partnership in public governance.

Brinkerhoff (2002:20) suggests that the definition of a partnership must include two essential components, namely mutuality and organisational identity. Mutuality refers to interdependence and commitment between partners, equality in decision making, as well as rights and responsibilities towards each other. With organisational identity, each partner maintains rather than surrenders its own identity, beliefs and values. However, during any partnership process, the extent to which such mutuality and identity can be realised may often depend on the socio-economic and political powers of the partners involved. Often, the most powerful partner's identity and interest becomes dominant.

Since the 1980s, partnerships between state and non-state entities have become increasingly important and government's role has shifted from "rowing" to "steering". There has been a greater focus on public participation to ensure good governance within the public sector and including foreign donors in service delivery partnerships (Brinkerhoff 2003:105). Such partnerships are now considered essential to enhance organisational capacity, cost-effectiveness, resource mobilisation, managerial innovation, consensus building, people's participation and public accountability (Caplan 2001).

Civil society is regarded as crucial partner in development – especially in developing countries. It mainly fulfils an advocacy, monitoring and service delivery role in this regard. However, as dynamic entities, CSOs may take on a new role or combine several roles. For example, an organisation's initial role might be service delivery, However, it might turn to advocacy to fulfil its service provision role. Subsequently, it becomes a watchdog to help prevent recurring problems, while continuing to provide its original services.

As stated, CSOs can play a significant role as development and service delivery agents. As such, they could help build local government capacity. The idea of co-management can be seen in PPPs (typically a managerial and economic focus) and

municipal-community partnerships (typically a normative, good governance and social contract focus). However, Müller (2010 in Auriacombe 2011:78) cautions against CSOs' lack of capacity to actively engage government and to determine the outcomes of collaborative efforts.

Furthermore, Smith, Davids and Hollands (2005) point out that there is a distrust in the role that civil organisations (including NGOs and CBOs) could play. Some governments accuse certain civil organisations of working with foreign donors to undermine its authority and development programmes (Smith *et al.* 2005). Such generalised critique undermines the credibility and legitimacy of civil organisations in the eyes of the communities with which they work (Smith *et al.* 2005). For many civil organisations, foreign support plays an indispensable role in sustaining services and support within many poor communities that find little relief from government programmes.

Importantly, if the voluntary sector is to hold the government and business sector accountable, it needs to ensure its own legitimacy, openness and transparency. NPOs should be accountable to a wide range of stakeholders: the people whose rights they seek to protect and advance; their own members, supporters and staff; to financial patrons, goods or services companies; governmental and non-governmental partner institutions and regulatory bodies; those whose policies, programmes or behaviour they wish to influence; and, more broadly, to the media and general public. To claim legitimacy on political grounds, these organisations should demonstrate a democratic structure, participative decision making and a non-partisan approach. They should focus on their primary agenda and not be diverted donors' demands or obstacles within their operational environment (Wilton Park Conference WPS06/10 2006 in Auriacombe 2011:91).

While civil society performs a crucial service delivery function, governments may take advantage of this and fail to assume their own responsibilities. As NGOs are motivated to respond to a particular societal need, they are required to collaborate with governments. They can mobilise resources for the community by providing a bridge between government and the donor community. As such, governments should help strengthen CSOs and not limit their operations with unnecessary red-tape, legislation



and regulations. However, civil society should not become a parallel or new type of public service. Partnership with civil society may reduce government's risks and responsibilities, minimise public sector debt and enrich the quality of public policies (Farrington and Lewis 1993:45). Compared to the business sector, NGOs are in a better position to possess local knowledge, address rural poverty, understand local needs and priorities, as well as practice consultative management (McCormick 1993:56).

CSOs should furthermore be strengthened, as they contribute to both the substance and process of democracy. The democratic process is bolstered by CSOs' watchdog function. This includes monitoring electoral procedures (voter registration, campaign financing and voter education) and parliamentary procedures (reviewing parliamentary budgets) (Auriacombe 2011:91).

How should local government, as the sphere closest to people, civil society and the private sector cooperate to ensure efficient and effective democratic governance? International experience shows that the most effective local governments engage with civil society, are open, accessible and active, while civic voluntarism is thoroughly intertwined with governance activities. Successful relations between communities and local government can only be built when civil society development is actively encouraged. The challenge lies in how to promote involvement and the style of government engagement. In some instances, civil society has challenged government by finding creative solutions to problems in areas where government has failed.

As noted before, networking with civil society is premised on close cooperation, coordination and partnerships. An effective partnership consists of shared roles, responsibilities and decision making powers, from problem formulation to designing solutions for sustainable development challenges. Therefore, the term "partnership" implies effective participation and close involvement. There is no domination in a partnership and role-players complement each other to ensure the best possible results.

The Busan Global Partnership for Effective Development Cooperation (<http://www.cn.undp.org/content/dam/china/docs/Publications/UNDP->

CH03%20Annexes.pdf) regards CSOs as “independent development actors”. Based on international experience, a number of good practices have been identified that enable CSOs to fulfil their roles as development actors. These include the following:

- *“Acquisition of legal status as voluntary, based on objective criteria, and not a prerequisite for the exercise of rights to expression, peaceful assembly and association.*
- *Civic organisation laws written, clearly defined and administered so that it is quick, easy and inexpensive to establish and maintain a civil organisation as a legal entity in perpetuity, with a defined and reasonable time limit for decisions and written justification for denial of status, subject to appeal.*
- *All acts and decisions affecting formal civil organisations as subject to appropriate and fair administrative and independent judicial review.*
- *Laws and regulations as excluding or simplifying reporting procedures for small, provincial, community-based organisations and alliances.*
- *Laws and regulations sustaining effective processes and instruments that ensure social participation in public policy development, implementation and evaluation.*
- *Laws and regulations providing guarantees for civil organisations with the right to speak freely on all matters of public significance, including existing or proposed legislation, state actions and policies, and the right to non-partisan criticism of state officials and candidates for public office.*
- *Civic organisations facilitated to carry out public policy activities such as education, research, advocacy and the publication of position papers.*
- *Laws, regulations and policies as providing for mechanisms and processes that allow for less bureaucratized, consistent, transparent and more efficient access to public funds, with accountability on the part of both government and CSOs.*
- *Laws, regulations and policies facilitating civic organisations to engage in any legitimate fundraising activity, with voluntary self-regulatory mechanisms for accountability, but public disclosure of the ways in which fund are raised and used, including fundraising expenses.*

- *Laws, regulations and policies creating an enabling tax regime that stimulates civic participation through tax incentives for donations from individuals and the private sector.*
- *A formal civic organisation that is properly established in one country would generally be allowed to receive cash or in-kind donations, transfers or loans from outside the country so long as all generally applicable foreign exchange and customs laws are satisfied. Such laws should not impose confiscatory taxes or unfair rates of exchange.*
- *CSO laws and regulations administered by an independent multi-stakeholder body. A government agency mandated to determine whether an organisation qualifies for ‘public benefit’ or ‘charitable’ status, and to administer laws and regulations governing CSOs, might function as an independent commission with mixed stakeholder governance. It is appropriate for the regulatory burdens on civic organisations to be commensurate with the benefits they obtain from the State”*

(<http://www.cn.undp.org/content/dam/china/docs/Publications/UNDP-CH03%20Annexes.pdf>).

In addition, several sectoral accountability frameworks governing CSO development practices were designed. Major international non-governmental organisations (INGOs) and many national CSOs adhere to three prominent accountability frameworks. These include:

- “The Sphere Project: Addresses minimum standards in humanitarian responses.
- The INGO Accountability Charter: Provides an accountability and reporting framework for INGOs.
- The Istanbul Principles for CSO Development Effectiveness and its International Framework: These establish global principles to guide CSO practices in development”.

(<http://www.cn.undp.org/content/dam/china/docs/Publications/UNDP-CH03%20Annexes.pdf>).

These three global frameworks aim to guide the improvement of the quality of INGO and CSO development practices in various spheres of humanitarian and development activity. They primarily do so by recognising standards on a voluntary basis, providing ongoing, intensive training and learning processes, as well as peer reviews and reporting mechanisms.

### **3.3 THE INFLUENCE OF NETWORKS ON GOVERNMENT'S ROLE AND FUNCTIONS**

When government institutions interact with other entities and civil society in general, ideas and best practices are exchanged and eventually all parties involved in this network are influenced. The following sections explore how this network could potentially influence government's role and functions.

#### **3.3.1 Policy-making**

One of the reasons for the increased interest in complex adaptive systems (networks) is that the role of "policy-making" and "service delivery" have been reinterpreted in the public domain. These are no longer seen as simple 'top-down' processes. Policy-making is now seen as the negotiated outcome of many interacting policy systems and partners. Managing service delivery is no longer the preserve of professional and managerial staff in government departments. Some of these processes are now typically outsourced to private companies or non-(NGOs, while the role of the 'user' (citizens and their respective networks) has also been reconsidered. It is now realised that, in many cases, citizens as customers play a more powerful role in shaping the outcomes of public services than the specific service professionals with whom t users interface (Percy 1984).

#### **3.3.2 Service delivery and design**

In networked governance, service delivery cannot be separated from service design. Notably, service users and other community members play a key role in both service design and s delivery (Moore 1995).

In line with the Single Public Service programme in Government (Auriacombe 2011:96), the concept of “co-production” provides a different perspective to the movement towards “seamless” and “joined-up” services. Where users and other citizens play a key role in defining and delivering services, it is pointless for agencies to work together unless they join hands with the co-producers of services. This is the only way to champion the “holistic” welfare of users and other citizens where decisions are made on policy and service delivery systems (Perri, Seltzer and Stoker 2002).

### **3.3.3 Mutual and inter-dependent relationships**

Service users and public officials should develop a mutual and inter-dependent relationship, where both parties take risks. Citizens as users should trust the advice and support of public officials, while officials should allow the service user to make a range of input to key decisions (Barnes, Shardlow and Wistow 1999).

Where such trade-offs are necessary, the traditional “constitutionalist” approach with a system of checks and balances should be implemented. Here, multiple stakeholders monitor the effects of trade-offs and negotiate changes based on their percentage of power

### **3.3.4 Trade-off between governance principles and efficiency**

Although all governance principles are important, it may not be possible to achieve them all simultaneously. Moreover, they are unlikely to be equally important to all stakeholders in all contexts. Even more problematic are other principles like value-for-money, which are not governance principles but may be politically important to public institutions. These potential conflicts lead to trade-offs (Auriacombe 2011:96).

Efficient and effective public service are underlying tenets of NPM, irrespective of the governance principles that apply. In this sense, NPM transcends the hierarchy or network modes of governance. However, in specific contexts, the application of governance principles could hamper operational efficiency. For example, full stakeholder involvement could lead to higher costs, as well as delays in decision making and implementation (Perri *et al.* 2002).

### **3.3.5 Democratic accountability**

As networked governance influences government's role and functions, it could affect democratic accountability (Stoker 2004) and multi-level governance (Peters and Pierre 2004). Within a networked environment, the fragmentation of accountability could allow some stakeholders to exercise power without appropriate checks and balances. This aspect will be dealt with in more detail in Chapter Four.

## **3.4 INTERNATIONAL NON-GOVERNMENTAL ORGANISATIONS' (INGOS) ROLE IN DEVELOPMENT**

INGOs, a distinct category among non-state actors, have played a prominent role in development cooperation during the past decade. They constitute a subset of NGOs where coalitions or NGO families based in various donor countries are formally associated to an international or global governance structure. These international organisations coordinate their programmes at a global level. Some well-known examples are World Vision International (WVI), CARE International and Save the Children International (Auriacombe 2011:96).

Any discussion on CSO-based aid needs to include the role of INGOs. These organisations are powerful agents in delivering aid to developing countries like South Africa. Eight INGOs (WVI, Oxfam International, Save the Children International, Plan International, Médecins Sans Frontières, CARE International, CARITAS International and Action Aid International) had a combined revenue of more than US\$13 billion in 2014 (Auriacombe 2015:67). INGOs have a major presence in many developing countries, receive substantial sums from donors to carry out humanitarian assistance and development work and are an increasingly influential actor in policy processes and the global governance of aid. INGOs' geographic reach, staff numbers, global presence and substantial budgets mean that they are major players within the international aid system, which have major implications for developing countries. Along with bilateral and multilateral organisations, INGOs constitute a significant component of external engagement in domestic development processes for both governments and domestic civil society (Auriacombe 2015:67).

INGOs in donor countries differ from local (national) CSOs in terms of their global reach (e.g. international operations), size, scale, access to funds, as well as their ability to place pressure on governments to fulfil their development roles. INGOs usually have multiple national offices in many countries. Furthermore, INGOs have extensive global reach due to their membership of global confederations. They operate jointly as part of global consortia, confederations or affiliations that undertake development programmes through their own regional and national offices in several developing countries. While individual national INGO affiliates may only directly manage or operate programmes in a relatively small number of countries, they can participate across the spectrum of confederation programme countries (by providing financial resources or professional advice) (Auriacombe 2015:67).

INGOs' range of development programmes and their ability to make a difference in people's lives generally afford them credibility and legitimacy in the eyes of donors and the public. Although governments require INGOs to meet stringent eligibility and accountability requirements, they generally regard the largest INGOs as established development actors that have proven track records and, therefore, as trustworthy channels for delivering aid. While seen as legitimate, national CSOs sometimes find it more difficult to demonstrate their eligibility for funding, because they do not have the same programme scale, staff capacity and resources (Auriacombe 2011:102).

Greater visibility and reputation also allow INGOs to maintain their advantageous positions. Importantly, they can draw from a greater pool of resources to maintain their legitimacy and to undertake continued fundraising. These factors also mean that INGOs can have greater standing with decision makers and funding agencies and "voice" within policy processes. As such, INGOs are better positioned to influence both the domestic and international development agenda (Auriacombe 2011:102).

INGOs play a wide variety of roles in development cooperation and have varied approaches based on different development practice models. However, there are strong similarities in their overall objectives and mandates. Key objectives for INGOs typically include (Auriacombe 2011:102):

- reducing poverty and inequality;

- realising human rights;
- promoting gender equality and social justice;
- protecting environment, and
- strengthening civil society and democratic governance.

Most INGOs are directly involved in planning, implementing and managing development programmes and humanitarian assistance in developing countries. Their approaches can range from the operational implementation of programmes, to working entirely through partners, where they have no direct role in programme implementation. Some INGOs are also involved in policy-making, advocacy, lobbying and campaigning work. This work may be undertaken as part of global campaigns or coalitions and is usually designed to bring about structural or policy change. INGOs are also increasingly drawing on their capacity to work with states and international organisations to address transnational problems, such as climate change, global poverty, urbanisation, complex humanitarian crises and security threats in a globalised world (Auriacombe 2011:102).

Funding to and through INGOs is usually tied to donor governments' own sector and geographic programmes but often extends their scope and geographic reach. In many cases, INGOs represent a relatively low-risk delivery option. This is due to their ability to work through global affiliates and confederate members, presence on the ground, ability to demonstrate results and impact, and sophisticated fund management systems. Before the donor provides funds, INGOs must usually demonstrate that they (Auriacombe 2011:102):

- are eligible;
- are trustworthy;
- can manage funds efficiently, once transferred;
- can implement development programmes;
- can monitor their progress and demonstrate results; and
- can demonstrate accountability for using funds.



Fulfilling donor accountability requirements represents a key part of INGOs' relationship with official donor funders. INGOs are required to demonstrate fiscal accountability to show that funds have been used for the intended purpose and that they can be accounted for. INGOs are also required to demonstrate accountability in terms of agreed outputs and outcomes. When INGOs receive donor funding, they are required to demonstrate results, value for money and accountability. When INGOs draw on donor funds to work with partners, they often require partner organisations to adhere to donors' accountability requirements and standards (Auriacombe 2011:102).

### 3.5 NON-PROFIT ORGANISATIONS' ROLE IN DEVELOPMENT

NPOs could be defined as private, non-partisan, voluntary, self-governing organisations operating in civil society's interest to promote social welfare and development (aid, religion education and research) and thus for the public good (Swilling and Russell 2002 in Auriacombe 2011:102). CBOs and NGOs include a set of mechanisms that are designed or coordinated by the state as managed networks. "Collaborative governance is expected to emerge when potential benefits are high and the transaction costs of negotiating, monitoring, and enforcing agreements are low" (Park and Park 2009:92).

According to Muijs, West and Ainscow (2010), the following types of relationships characterise the interaction between government and NPOs:

- **Suppression:** NPOs are seen as a threat and subsequently government implements unfavourable governance network policies.
- **Rivalry:** Reflected in uneven power relationships between the state and NPOs.
- **Competition:** NPOs are seen as competitors for political power and resources.
- **Contracting:** NPOs are contracted to provide a certain service.
- **Third-tier government:** NPOs play a key role supporting all forms of citizen participation.
- **Cooperation:** Government shares information and resources to render specific agreed-on services.

- **Complementary:** There is a symmetrical power relationship between government and NPOs.

NPOs take on different forms of managed networks to provide and coordinate intergovernmental service provision (Provan and Kenis 2008). There is extensive literature on CBOs and NGOs in the field of Public Administration (Graddy and Chen 2006 in Auriacombe 2011:102). In line with the current global trend of streamlining the role of the state, governments in most countries have transferred some of their economic activities and basic services to NGOs, which are now considered as governance partners (Haque 2004:271).

The contemporary global context is characterised by the diminishing role of the state and the growing significance of non-state actors. In line with this, most developing countries have embraced various modes of public governance partnerships. CBOs and NGOs play an increasingly active role in governing public administration, especially in the areas of community development. The United Nations Development Programme (UNDP) Human Development Report (2003) estimates that there are more than 37 000 registered NGOs worldwide.

Chapter One (see section 1.3) posed the secondary question: How should government, civil society and the private sector cooperate to ensure efficient and effective democratic governance? Hence, experience shows that the best examples of social enterprise states engage with civil society by being open, accessible and active, while civic voluntarism is thoroughly intertwined with government activities. The challenge lies in how to promote involvement. Here, the style of government engagement is all-important and should focus on working alongside civil society. International trends in NGO practice and donor priorities also shape the environment for local CBOs and NGOs. The new emphasis on development, good governance and partnerships place new demands on NPOs. Civil society can serve as an 'independent voice' by monitoring the implementation and effectiveness of development initiatives. In doing so, they can become actively involved in solving problems within their communities.

Most people agree that civil society contributes towards both the substance and process of democracy. CBOs and NGOs play a significant role in advocacy (making information available), monitoring (ensuring that government institutions do their jobs) and service delivery (making services available). These roles are both distinct and intertwined. For example, an organisation may provide a specific service, but can turn to advocacy to overcome challenges relating service provision role. It may further become a watchdog (monitoring) to try and prevent the recurrence or worsening of the problems while continuing to provide its original services.

Its watchdog function promotes better electoral and parliamentary procedures. Internationally, voter registration, campaign financing, voter education and parliamentary budget reviews have all improved as a result of civil society action. Through CBOs and NGOs, civil society can play an effective role as an independent voice to monitor the implementation of governmental development programmes and projects. The monitoring process facilitates stakeholder engagement, which helps identify progress and obstacles. It informs the implementers of what needs to change, be accelerated, and be celebrated. The results of any monitoring process should encourage dialogue between relevant stakeholders, thus deepening the existing partnership bond. CBOs and NGOs play a significant role in consolidating and deepening democracy, promoting participatory development, protecting human rights, and promoting accountable governance.

With democratic elites becoming disengaged from the public are mandated to serve, civil society could counter political apathy to maintain democratic governance and state accountability. Voluntary associations can ensure inclusive decision making and provide a forum for discussing public affairs that are necessary in all democracies.

NPOs should be accountable to a wide range of stakeholders: the people whose rights they seek to protect and advance; their own members, supporters and staff; to financial patrons, goods or services companies; governmental and non-governmental partner institutions and regulatory bodies; those whose policies, programmes or behaviour they wish to influence; and, more broadly, to the media and general public. To claim legitimacy on political grounds, these organisations should demonstrate a democratic structure, participative decision-making and non-partisan approach. They

should focus on their primary agenda and not be diverted donors' demands or obstacles within their operational environment (Wilton Park Conference WPS06/10 2006 in Auriacombe 2011:110).

Some people are concerned that governments can take advantage of CSOs' role as service providers by failing to assume responsibility for their own functions. Some question whether CBOs and NGO have become a new type of public service in taking on typical service delivery functions. In addition, they are required to maintain public support and retain their role as grassroots social movements. Motivated to respond to a community's humanitarian needs, CBOs and NGOs usually collaborate with governments to mobilise community resources by providing a bridge between the government and local citizens. In some instances, civil society has challenged government by finding creative solutions to problems in areas where government has failed (Auriacombe 2011:110).

A strong civil society is one in where voluntary organisations work in networks. These organisations should promote open discourse and citizen engagement in informed dialogue. Several important aspects help strengthen civil society. Firstly, its capacity should to be based on local needs and resources. Outsiders cannot necessarily connect with local society. Secondly, indigenous values and concerns should inform decisions. Thirdly, certain measures should be in place to encourage citizens to commit money through improved tax treatment by making donations to charities. Finally, timeframes should be realistic since institutional development takes time.

Many argue that civil society is the first tier in society to bring about change and improve people's lives. For example, civil society played a significant role in facilitating political change in South Africa. When the country was first hit by HIV/AIDS, CSOs (faith-based and otherwise) took up the challenge of providing care, counselling and food parcels.

Among significant subsectors within civil society, faith-based organisations (FBOs) can also play a great role in accelerating development. FBOs have a proven track record of their commitment to development. They reach their constituencies at least once a week and are often the glue that holds many communities together.

Furthermore, FBOs have the moral authority and legitimacy to mobilise communities to become catalysts for development (Auriacombe 2011:110).

CBOs and NGOs are effective service delivery implementers. Civil society can be equally engaged in the areas of science, technology and information systems. In terms of their developmental role, CBOs and NGOs are also regarded as “providers of expertise”. Many organisations have renowned specialists, researchers and scientists whose wealth of knowledge is crucial to progress in development. Teaming up with the academic and research sectors is an effective way of finding innovative solutions to problems (Auriacombe 2011:110).

CSOs and NGOs need to overcome certain challenges to play a meaningful role in development initiatives. When NGOs provide delivery systems, questions arise as to how government should deal with variances service quality. According to the Southern African Non-Governmental Organisation Network (SANGONet) in Auriacombe (2011:112), NGOs in South Africa are primarily concerned with issues such as urban and rural development, the environment, gender, adult literacy, HIV/AIDS, democracy and conflict transformation. NGOs pursue issues such as consolidating and deepening democracy, promoting participatory development, protecting human rights, as well as promoting clean and accountable governance. Specific areas where civil society makes invaluable contributions include (Auriacombe 2011:110):

- democracy,
- economic justice,
- education,
- environment,
- gender,
- HIV/AIDS,
- strengthening civil society,
- human rights,
- rural development,
- urban development, and
- youth development.

CSOs in South Africa are primarily concerned with issues such as urban and rural development, the environment, gender, adult literacy, HIV/AIDS, democracy and conflict transformation.

In 2014, there were an estimated 85 000 CSOs in South Africa (Auriacombe 2015:54). According to the Department of Social Development (DSD), only 28 280 of these organisations are currently registered as NGOs (in Auriacombe 2015:54). Figures from the NPO Directorate, which monitors the sector for the DSD, show that just over 36 488 organisations have been deregistered and are no longer valid NGOs (in Auriacombe 2015:54). Some 35 204 were listed as non-compliant (Auriacombe 2015:54). Once deregistered or found to be non-compliant, NGOs are unable to access Government or National Lottery funding. It is reported that the AG has been dissatisfied with the Department's non-monitoring of NGOs for the past six years. Furthermore, the AG is concerned that the DSD does not keep track of how organisations use funding (Auriacombe 2015:54).

Partnerships between local government and NGOs are generally viewed from three main perspectives. According to a normative perspective, such a partnership is generally viewed as inherently and ethically good for development, empowerment, participation and accountability. Based on the second reactive perspective, partnerships are seen as tools to strengthen public relations. The third instrumental perspective views partnerships as a means or strategic tool to enhance efficiency, effectiveness and responsiveness (Brinkerhoff 2003:19-20).

The author of this dissertation argues that there is no better way of rolling out service delivery and nation-wide programmes than to involve people who are already doing work at community level, such as NGOs. This type of implementation can involve local capacity building, such as skills-transfer programmes to facilitate economic participation among citizens. Furthermore, it is beneficial to involve civil society in local-level primary healthcare provision, particularly when dealing with infectious diseases. However, it is usually beneficial to first pilot the particular programme on a smaller scale to ensure that it yields the desired effect in different contexts, as well as have the flexibility to be applied differently in local contexts to suite local needs.

A major challenge facing local NGOs is the continued hardship of most South Africans. While there have been areas of service delivery improvements (i.e. rural electrification, water systems and housing), issues of poverty, employment and sustained livelihoods are not addressed sufficiently. The HIV/AIDS pandemic has been addressed too late and with inadequate leadership, while new forms of involuntary fragmentation and inequality are emerging (Harris 2003). Dominant pressures on local NGOs include the need to address poverty more efficiently, provide avenues for people to engage with the state and with each other, and to transform structural inequalities into a more just, sustainable, and equitable system (Harris 2003).

A lack of donor funding remains a continuous issue. Since 1994, international donors shifted their financial support from CSOs to Government. Subsequently, many organisations were forced to scale down and some closed entirely (Auriacombe 2014:54). To help counter these challenges, mechanisms such as the Non-Profit Directorate and the Tax Exemption Unit in the South African Revenue Service (SARS) were created to support the NGO sector. More significantly, the Nonprofit Organisation Act 71 of 1997 was passed in 1997. This law requires CBOs and NGOs to register with the DSD, which gives them access to tax benefits.

An issue that further complicates funding is the fact that an increasing amount to donors, especially US-based ones, require CBOs and NGOs to subscribe to combating terrorism. Donors may also require CBOs and NGOs to take positions against controversial matters such as abortion. This may compromise the freedom and independence of NGOs to engage in advocacy (Wilton Park Conference WPS06/10, 2006).

The choice of partners often depends on the type of tasks and sectors involved and the context in which partnerships are pursued. For example, in profit-making manufacturing sectors, partnerships are usually formed among governments, private firms and foreign investors. Conversely, with local-level rural development, the partnership is often among government agencies, foreign donors, as well as local and foreign CBOs and NGOs. Due to a greater need to address rural poverty and empower local people, partnerships with CBOs and NGOs have increased in developing

countries (United Nations Economic and Social Commission for Asia and the Pacific (UNESCAP) 1999).

The preference for CBOs and NGOs as partners is also due to the realisation that, compared to the business sector, these organisations are in a better position to possess local knowledge, address rural poverty, understand local needs and priorities, as well as practice consultative management (Caplan 2001). Voluntary private-public community partnerships have become increasingly common, as community organisations struggled to address local problems in an era of dwindling resources. These partnerships offer many advantages to participating organisations and individuals. Where no single organisation has the skills or resources to deal with the challenge effectively, problems can be addressed through collaboration. Collaboration also provides a means to pool financial resources and work together on complex problems.

Coston (1998:358) developed a typology to clarify Government and NGO relationships. The model/typology is based on the following types of relationships that characterise Government and NGO interaction (Coston 1998:358):

- **Repression:** NGOs are seen as a threat and subsequently Government implements unfavourable policies.
- **Rivalry:** Reflected in asymmetrical power relationships.
- **Competition:** NGOs seen as unwanted critics and competitors for political power and resources (i.e. donor funding).
- **Contracting:** NGOs are contracted to provide a certain service.
- **Third-party government:** The role of NGOs is accepted and is supported by contracting, loan guarantees, insurance and vouchers.
- **Cooperation:** Government shares information and resources to render specific services.
- **Complementary:** There is a symmetrical power relationship between government and NGOs.



CBOs and NGOs are regarded as South Africa's "third sector" (Smith and Bornstein 2001 in Auriacombe 2015:54). According to Smith and Bornstein (2001 in Auriacombe 2015:54), South Africa has a large and well-established NGO sector that has played a key role in supporting the struggle against apartheid and the country's transition to a non-racial democracy. Since political change in 1994, CBOs and NGOs had to redefine their identities as anti-apartheid or welfare organisations. Access to public funds, integration into government programmes, new policy priorities and emerging social needs (e.g. poverty, land ownership, HIV/AIDS) have provided the backdrop to the repositioning of South African CBOs and NGOs. They are now viewed in developmental terms and therefore Government has allied with them to meet mutual objectives.

Bovaird (in Auriacombe 2015:54) argues that the types, roles and management of partnerships will differ depending on whether they were developed within the NPM or the somewhat more demanding public governance paradigm. Notably, Bovaird (in Auriacombe 2015:54) made a comparison between the features of genuine collaborative partnerships and transactional contractual relationships with respect to several governance principles (e.g. citizen engagement, transparency and accountability). Furthermore, partnerships involving NGOs and the voluntary sector may become more problematic as the private sector takes on a more substantial partnering role with government (Bovaird in Auriacombe 2015:54).

During the 1990s and the early years of this century, public servants have devoted considerable effort towards creating and facilitating partnerships. Academic scholars have begun to examine the many dimensions of the partnership phenomenon, including its political, managerial, organisation, legal and ethical dimensions. As a result, there is much debate among both practitioners and scholars regarding the benefits and costs of partnerships and even regarding what constitutes a genuine partnership. At the same time, new partnerships continue to be formed. There are calls for even greater use of partnerships in the future, especially with respect to several aspects of electronic government (Kernaghan in Auriacombe 2015:54).

Halliday, Sheena and Richardson (2004:286) identify the following requirements for the establishment of successful partnerships:

- Involve all relevant stakeholders in a meaningful way.
- Develop effective communication.
- Nurture a partnership culture in individual partner organisation and groups.

SANGONeT has established Prodder, the South African NGO and Development Directory (Auriacombe 2015:54). Prodder has become an effective reference tool on Southern African development issues. It covers parastatals, CBOs, bilateral and multilateral agencies, as well as embassies and government bodies, each listed with contact details and programme areas (Auriacombe 2015:54). Furthermore, the South African National NGO Coalition (SANGOCO), as a representative of provincial and sectoral NGO coalitions, has brought about positive political changes in South Africa (Auriacombe 2015:54). The main purpose of SANGOCO is to create and maintain an enabling environment for the NGO community; promote people-centred participatory development; influence national development policy; and promote participatory democracy (Auriacombe 2015:54).

The objectives of the Coalition (SANGOCO Constitution 1997) are as follows:

- *“To work towards creating an enabling environment by influencing the legislative framework in which NGOs operate.*
- *To identify development priorities and seek to influence donors, grant-makers, organised business and other stakeholders to support the Coalition's development agenda.*
- *To promote community participation in the conceptualisation, implementation and evaluation of the reconstruction and development of South Africa.*
- *To conceptualise and implement advocacy programmes aimed at lobbying for policies which advance the interests of marginalised (e.g. the poor, women and rural) members of our society.*
- *To build the institutional capacity of sectoral and provincial networks to effectively meet the needs of their affiliates.*
- *To support sectoral and provincial networks in their endeavours to lobby for an enabling framework environment in their respective spheres of operation.*

- *To initiate discussion and stimulate debate amongst member organisations on strategic issues affecting the NGO sector.*
- *To assist member organisations to identify and address opportunities and threats in the socio-economic environment, which may advance or constrain the work of their respective organisations.*
- *To promote cross-border networking and cross-pollination of information, knowledge and development experience in Southern Africa and other parts of the world.*
- *To address the NGO leadership crises by sponsoring management and leadership development programmes.*
- *To promote collaboration amongst NGOs working in the same geographical area or sector.*
- *To affiliate to Southern African, African and International NGO structures and seek to influence socio-economic policies in the South African Development Community (SADC).*
- *To collaborate with other organs of civil society (e.g. organised labour and religious organisations) in building a strong national, as well as regional civil society” (SANGOCO Constitution 1997)*

### **3.6 THE ROLE OF PUBLIC PRIVATE PARTNERSHIPS (PPPS) IN DEVELOPMENT**

A PPP can be defined as a partnership between a public-sector organisation (a city government in this case) and any organisation outside the public sector. Such partnering is a central element of the current and growing emphasis in public administration on horizontal management and on so-called “holistic” governance.

Although the definitions of network governance vary, most hinge on two key concepts, namely the patterns of interaction in exchange and relationships, as well as the flow of resources between independent units. Proponents of the first concept focus on lateral or horizontal patterns of exchange (Powell 1990 in Auriacombe 2015:134); long-term recurrent exchanges that create interdependencies (Larson 1992); informal interfirm collaborations (Kreiner and Schultz 1993 in Auriacombe 2015:134); and

reciprocal lines of communication (Powell 1990 in Auriacombe 2015:134). Some highlight patterned relations among individuals, groups and organisations (Dubini and Aldrich 1991 in Auriacombe 2015:134); strategic long-term relationships across markets (Gerlach and Lincoln 1992 in Auriacombe 2015:134); and collections of firms using an intermediate level of binding (Granovetter 1994 in Auriacombe 2015:134). Those who support the second concept focus on the independent flow of resources (Powell 1990 in Auriacombe 2015:134) between non-hierarchical clusters of organisation made up of legally separate units (Alter and Hage 1993 in Auriacombe 2015:134). Importantly, there is a focus on independence of interacting units.

PPPs hold various advantages for governance. Brinkerhoff (2003) studied the use of PPPs between international donors (e.g. the WB and UN) and non-governmental development organisations (NGDCs). These “donor–NGDO” partnerships have a significant impact on the success of development assistance.

Sedjari (in Auriacombe 2015:197) examined the use of PPPs as a tool for modernising public administration. The author argues that the conditions for large-scale development of partnerships are present due to the state’s tendency to withdraw from public services and private sector pressure for profitability. Furthermore, Sedjari (in Auriacombe 2015:197) divides PPPs into three categories, namely partnerships initiated by the public sector; those initiated by the private sector; and “appointed” partnerships. He also examines four types of partnerships (e.g. partnerships with regional impact) and the range of participants that can be involved in partnering. He concludes that the use of PPPs is not only a promising avenue, but an essential one for modernization and development.

According to Farlam (2005), governments are looking to PPPs to radically improve infrastructure networks in their countries and enhance service delivery to their people. They are hoping that this development finance model – where the state shares risk and responsibility with private firms but retains control of assets – will improve services, while avoiding some pitfalls of privatisation like unemployment, higher prices and corruption. In this regard, Harris (2003) argues that, politically, the notion of PPP has been touted in some government circles as a magic formula that will fix a country’s infrastructure blockages and services backlog, minimise the problems of privatisation

(rising prices, job losses, corruption and the sale of public assets), while maximising the benefits to society. However, experience in Africa shows that PPPs suffer many of the same ills that afflict privatisation and public offerings (Harris 2003).

In theory, PPPs may have the potential to solve South Africa's infrastructure and service backlogs (i.e. access to electricity, housing, safe water, telephones, etc.). PPPs could potentially bring the efficiency of business to public service delivery and avoid the politically contentious aspects of full privatisation. PPPs allow governments to retain ownership, while contracting the private sector to perform a specific function, such as building, maintaining and operating infrastructure like roads and ports, or to provide basic services like water and electricity. Both sides stand to benefit from the contractual agreement. Government earns revenue by leasing state-owned assets, or alternatively pays the private sector for improved infrastructure and better service delivery. Often, the private sector can perform the job more efficiently, which can lower prices and improve rollout. The private operator is reimbursed either by government or consumers for doing its work, at a profit (Auriacombe 2015:134).

However, Farlam (2005) cautions that PPPs should not be seen as a "silver bullet", since there are several challenges associated with them. The private sector is not always more efficient, and the service provision is often more expensive to the consumer. Large government contracts are complex, demanding and could easily be abused by unscrupulous individuals, firms or politicians, unless controlled by disciplined, highly transparent procedures. Furthermore, partnerships should be characterised by thorough planning, good communication, strong commitment from both parties, as well as effective monitoring, regulation and enforcement by Government.

According to Kernaghan (in Auriacombe 2015:195), South Africa currently has over 50 such partnerships associated with development or implementation at national or provincial level and 300 projects at municipal level. The South African National Treasury, the key ministry that approves these deals, has built on almost a decade of PPPs. It has developed a PPP Manual (South African National Treasury 2004) and Standardised PPP Provisions to guide all projects of this nature. This manual defines a PPP as "*a contract between a public-sector institution and a private party, in which*

*the private party assumes substantial financial, technical and operational risk in the design, financing, building and operation of a project*” (South African National Treasury 2004).

According to the PPP Manual (South African National Treasury 2004), PPPs entail:

- “where the private party performs a function usually carried out by Government, such as providing water or maintaining a road;
- where the private party acquires the use of state property for its own commercial purposes; or
- a hybrid of the two”.

Payment could involve the institution reimbursing the private party for delivering a service, the private party collecting fees or charges from service users of the service, or a combination of these (Kernaghan in Auriacombe 2015:196). This partnership involves long-term collaboration between both parties to share the costs, rewards and risks of projects. This is opposed to once-off transactions involved in public procurement, where Government buys goods and services like offices, vehicles and computer maintenance or full privatisation, where government sells assets to the private sector (South African National Treasury 2004).

According to Farlam (2005), PPPs, like full privatisation and other forms of government tendering, are vulnerable to corruption and therefore governments need to tackle corruption before these partnerships can be successful. A government entering into a PPP must recognise that it requires professional contract-drafting and monitoring skills.

For PPPs to be successful, governments need to undertake thorough feasibility studies that address issues of affordability, value for money and risk transfer. Before a government enters into a partnership with a private organisation, it should:

- Conduct a thorough needs analysis of infrastructure and basic services and consider all the options to meet these needs.

- Carry out a thorough feasibility study that compares public-sector and private sector provision and that takes into account affordability, value for money and risk transfer.
- Build effective regulation by developing transparent, credible and effective regulatory mechanisms that are adapted to the specific needs of the project
- Assess the level of political commitment (Farlam 2005).

PPPs introduce private-sector efficiencies into public service through a long-term contractual arrangement. They secure all or part of the public service, call upon private funding and private sector know-how. Contracting authority establishes the specifications of a project and gives the private sector the responsibility of proposing the best solution, subject to certain requirements. Price is one of the many criteria in the evaluation of bids. A lot of emphasis is on the technical and financial capability of the bidder, financial arrangements proposed and the reliability of technical solutions used. Given the long duration of the concession period, emphasis is on the arrangements proposed for the operational phase (Farlam 2005).

Privatisation means transferring a public service or facility to the private sector, usually through ownership, so that it can be managed by market forces and within a defined framework. Privatisation is generally a complex transaction with carefully designed contracts and competitive tender processes (Farlam 2005). Generally, the public sector withdraws from managing the entity upon privatisation. As such, the private sector bears all the risk. In practice, privatisations of public utilities (particularly monopolies) usually occur within a regulatory environment that can impose detailed service and investment obligations, such as implementation schedules to rural areas or price caps for poor consumers. Many privatisations have run into controversy because governments failed to set up a strong regulator to control prices and to require companies to extend services in poor areas (Farlam 2005).

Privatisation and PPPs exist on a continuum defined by the extent of service obligations imposed and ownership of assets. A full sale of state assets could achieve the same result as a PPP if the sale agreement and regulatory rules are set up

properly. Governments choose forms of privatisation for infrastructure and service delivery for the following four main reasons:

- Fiscal benefits from the sale or lease of state-owned enterprises (SOEs), including lower subsidies to loss-making entities, or new investments government cannot afford to provide on its own.
- The efficiency gains of the private sector, which can lead to lower prices and improved access to services.
- The development of local financial markets.
- Increased private sector development, which includes broadening local participation in the economy (Auriacombe 2014:148).

The main argument is that privatisation “puts profits before people” and is “one more way in which basic services are being commodified” (Auriacombe 2014:148). Governments have a social and political obligation to provide basic services and that privatisation could compromise. Privatisation has been an important issue in South Africa. Government has created public corporations, called parastatals, which were given exclusive franchises in certain industries. The major parastatals were (Auriacombe 2014:148):

- The Postal Service: In addition to providing postal services, operates Telkom, a subsidiary parastatal that provides telephone services.
- The South African Broadcasting Corporation (SABC).
- Armskor (initially Armaments Development and Production Corporation and later Armaments Corporation of South Africa): An agency responsible for managing the research, development of small arms, ammunition, military vehicles and military optical devices. This includes the operation of SOEs such as the rifle factory of Lyttleton Engineering Works and the supervision of government contracts with private suppliers.
- South African Airways (SAA): The country’s state airline.
- Foskor, Sasol and Soekor: These entities were created by the Industrial Development Corporation (IDC), which was established to build domestic



industries to supply goods that are likely to be unavailable from foreign sources due to foreign policies.

In addition to other smaller parastatals, the public sector included partially shared ownership of private companies by parastatals. When the government owns (directly or indirectly through a parastatal), controls or even dominates shared ownership of a private company, it effectively forms part of the state. In addition, when a private company is given a monopoly in an industry, it is no longer strictly a private company but instead a sort of hybrid entity.

Towards the end of the 1980s, the previous government announced its intention of privatising some of the major parastatals, including Eskom, Iscor and Foscor (Auriacombe 2014:149). The Postal Service, the Telkom and Transnet were also scheduled for privatisation. This move toward privatisation was prompted by a number of factors, namely (Auriacombe 2014:152):

- the state enterprises were incurring losses that had to be covered from government revenues;
- state enterprises' capital needs for expansion had to be met from limited credit sources;
- the proceeds from privatisation sales would alleviate Government's shortage of funds;
- the low efficiency of the parastatals was a source of continued Government criticism; and
- the sale of government-owned housing would give tenants a stake in preserving private property in the future.

The South African Railways and Harbours Administration was reorganised and renamed in 1985 as the South African Transport Services (SATS) and in 1990 it became Transnet.

After South Africa's political change in 1994, the new Government acknowledged the need for privatisation. Some smaller state enterprises were completely privatised,

while the state sold part of its ownership share of other enterprises like Telkom and SAA to private interests. Privatisation was used to sell off underperforming Government-owned assets to private businesses to generate revenue, improve service delivery and reduce the managerial burden on the state.

Local government can develop partnership arrangements with a variety of actors. Partnerships between local government and business usually take the form of PPPs, which can be defined as a partnership between a public sector organisation (a city government in this case) and any organisation outside the public sector. Such partnering is a central element of the public administration's growing emphasis on horizontal management and so-called "holistic" governance (Auriacombe 2014:158). According to Farlam (2005:6), city governments are looking to PPPs to improve infrastructure networks and enhance service delivery to their people. They hope that this development finance model, where the local authority shares risk and responsibility with private firms but retains control of assets, will improve services, while avoiding some pitfalls of privatisation, such as unemployment, higher prices and corruption (Farlam 2005:6).

### **3.7 THE ROLE OF TRADITIONAL LEADERS IN DEVELOPMENT**

Traditional leadership plays an important part in South African culture. It involves the preservation of culture, traditions, customs and values of people, while also representing the early forms of societal organisation and governance. Following the 1994 elections, the democratic Government embarked on a course to transform the South African state. This included the transformation of institutions of governance to bring them in line with the new democratic order and constitutional principles, such as equality and non-discrimination. One of these was the institution of traditional leadership. This, however, also brought a challenge of defining the institution of traditional leadership in the new system of governance (Thloaele 2012:87).

Traditional leadership is indigenous to Africa and South Africa and its existence predates the colonial era. Like other institutions and governance structures, traditional leadership systems evolved with time. Prior to the colonial era, these societies were held together through hierarchies that were defined along family and kinship ties. The

European colonial expansion into Africa significantly changed the social interactions of African societies and transformed them in a manner that made them amenable to European input. Various laws were promulgated to enforce this (Thloaele 2012:87).

The effect of these laws was that traditional leaders became important tools for government to extend its control over Africans in the countryside, through the establishment of “reserves”, “self-governing states”, “homelands” and, later, so-called “independent states”. Traditional leadership was transformed into a type of local government, which main function was to serve as a source of, and a conduit for, cheap labour for the newly developed mines, farms and urban industries. Against this historical background, current steps are being taken to restore the integrity of the institution of traditional leadership (White Paper on Traditional Leadership and Governance 2003).

The Constitution of the Republic of South Africa of 1996 laid the foundation to address this reality. It set out a framework for the recognition of traditional leadership in the new democracy and provides for the transformation of local government. The White Paper on Local Government (1998) represented a policy attempt to deal with the issue of traditional leadership. It provided for a co-operative or partnership model within which traditional leadership could co-exist with municipalities. In terms of this, traditional leaders were accorded *ex-officio* status in municipal councils.

Some traditional leaders perceived the new local government system as unacceptable, as they believed it would lead to the usurpation of their powers. This subsequently led to tension in rural areas. These tensions gave rise to the need to define the role of traditional leadership in a democratic state. The White Paper on Local Government acknowledged that the issue of traditional leadership required a separate White Paper that would deal with all the issues comprehensively, while the Constitution of the Republic of South Africa of 1996 called for legislation. This subsequently gave rise to the drafting of a comprehensive White Paper on Traditional Leadership and Governance (1998). The White Paper therefore represents an important milestone, as constitutes the framework that will guide the transformation of the institution, while bringing about good governance and stability in rural areas.

To give executive powers and support to traditional leadership in South Africa, the Department of Traditional Affairs (DTA) was established in 2010 (Thloaele 2012:87). This illustrates how important Government view the role of traditional leaders in people lives – especially in rural areas. Traditional leaders can, especially, make a significant contribution to assist municipalities in the implementation of developmental programmes and local economic development initiatives.

Traditional authorities' role in developmental local government constitutes an administrative approach to decentralisation, albeit one that has the added advantage of not alienating potential political opponents. For example, new government-sponsored traditional development centres are being added to existing traditional councils and tribal courts. These “traditional” courts are set up under the aegis of local chieftaincies and in coordination with traditional governance structures. Some of these are already underway and are functioning as one-stop shops, serving as pension pay-out points, satellite offices for the Department of Home Affairs (DHA), sites for mobile clinics, as well as providers of HIV/AIDS awareness services and small business development advice (Thloaele 2012:87).

The institution of traditional leadership can play the following role in local development (Local Government: Municipal Structures Act 117 of 1998):

- a) *“Promote socio-economic development, good governance and service delivery, especially in rural areas.*

*The Houses of Traditional Leaders could –*

- *advise local government in developing policy impacting on rural communities;*
- *advise local government in the development of legislation that impacts on rural communities;*
- *participate in international and national programmes geared towards the development of rural communities; and*
- *participate in national and provincial initiatives meant to monitor, review and evaluate government programmes in rural communities.*

*Within the local sphere, the institution, through its custom-based structures, should furthermore -*

- *facilitate community involvement in the IDP processes;*
- *support municipalities in the identification of community needs;*
- *support municipalities in the implementation of development programmes;*
- *enter into service delivery agreements with municipalities regarding the provision of services to rural communities; and*
- *promote indigenous knowledge systems for sustainable development”.*

Section 81 of the Local Government: Municipal Structures Act 117 of 1998, enables traditional leaders to participate in the proceedings of municipal councils. At district level, traditional leader committees could be established to further facilitate their involvement. These committees should advise the district municipalities on matters pertaining to traditional leadership and coordinate the nomination of members to the Provincial Houses of Traditional Leaders (Local Government: Municipal Structures Act 117 of 1998).

Currently, the DTA is in the process of designing policies to establish uniform criteria and standards for traditional leadership issues such as initiation, traditional healing, remuneration and benefits, protocols, and the involvement of the Khoisan people in the governance system

To fully appreciate the involvement of traditional leaders in the country's governance system, it is necessary to consider the chronological development of legislation governing the institution of traditional leadership. Numerous pieces of legislation have been passed and various strategies and programmes have been designed help integrate traditional leaders into “mainstream” political and administrative leadership.

The Council of Traditional Leaders Act 10 of 1997 was amended through the Council of Traditional Leaders Amendment Act 85 of 1998, as well as the National House of Traditional Leaders Amendment Act 20 of 2000. In 2003, the White Paper on Traditional Leadership and Governance was published. This White Paper laid a sound

foundation for the development of two comprehensive acts governing traditional issues, namely the National House of Traditional Leaders Act 22 of 2009 and the Traditional Leadership and Governance Framework Amendment Act 23 of 2009.

In February 2010, former President Jacob Zuma signed the National House of Traditional Leaders Act 22 of 2009. This Act makes provision for the establishment of the National House of Traditional Leaders, which will serve a five-year term and meet at least once every quarter. A stipulation of this Act, albeit against tradition, is that at least one-third of the members of the National House must be women. The House of Traditional Leaders must adapt customary law to comply with basic human rights, as contained in the Bill of Rights. Members are elected to each provincial house from the ranks of senior traditional leaders (National House of Traditional Leaders Act 22 of 2009).

The Act further outlines the powers and duties of the House and stipulates, for example, that it must promote nation building, stabilise communities, preserve culture and traditions and, in line with the principles of local economic development, facilitate socio-economic upliftment of communities. Another significant development that the Act introduced is that Parliament may refer certain Bills to the House. As “clearing house”, the House of Traditional Leaders can help ensure that the stipulations of a particular Bill do not negatively impact on customary law. The House of Traditional Leaders may advise Parliament accordingly. It may also advise Cabinet ministers on traditional matters and on the development of service delivery projects in rural communities (Thloaele 2012:87).

Due to the lack of governance machinery, the House of Traditional Leaders depends on Government to make finances (budgets), infrastructure, equipment and people available to assist it with its functioning. The DTA, for example, may second staff members to serve in the House to assist with its designated functions. As tax-payers’ money is utilised, the House of Traditional Leaders must submit annual reports to Parliament outlining the activities that it performed. In terms of accountability, the House of Traditional Leaders must adhere to the principles of political oversight and monitoring and evaluation (MandE) (Thloaele 2012:87).

In 2009, the Traditional Leadership and Governance Framework Amendment Act 23 of 2009, was promulgated. This Act aims to:

- *“amend the Traditional Leadership and Governance Framework Act, 2003 (Act 41 of 2003), so as to substitute definitions and to insert definitions;*
- *recognise kingships or queenships and the withdrawal of such recognition by the President;*
- *establish and recognise principal traditional communities;*
- *further regulate the establishment and recognition of traditional councils and principal traditional councils;*
- *establish and recognise principal traditional councils and kingship and queenship councils;*
- *regulate the Traditional Leadership and Governance Framework Amendment Act, 2009;*
- *regulate the election of members of local houses of traditional leaders;*
- *regulate the roles of traditional leaders; and*
- *provide for the reconstitution and operation of the Commission on Traditional Leadership Disputes and Claims”.*

Traditional leadership and South Africa’s democratic system of government are not mutually exclusive. Traditional leadership has to function in a manner that embraces democracy and contributes to fostering a democratic culture. To this end, the critical challenge facing both government and traditional leadership is to ensure that custom is aligned with the Constitution of the Republic of South Africa of 1996 and the Bill of Rights. This should include customary practices and the promotion of tradition, culture and custom, and the mobilisation of rural people to participate in rural local governance. Traditional leaders should thus act in partnership with municipalities to contribute to service delivery (Thloaele 2012:87).

Historically, traditional leadership has performed various governance functions. However, these functions were not exercised in a unified territory, as this only came about later with the formation of the South African nation state. Although it was never

a government structure in South Africa, colonisation altered the governance functions and roles of traditional leadership. Due to changes to society, the institution of traditional leaders cannot be restored to its pre-colonial form but has to adapt to current democratic practices (Thloaele 2012:87).

Traditional leadership is a creature of custom and generally carries out customary functions. It can, however, complement Government's role in rural areas. Therefore, there should not be conflict or contestation of authority between the institution of traditional leadership and municipalities. However, some tension exists with politically elected councillors in areas where there is still strong traditional leadership. Both parties (councillor and traditional leader) believe that they are the true representatives of the community (Thloaele 2012:87).

Chapter 12 of the South African Constitution of the Republic of South Africa of 1996 lays the basis for the recognition and incorporation of traditional leaders into the governance system, As traditional leadership is indigenous to South Africa, Government endeavours to support this institution so that it is brought in line with the constitutional principles of democracy. Furthermore, the aim is to ensure equality so that it may represent the customary interests of communities, play a role in socio-economic development and contribute to nation building in general (Thloaele 2012:87).

As indicated earlier, the Constitution of the Republic of South Africa of 1996 introduced a new constitutional arrangement for the entire country and assigned governmental functions across the three spheres of government. Most importantly, it introduced a multi-party system of democratic government, and requires that elections be held on a regular basis. All legislation that was in place when the new Constitution took effect had to be in line with its stipulations. Furthermore, Section 211(1) of the Constitution of the Republic of South Africa of 1996 provides that "the institution, status and role of traditional leadership, according to customary law, are recognised, subject to the Constitution". Section 212(1) Constitution of the Republic of South Africa of 1996 went on to provide that "national legislation may provide for a role for traditional leadership as an institution at local level on matters affecting local communities". These constitutional provisions had an effect on the institution of traditional leadership.



Furthermore, Section 182 of the Constitution of the Republic of South Africa of 1996 grants *ex officio* status to serve in municipal councils. This is an important constitutional entitlement for traditional leaders, whose customary authority and roles were being affected by the transition to democracy. This ensures that traditional leaders are entitled to representation on a council without having to stand for election. For the transitional period, traditional leaders who had previously exercised powers and performed local government functions were represented in newly established institutions that took over these functions (White Paper on Traditional Leadership and Governance 2003). The institution of traditional leadership can therefore play a network governance role by promoting socio-economic development, good governance and service delivery:

Many people reside in rural areas that are under the control of traditional leaders. It is estimated that about 14 million people live in areas falling under the jurisdiction of traditional leaders. These people are subject to poverty, underdevelopment, lack of access to economic opportunities, poor infrastructure and lack of access to basic services. There is a renewed effort by local government to focus on improving living conditions in rural areas in an integrated manner to bring about sustainable development, through the provision of water, electricity, clinics, roads, housing, telephones and land restitution, etc. These efforts necessitate greater clarity regarding the role of the institution of traditional leadership in rural areas in relation to Government. In other words, clarity is needed on aspects such as authority and responsibility for the provision of infrastructure and basic services.

In terms of the White Paper on Traditional Leadership and Governance (2003), traditional leaders should advise municipalities with regard to developing policies that has an impact on rural communities, as well as facilitating participation in programmes geared towards the development of rural communities. Furthermore, traditional leaders should facilitate governance by monitoring, reviewing and evaluating the outcomes of Government programmes in rural communities. In order to facilitate traditional leaders' involvement, local government should implement mechanisms to ensure coordinated involvement of the Houses of Traditional Leaders in various policy development processes and programmes. On municipal level, traditional leaders should facilitate community participation in IDP processes through their custom-based

structures. Furthermore, they should support municipalities to identify community needs, implement development programmes, and promote indigenous knowledge for sustainable development (Silima 2013).

As symbols of unity within communities, traditional leaders may be requested to perform ceremonial functions at major occasions within traditional authority areas. The Constitution of the Republic of South Africa of 1996 also recognises the role of traditional leadership as custodians of culture, tradition and custom. Since 1994, with the advent of democracy and the extension of municipal governance into traditional leadership areas, a shift has taken place in the development role of traditional leaders and their structures. Development and the provision of services has become local government functions. It is accepted, however, that traditional leaders still have a major role to play with regard to development, custodianship and implementation of customary norms and practices of traditional communities. They also have a role to play in resolving disputes (Silima 2013).

Historically, traditional leaders administered the affairs of their community through customary structures. Each structure comprised the traditional leader, headmen and members of the community. Through these structures, a traditional leader coordinated the activities of his community, including ploughing and harvesting, hunting, ancestral worship and other rituals. In addition, through these structures, traditional meetings (*izimbizo/ dipitso*) were called, where community affairs were discussed and disputes were resolved (White Paper on Traditional Leadership and Governance 2003).

These structures were also brought under formal control and legislation was introduced to regulate them. The existing customary structure of traditional leadership came to be referred to as tribal authorities. However, the role and functions of these structures essentially remained the same. Each structure still consisted of the chief, headmen and some members of the community. Other structures of traditional leadership, which were not customary in nature, were created through legislation. These structures included community authorities and regional authorities. Community authorities were created for rural communities without traditional leaders and consisted of elected chairpersons and members. In some instances, however,

community authorities were established for communities under the authority of independent headmen (Silima 2013:77).

In order to enhance the institution of traditional leadership and to create a role for it on provincial and national levels, the Constitution of the Republic of South Africa of 1996 makes provision for the establishment of Provincial and National Houses. Accordingly, Provincial Houses were established in the provinces of North West, Free State, Mpumalanga, KwaZulu-Natal and Eastern Cape. The National House was also established at a national level. These Houses are intended to give a role to the institution at the highest level of Government and to promote cooperative relationships. According to Thloaele (2012:56) they are also meant to:

- “ensure a smooth flow of information within institutions, and between government and traditional communities, with a view to enhancing the implementation of policy and programmes;
- ensure an understanding of customary values and the prevention and resolution of conflicts and disputes; and
- advise government on matters affecting traditional leadership, traditional communities, custom and customary law”.

Different opinions have been expressed on the role of Houses of traditional leaders. The Houses must play a supportive and advisory role to governance structures and other local-level traditional leadership institutions. The National House has the added responsibility of consulting with Government on any major issue of national importance pertaining to traditional authorities, customary law, the traditions and customs of traditional communities, the remuneration and privileges of traditional leaders, the monitoring of the functioning of the Provincial Houses of Traditional Leaders, as well as legislation dealing with custom or customary law issues (Thloaele 2012:78).

The influence of traditional leaders has most recently been seen in the passing of the National House of Traditional Leaders Act 22 of 2009 and the Traditional Leadership and Governance Framework Amendment Act 23 of 2009. These acts validate the role of chieftaincy in local government and clarify the position of traditional councils that

must now operate within and alongside other local government structures. Communities must establish these councils, which in turn must comprise traditional leaders and members of the traditional community selected by the principal traditional leader concerned in terms of custom (Thloaele 2012:78).

### **3.8 SUMMARY**

The chapter discussed the different types of national and international partnership arrangements that could be used as developmental mechanisms. These partnership arrangements include all types of CSOs which are all regarded as crucial parts of network governance within a developmental framework. Attention was also given to how these networks could potentially influence government's role and functions. Aspects such as policy-making, service delivery and design, mutual, inter-dependent relationships, trade-off between governance principles and efficiency and democratic accountability are dealt with in this regard. The role of INGOs, NPOs, PPPs and traditional leaders' in development were also explained.

When looking at the importance of networking within the framework of the developmental state, there is a need to focus on the value of networking and collaboration in creating social capital (Park and Park 2009:92). The value of networking in this regard is its ability to exert influence on its social and political environment and to harness resources that could be used for development. Networks could also introduce collective knowledge to address problems more sufficiently. The real value of network governance lies in providing the information or the skills needed to deal with problems. Therefore, network governance could be beneficial to all stakeholders involved in a network (Muijs, West and Ainscow 2010).

The prevailing ideology in a society largely determines the system of government. Should a government not be regarded as legitimate in the eyes of citizens, they can "overthrow" the political representatives at the next elections. South Africa is a unitary state with federal elements and separate powers among the executive, legislative and judiciary authorities. The chapter highlighted that, both in developed and developing countries, the use of PPPs has become a pervasive phenomenon in public administration and management. A government can develop partnership

arrangements with a wide variety of actors. The types, roles and management of partnerships will differ depending on whether they were developed within the NPM paradigm, or not.

The next chapter will provide clarity on the variables impacting network governance within the framework of a good developmental state.



## **CHAPTER FOUR**

### **VARIABLES IMPACTING ON NETWORKING WITHIN A GOOD DEVELOPMENTAL GOVERNANCE FRAMEWORK**

#### **4.1 INTRODUCTION**

In an effort to reach the 2030 goals set for the NDP, South Africa has committed itself to building a developmental state that could guide economic development in all tiers of governance. The developmental state should mobilise and direct available resources toward achieving NDP goals. Thereby placing the needs of the poor and social issues, such as healthcare, housing, education and safety at the top of the national agenda (NPC n.d.: 27).

The South African Government has assumed that South Africa's ability to sustain people-centred economic growth and to transform into a knowledge-based society that promotes technological and social innovations, will largely depend on a developmental state framework. Firstly, it is therefore necessary to clarify the concept "developmental governance" and contextualise it within the context of South African society. Secondly, the chapter also provides the reasons for the notion of a developmental state. Lastly, the variables influencing networking within a good developmental governance framework will be discussed.

#### **4.2 DEFINING A DEVELOPMENTAL STATE**

The developmental state as a framework for development has developed over time. It is a state that is organised around enhanced development (Baissac n.d.) and theory is based on development thinking and practices. A literature overview points to the fact that there is no precise definition of the concept "developmental state". Consequently, there is no consensus among policy-makers and academics on what the nature, objectives and institutional characteristics of a democratic developmental state entail. There is, however, consensus among South African politicians that a developmental state should address the challenges that South African Government

faces, such as poverty, poor economic growth, lack of infrastructure and unequal development, by using state resources to do so.

By employing specific interventions, a developmental state thus attempts to utilise its resources to address the task of economic development. Furthermore, commitment to building a developmental state is based on the assumption that direct state interventions are needed for economic growth and increased investment, which lead to high growth rates (PSC 2017).

In its widest sense, the developmental state could be seen as resting on state-led macro-economic planning. In this capitalist model, Government intervenes intensively through more independent political power, regulation and planning while exercising strong control over the economy. A developmental state is characterised by extensive regulation and planning. *“A state is developmental when there is a tacit or explicit arrangement between an effective bureaucracy which formulates and implements national policy and a private sector which generates economic growth through the mobilisation of resources and the creation of economic value added”* (Baissac n.d.).

Therefore, the development of a developmental state is grounded in the vision that the state and citizens cooperate on all levels to promote social justice, economic development. *“Developmental local government is central to building the developmental state”* (Department of Cooperative Governance and Traditional Affairs (CoGTA) 2009 in Auriacombe 2014:124). Leftwich (2006:63) defines the developmental state as a state with a powerful, autonomous, legitimate core that has the capacity to shape, pursue and encourage the achievement of developmental objectives, by introducing, endorsing and protecting conditions of economic and social development. South Africa has succeeded to provide a platform for socio-economic development by implementing various pieces of legislation and policy. However, they are not easy to implement. The developmental state is intended to promote economic growth and address social objectives, such as alleviating poverty on a practical level (Levin 2007 in Auriacombe 2014:124).

A developmental state must be able to steer and support economic development through a strong public service, create an investor-friendly environment, support small business efforts, manage network governance efficiently and effectively and drive

strategic investment initiatives to stimulate the economy. The state has to play a leading role in ensuring that the economy shows sustained development and introducing new international technological developments. “The state has to be able to control its vast resources and directly apply them to the strategic tasks that will enable us to meet our goals” (Auriacombe 2011:34). More specifically, the following variables help establish and sustain the developmental state, according to (Auriacombe 2011:34):

- Positive political leadership supporting network governance and the developmental state.
- A democratic and accountable local government.
- Responsiveness to the needs of local communities.
- Sustainable service provision to communities.
- Socio-economic development.
- A safe and healthy environment.
- Involvement of communities and community organisations in local government.
- A culture of public service and accountability amongst its staff.
- Clear responsibilities for managing and coordinating administrative units and mechanisms.

For the purposes of this research, the term “developmental state” is in line with Johnson’s (1987 in Auriacombe 2014:124) “plan-rational state”, with practical socio-economic goals and direct developmental functions including transforming the economic structure. Along with these issues goes the need for confidence-building measures of overseas investors and an economic recovery programme. South Africa can only realise these goals by drawing on the strengths of networks aimed at growing an inclusive economy, developing the potential and abilities of all citizens (especially the poor), enhancing the state’s capacity to ensure good governance and providing adequate public services (NPC 2011:375).

When unravelling the term “developmental state”, the emphasis should be on both the ideological outlook and institutional dimensions. What defines a developmental state are both its strategic orientation and the nature and character of its institutional



structure (PSC 2017). This approach helps ensure that capable institutions geared towards achieving developmental objectives are established. While institutions shape developmental outcomes, the nature and character of a developmental state sets it apart from non-developmental states. In light of the above, a developmental state can be defined as state following a self-imposed developmental to construct and deploy its governance and political resources for economic development (Edigheji 2005).

A developmental state has the following characteristics according to Edigheji (2005):

- “A small political elite who have the resources and capacity to mobilise government departments, governance networks and civil society to participate in chosen projects.
- This elite group works toward a common good of the country and its citizens.
- Projects are geared towards sustained economic development and economic growth.
- The state has the resources, ability and political will to develop and implement legal instruments and policies.
- Group members have the capacity needed for change and development”.

An overarching national development goal stems from a developmental approach that enables leaders in public administration to establish the necessary organisational structures and processes to accomplish targets. A nationalist agenda is the key driver of a developmental state. As such, a country prioritises its own national interests over the interests of other countries. The primary goal of a developmental state is ensuring sustained growth and improved living standards. This cannot be achieved through industrial and economic development. An important yet neglected element of a developmental state is the inclusive development goal of advancing human potential and capabilities. Uplifting millions of people from poverty by implementing this developmental philosophy is not something that happens by accident, but through a concerted investment in education, health and measures that increase both the income and assets of people. Furthermore, a developmental state is built on sustainable environmental principles and therefore green development has an important place.

### 4.3 REASONS FOR THE NOTIONS OF A DEVELOPMENTAL STATE

It is believed that if business, labour, communities and government work together in a developmental framework and apply their resources, they can fulfil strategic responsibilities and set goals. In 2013, South African Government adopted its first NDP Vision 2030. This plan demonstrates Government's commitment to build a developmental state, and especially a skilled, effective and competent public service based on *Batho Pele* principles. This commitment is based on the belief that a developmental state is needed to overcome developmental challenges like unemployment, poverty and inequality, as well as to transform the structural basis of the economy (PSC 2017).

Although South Africa is said to be a developmental state, very little has been written about what a developmental state entails. If South Africa wants to operate as a developmental state, the public service sector, as the executive arm of Government, needs to build stronger public governance that is free from corruption and geared towards improved service delivery and development (PSC 2017). According to the NPC (2011), the NDP 2030 (n.d.:27) is set to address this on a local government level by prioritising the following key issues:

- Building a local government capable of playing a stable leadership role in development and transformation.
- Improving the relationship (coordination and communication structures) between national, provincial and local public governments.
- Developing participatory and democratic governance systems characterised by accountability, transparency and participation.
- Preventing and controlling corruption.
- Implementing national government strategies and policies that focus on increased stakeholder participation and cooperation in policy and programme development.
- Implementing the necessary legal and policy reforms.

The NDP 2030 (n.d.:27) emphasises the necessity to maximise people development, management and empowerment to accelerate transformation and service delivery. The aim to reach key objectives of economic growth, poverty eradication, job creation, reduction of income inequality and service delivery to the benefit of all South African citizens. According to Spector (2017), “At this point in the country's political discourse, in fact, virtually every political party in South Africa has signed on to the NDP, effectively turning it into an apolitical football and a technocratic roadmap for national advancement”. There is a solid commitment by Government and the ruling party towards creating government that is both developmental and democratic. This commitment is driven by the NDP and the belief that South Africa, and Africa, will not be able to meet its developmental challenges of reducing poverty, inequality and unemployment, as well as providing efficient services to the majority of its people without a developmental state actively and purposefully intervenes in the economy. It would seem that only thing keeping Government from reaching this goal is its inability to implement the NDP (PSC 2017).

However, a more important question should actually be whether the developmental state will be able to provide the framework needed to address the many problems South Africa faces, namely the lack of long-term sustainable foreign and domestic investment aiding job-creation; the inability to ensure economic productivity throughout industry and the mining sector; growing public (and private) corruption; persistent crime; the educational system's failure to produce skilled young employees; a collapsing national public health and social welfare sector; an incompetent public service; failure to maintain public infrastructure like roads, bridges, electricity and water; a constant cycle of rising expectations and demands for service delivery; failure to plan effectively to meet the growing demands for energy production; the on-going de-industrialisation of the country's economic base in favour of lower production-cost countries like China; persistent labour unrest; a declining moral fabric and social cohesion; inequality among population groups; the failure of major land redistribution efforts; and a decreasing tax base (PSC 2017).

A weak link in the South African public sector is public governance and the lack of capacity to deliver basic services to all citizens, especially those who are most in need. In South Africa, government is elected by the people. The power of the head of the

state is defined by the Constitution of the Republic of South Africa of 1996, while Government is a guardian of human rights and the well-being of all its citizens. Individual freedom of belief, religion, political ideology and speech and free press are basic components of a democratic system (PSC 2017).

The interrelationship between democracy and development presents key challenges to developing countries, such as South Africa. Poverty and inequality remain serious challenges in these countries and democratic systems under pressure. Furthermore, it is unclear what role democratic structures and processes play in development and addressing these challenges.

Democratising service delivery means that service delivery related decisions should be decentralised, accessible and transparent to citizens. Participation could take place NGOs and CBOs. Service delivery within a democratic developmental framework implies that communities should be involved in determining the type of services (refuse removal, sanitation, electricity, water etc.) and the service standards they require. Considering the financial, human resource and physical capacity available, local government (through municipalities) should provide such services. Democratising service delivery according to Auriacombe (2011:55) means the following:

- As in corporate governance, the first priority for public service providers should be the recipients of services or customers.
- Measures should be taken to ensure that peoples' needs and values are acknowledged in decision-making and service delivery
- Dedicated, innovative public servants should commit themselves to focus on service delivery
- Skilled officials should work towards overcoming obstacles to democratic service delivery, such as corruption.
- A reward system for public servants should be in place to promote innovation and efficient, effective service delivery.
- There should be a focus on good relations between the public service and the community as clients of public institutions.
- A service-orientated culture should be developed and sustained.

- Policies and other measures should be taken to ensure quality democratised service delivery.
- Public servants should adhere to public governance and management principles.
- Steps should be taken to improve the performance of institutions, personnel and service delivery
- Measures should be taken to facilitate performance management.
- Ways should be found to obtain greater citizen involvement.

Judging from the above, the governance capacity of a democratic state depends on the competence and effectiveness of its state machinery and public administration capacity. This includes:

- *“the state structure: the state should be structured in such a way to provide services in line with delegated state power and the use of state’s resources;*
- *the public service: public governance should be based on professional and high-level public service, recruited and promoted according to merit, trained according to the ethics of the public interest, and committed to effectiveness of the state and to the rule of law; and*
- *management practices: public officials should be skilled in managing public institutions and use scarce resources optimally” (White Paper on Transforming Public Service Delivery, 1997).*

In South Africa, democratic service delivery also requires adherence to certain public administration principles applicable to our specific circumstances, demographics, and ideologies. Where services are not delivered according to these principles, one cannot refer to democratised service delivery. Adhering to these principles is to recognise the supremacy of the country’s Constitution of the Republic of South Africa of 1996, which aims to democratise the government system and service delivery. The public administration principles and values and their role in democratising service delivery

are written in the principles contained in Section 195 (1) of the Constitution of the Republic of South Africa of 1996 (PSC 2017; PSC 2016). These demand:

- governance by the democratic values and principles of the Constitution of the Republic of South Africa of 1996;
- honesty and integrity;
- empathy;
- respect for human dignity;
- a high standard of professional ethics;
- efficient, and effective use of resources;
- developmentally orientated thinking;
- dignity;
- responsiveness;
- impartial, fair and equitable service delivery;
- accountability,
- a development-oriented public service;
- effective and efficient developmental programmes;
- an efficient economy and effective use of resources;
- impartial, equitable service delivery;
- dedication;
- responding to people's needs and encouraging public participation in policy-making and implementation;
- transparency, by providing the public with timely, accessible and accurate information;
- good administration and career development practices that maximises human potential;
- respect for human dignity;
- respect for professionalism;
- public governance that is broadly representative of the South African people;
- appointments based on ability, objectivity, fairness and the need to redress the imbalances of the past;
- monitoring and evaluating the structure, organisation, administration and personnel practices; and

- proposing measures to ensure the effective and efficient performance.

The PSC is an autonomous, neutral body established to promote and maintain effective and efficient public governance and a high standard of professional ethics in the public service. Although independent, the Public Service Act, 1994, views the PSC as part of the public service and classifies it in the same category as national departments. PSC employees are therefore classified as public officials. The mission of the PSC is to promote democratic values and principles and to govern public administration, as stipulated by the Constitution of the Republic of South Africa of 1996. Its tasks include investigating, monitoring and advising public services (PSC 2014). The PSC devoted its State of the Public Service Report for 2005 to evaluating the Auriacombe 2011:65) to which Chapter 10 of the Constitution of 1996 had been adhered to (PSC 2005 in Auriacombe 2011:65) as far as the principles are concerned. The State of the Public Service Report for 2005 (in Auriacombe 2011:65) found:

- a low level of compliance to ethical guidelines, as set out in the Code of Conduct;
- a clear lack of performance evaluation frameworks in the implementation of services;
- that the public service, which should be development oriented, did not follow an integrated approach in all three spheres of government;
- only 57 out of 115 departments and sections responded positively to the question on service standards;
- that communities were not mobilised and actively involved, and therefore the principle of public participation could not be achieved;
- the principle of accountability was not adhered to, since some departments received qualified audit reports (i.e. indicating that financial reporting is unacceptable) from the AG (2013), while 26 Heads of Department (HoDs) did not comply with the requirements for a proper evaluation;
- annual reports were neither timely nor accessible (written in clear language and structured in such a way that citizens could obtain useful information on the department's performance);

- delegation of authority to lower levels overburdened the managers, which inhibited their ability to comply with good human resource management (HRM); and
- retrospectivity in the public service was still lacking and was of great concern, especially regarding women and the disabled.

At further evaluation of managers' failure to take responsibility for proper performance management was expressed in this report. Poor day-to-day management of performance includes (PSC 2005 in Auriacombe 2011:65):

- "Lack of clarity of objectives from the managers.
- Poor understanding of the system, which results in poor implementation.
- Lack of proper review of individual performance.
- Managers do not adhere to quarterly performance assessments.
- Mechanisms should be in place to ensure that managers take responsibility for the rating they give to employees".

The senior management ranks in the public sector were restructured to become the Senior Management Service (SMS), introducing performance management provisions and competency-based management for senior managers. The *Batho Pele* values and principles were introduced, which promotes consultation with citizens on all public service levels, setting service standards and providing mechanisms to address customer complaints. *Batho Pele* is based on the following eight principles:

- Consultation with citizens regarding the quality of services.
- Setting standards for service delivery.
- Equal access of all citizens to services.
- A courteous and considerate attitude when dealing with the public.
- Being accountable to the public for services delivered.
- Openness and transparency regarding budgets, expenses and responsibilities.
- Redress and value for money (White Paper on Transforming Public Service Delivery, 1997).



Predetermined standards allowing citizens to evaluate public governance performance and holding public servants accountable were developed. The School of Government was established to guide the competency development of public servants. The training programmes were standardised according to the National Qualifications Framework (NQF). Partnerships with private and public institutions of higher learning were formed to train public servants (PSC 2017).

Despite all these efforts, the continued poor performance of public governance structures prove a lot still remains to be done. The AG (2011/12) identified four key issues related to the deterioration in clean audits over the past years:

- Lack of leaders' commitment to the vision and mission of the public governance sector.
- Vacancies in key management positions.
- No clear career path, with an instability and high turn-over in leadership positions,
- Ineffective performance management of employees.

The NDP confirms Government's commitment towards building a developmental state (NPC 2013). As noted in the NDP 2030, "...we need to develop a state that is capable, professional and responsive to the needs of its citizens" (PSC 2017).

Based on its research of the determinants of accomplished institutions, the PSC (2017:3) identified the following critical elements that define a democratic developmental public service:

- A value-driven public service.
- Equitable recruitment based on efficient skills and training.
- Promotion based on seniority and performance.
- Promotions and clear, predictable and secure career paths in the public service sector.
- A performance management system (PMS).
- Specific competencies of public governance leadership.

- Low degree of political involvement.
- Training in the public service.

The Public Administration Management Act 11 of 2014 (PAMA) now provides norms and standards regarding the promotion of values and principles referred to in Section 195 of the Constitution of the Republic of South Africa of 1996. It also provides for an Office of Standards and Compliance that will promote and monitor compliance with these norms and standards (PAMA 2014). This office has a unique role to play in interpreting and applying these values and principles, as well as to address a negative workplace culture. The importance of these values is two-fold in that they underscore what the public service represents and set out what the public should expect from public governance (PSC 2014).

The Performance Management and Development System (PMDS) for SMS is a framework developed by the DPSA to assess performance against a performance agreement on a yearly basis (Provincial Public Service Summit 2014). More specifically, it aims to:

- “establish a performance and learning culture in the public service  
improve service delivery
- ensure that all jobholders know and understand what is expected of them
- identify, manage and promote jobholders’ development needs
- evaluate and recognise performance fairly and objectively” (Provincial Public Service Summit 2014).

A precondition for effective performance management is good accountability frameworks. A proper management structure requires the alignment of authority and accountability. The NDP found a total lack of a coherent accountability frameworks to test the effectiveness of the PMDS against its objectives. No evaluation has been undertaken to test the effectiveness of the PMDS against its objectives. However, the key question that should be asked in this regard is: To what extent does the system improve service delivery and evaluate performance fairly and objectively? (NPC 2013:427).

The NDP distinguishes between two main forms of accountability. Firstly, a hierarchical form, where officers are accountable to their responsible managers. Secondly, a bottom-up formation, where citizens hold public officials directly accountable at the level where services are delivered. The NDP found that both these forms should be strengthened (NPC 2013).

The nature and character of interactions and partnerships in the developmental state is one of its defining attributes. These formations and networks determine the state's capacity to formulate and implement its developmental agenda in a coherent and sustained manner. A developmental network or partnership includes public officials, but could also include people in business, CSOs, NGOs and academia (PSC 2014). This involves both the intra-actions between formal institutions and interactions between state and informal networks. It also refers to both the formal and informal rules that structure human interactions, as well as the formal organisational structures of the state (e.g. the legislature). A pertinent feature of a developmental state is its ability to establish capable institutions that provide the capacity for effective, selective and sustained interventions that could positively alter the development course of the country and its citizens. Because these institutions pursue collective instead of individual goals, the concept of synergistic autonomy best describes the nature and character of developmental institutions and partnerships. The core variables of a developmental state are captured in its organisational and technical capacities. Its core variables are recruitments based on merit, such as educational qualifications, long-term career paths; and strong coordination of Government's programmes and policies (PSC 2017).

Because of its strategic approach, a developmental state is not ideologically committed to any specific policy but adopts policies that enables it to achieve its developmental goals. However, it should be noted that even the best policies will fail in the absence of proficient state institutions. Furthermore, to achieve success, capable state institutions should have purposeful and nationalistic political and administrative leadership that is committed to following a developmentalist agenda. This setting enable institutions steadily formulate and implement policies to transform the structural basis of the economy and society (PSC 2017).

The development of capable and professional government officials is a central element of the development state. Developmental states are characterised by capable, professional officials who are appointed on the basis of merit processes. This also means Government has a leading role to play in keeping the economy competitive and developing knowledge and technology. In short, Government should be able to manage and apply its vast resources to strategic tasks that would enable government to meet the NDP's goals (PSC 2017).

The developmental state has to develop mutually collaborative relationships with societal actors. Such relationships are based on common goals and shared sacrifices. The state has to mobilise society to support the identified common goals. All the above have to fit into an overarching national goal that is based on a country's situational requirements (PSC 2017). In this regard, two secondary questions arise as noted in Chapter One (see section 1.3): "What key elements or variables should these governance networks have to be effective?" and "What deliberate strategies might help improve state capacity to promote development?"

#### **4.4 VARIABLES IMPACTING NETWORK GOVERNANCE WITHIN A DEVELOPMENTAL STATE FRAMEWORK**

To clarify the term "network governance" and to truly understand the meaning of a developmental state, one needs to unravel the connection between the development impact and the structural characteristics of the state – its internal entities and relations to society (Evans 2011:12). The specific type of democracy dominant in a particular government will have an impact on the structure, organisation and the way services are rendered to the public. Therefore, the emphasis is on development. Worldwide, more and more countries are striving to build democratic governance. The challenge is to develop institutions and processes responsive to the needs of ordinary citizens, especially the poor. Governance has a direct impact on the well-being of individuals and public entities, such as trade unions in society (Auriacombe 2011:77). Therefore, "the nature of governance, its legitimacy and the political will to act in the best interest of citizens may either enhance or hinder social/human development in society. In the final instance, development also focuses on the state's capabilities to react efficiently

and effectively to socio-economic issues affecting citizens, especially the poor” (Auriacombe 2011:77).

#### **4.4.1 Democracy as an integral part of the development state**

The developmental state must nurture political freedom. The effectiveness of the developmental state is affected by the extent to which political leadership protects officials from direct political pressure. Political pressure on high-ranking officials in particular could lead them to prioritise their own party agendas and thus undermine collective development. Democracy is therefore an integral part of development. In order to reach its goals, the developmental state must be inherently democratic (PSC 2017:33).

Views about what democracy entails changed significantly over the centuries. Plato (429-347 B.C. in Levine in Hartslielief 2008:51) describes democracy as “a kind of mob rule, almost anarchy; it is licence, not freedom. It makes for indiscipline, lack of respect for tradition, and a ‘lawless, party-coloured commonwealth’. It violates the basic principles of the just State, in which each person and each class has its own special function” (Levine in Hartslielief 2008:51). Aristotle (384-322 B.C.) understands the term democracy as “a perversion” of ‘timocracy’, where all share equally in government because, according to Aristotle, democracy “means the rule of the many, who are perhaps unfit to rule” (Levine in Hartslielief 2008:68).

Mac Pherson (1981 in Hartslielief 2008:77) distinguishes between the following types of democracy:

- Non-liberal democracy: The communist variant.
- Non-liberal democracy: The underdeveloped variant.
- Liberal-democracy as a system of power.

Views about the meaning of democracy vary and its meaning is also interpreted differently by different groups and people. To Lenin “socialism and democracy are indivisible” (Gorbachev 1988 in Hartslielief 2008:37). According to Lenin, the working masses come to power by gaining democratic freedom. Gorbachev affirms Lenin’s

view by stating that: “More socialism means more democracy, openness and collectivism in everyday life, more culture and humanism in production, social and personal relations among people, and more dignity and self-respect for the individual” (Gorbachev 1988 in Hartslielief 2008:37).

In the Western world the word democracy is more or less a combination of significant individual freedom, “with a fair approximation to majority rule” (MacPherson in Hartslielief 2008:83). Fox and Meyer (1995:35) describe democracy as “a political system in which decision-making power is widely shared among members of society”.

This section does not intend to discuss these different views about what the concept of democracy entails. What is important to realise is that the meaning of the term democracy has changed more than once and in different directions. It also means different things in the context of different government systems, such as capitalism and socialism.

Democracy is the first prerequisite for good developmental governance. State capacity is thus a function of both the political and governance institutions of a state. If the leadership is not developmental and partnership focused, the best bureaucracies will only make a small difference in the outcomes. “There is therefore an interconnection between economic freedom and political freedom” (PSC 2017:8).

In order to strengthen the state’s capacity to adhere to democratic ideals and to deliver required services, excellence is needed in electoral (participation), legislative (policy) and judicial (rule of law) systems, as well as in public administration (NPC n.d.:27). The developmental state’s emphasis on effectiveness is in contrast to NPM, which emphasised “narrow” efficiency.

To understand the implications of democracy in the current South African government paradigm, a brief discussion of this system is required. “Democracy refers to majority-rule, or rule by many. In contrast to rule by one or a clique, a democratic system is ruled by society. In contemporary society, it implies rule by representatives of the citizens (the people), or more particularly the electorate. The word ‘democracy’ is of Greek origin and means *demos* (people) and *kratia* (rule or authority)” (Hartslielief

2008:78). Hence, the term refers to people's rule. Due to the large number of people living in contemporary states, and even in municipalities, it is impossible for everyone to participate directly in ruling (governing). Therefore, representatives are elected to rule on behalf of a particular society. Such elected members act as the legislature, or the council in the case of a municipality.

The word "government is also of Greek origin – *gubernare* means 'to steer', particularly referring to steering a boat. In the current context it implies that a group (Cabinet, provincial executive council, or municipal council) has to steer the body of officials in a particular direction" (Hartlief 2008:78). In this regard, it should be emphasised that a municipal council performs both legislative and executive functions (cf. section 151(2), Constitution of 1996 and section 4 (1) (b) of the Municipal Systems Act 32 of 2000). This is achieved *inter alia* by:

- regularly reviewing, prioritising and meeting the community's needs;
- providing the mechanisms required to perform the functions to achieve the stated objectives; and
- ensuring that the activities performed by officials succeed in achieving the stated objectives (see section 19 of the Municipal Structures Act of 1998).

To govern does not imply that the governing body should become involved in the rowing of the boat (the executive actions). Instead, it requires providing guidance and setting the objectives to be achieved, while simultaneously ensuring that the needs are satisfied – that the council's objectives are indeed reached in accordance with the requirements of section 152(1) of the Constitution of 1996.

There are various mechanisms available to obtain and maintain democracy. These will be discussed in more detail. However, at this stage, it should already be emphasised that it is often easier to introduce a democratic government than to maintain it. This is primarily due to the fact that human beings favour the acquisition of authority, but are often reluctant to relinquish it. Therefore, it is important to ensure that the following two cornerstones of democracy are honoured (cf. section 159 of the Constitution of 1996):

- Regular free and fair elections should be held to afford a community (or society) the opportunity to express their choice on who should govern them.
- There must be accountability. The governing body must be required to give the electorate reasons for their actions (or inactions) and allow a community to express an opinion on their governing ability.

The NPM, in terms of a “good governance paradigm”, places a greater emphasis on efficiency and processes than on effectiveness and development outcomes. Consequently, the NPM approach emphasises procedures and detailed laws, which could hamper the developmental state. The PSC (2017) states that regulatory policies and laws could put public service officials in straightjackets. This is not what the development state needs because its procedures and regulations have to be broad enough to incorporate partnerships and make decisions for economic development as the need dictates.

In principle, South Africa’s parliamentary democracy, combined with freedom of expression, permits citizens to express their voice. Theoretically, this makes it possible for citizens to participate in political processes and influence policy and programme development. However, with the emphasis on centralised planning on a national level, provincial and local government are reduced to “delivery” agencies, rather than as representative government sectors that are accountable to citizens (Auriacombe 2011:56).

#### **4.4.2 Leadership of the state**

The PSC (2017) states that the effectiveness of the public governance system depends on “*a symbiotic relationship between the administrative leadership and political leadership. This, among others, means that the former sets the broad development agenda (defines what constitutes developmentalism) and the latter devises and deploys the policy tools toward its attainment. Thus, political leaders reigned while administrative leaders ruled*”.



Public governance needs the organisational capacity and know-how to ensure effective and efficient structures and systems. To realise set goals, there is a need for cohesion and the ability to translate the broad objectives of all tiers of the public government sector. These duties require an emphasis on the state's resources and the ability to budget, so that programmes and networks operate within the governance system. Furthermore, the required human capacity should be made accessible, while networks should be formed between different government departments and civil society to facilitate cohesion between programmes and projects.

#### **4.4.3 Educated, professional and skilled office-bearers**

Educated, professional and skilled office bearers play a key role in the developmental state. As such, recruitment and appointment processes in the public service should be based on educational qualifications. Moreover, public servants should follow a career path and promotions should be merit based.

The inability to place professionally trained employees in the right public-sector positions continues to pose a serious threat to the developmental state. While 84% of departments had skills development plans in 2010, less than half (48%) was based on a thorough analysis of present skills. Moreover, only 12% had an impact on service delivery (PSC 2017). NPC diagnostics for 2013 indicate that little has improved (NPC 2013).

#### **4.4.4 Governance networks**

According to Edigheji (2005:9), a developmental state not only embodies the principles of democracy and strong leadership, but also citizen participation in development and governance processes. As a representative and participatory democracy, "*Networking with civil society is based on close cooperation, coordination and partnerships. Effective partnerships consist of shared roles, responsibilities and decision-making powers*" (Edigheji 2005:9). Therefore, the term "partnership" implies effective participation and close involvement. Building trust through collaboration is a common theme in network governance literature. Notably, there is no dominant stakeholder in a partnership and partners collaborate and complement each other.

Participation is said to have several functions in a developmental state. Firstly, the education function could enhance citizens' civic skills, as they become more knowledgeable when participating in public decision-making. A second function of participatory democracy is that integration could contribute to citizens' sense of community. This may contribute to a sense of responsibility and a vested interest in public decisions. Thirdly, participation helps legitimise decisions and produce participative protocol or rules (Michels and De Graaf 2010:5)

Asia's success story clearly shows that state-public relations need to be integrated with consultative mechanisms like networks. This enables state officials and non-state actors to share information, build agreements, negotiate development objectives and develop policies and programmes (PSC 2017). These networks are channels that enable the state to pursue inputs from the public and solicit the consensus and support of non-state partners. On the other hand, these networks could serve as mechanisms to promote accountability among government officials to reach mutual national goals. Furthermore, the participation of non-state stakeholders in policy and programme development processes legitimise the government's development plan (PSC 2017). Both the state and private sector is responsible for creating wealth (PSC 2017). Therefore, the developmental state should develop and sustain co-operative relationships with social and economic partners. Therefore, it is not a "struggle over the distribution of wealth and private accumulation rather than the creation of commonwealth" (Edigheji 2005:8).

#### **4.4.5 Coordination of participatory mechanisms**

Both government officials and the public should realise that they cannot solve development-related challenges singlehandedly, and network partners can only achieve individual goals through mutual cooperation. According to the Municipal Systems Act 32 of 2000 and the Municipal Structures Act 117 of 1998, all municipalities in South Africa should develop an Integrated Development Plan (IDP) in consultation with, and with the full participation of, local communities and stakeholders. Therefore, each municipality is responsible for ensuring participation with local communities including traditional leaders in network governance structures.

As noted before experience has proven that citizen and community collaboration is an essential part of effective and accountable governance.

Much has been written about the legal and policy arrangements for citizens' participation in different countries around the world. "One way of achieving successful and lasting models for citizen participation is the establishment of structured and institutionalised frameworks for participatory local governance" (DPLG and (German Organisation for Technical Cooperation (GTZ) 2005 in Auriacombe 2011:89). This is one of the main trademarks of the developmental state (PSC 2017).

The IDP is intended to be the main mechanism for coordination between the state and CSOs. this platform is the ideal environment set for participatory development planning and budgeting, as well as service provision.

#### **4.4.6 Accountability**

Accountability is a fundamental requirement for good governance. This means that all tiers of public governance are required to report, explain and take responsibility for the consequences of their decisions made on behalf of citizens. Accountability breeds trust among citizens and cooperation between the public and the state. Nonetheless, implementing these frameworks to improve citizen well-being remains a serious challenge (PSC 2017). Weak accountability systems underscore the failure of effective service delivery.

#### **4.4.7 Transparency**

Ordinary citizens should follow and comprehend the decision making processes of public governance. This will enable the public to clearly understand how and why decisions were made. To accomplish this, citizens should have reasonable access to all material that is in the public's interest. Having access to information will allow the public to participate actively in establishing policies and programmes that that are in their best interest. Theoretically, transparency and protecting human rights go hand in hand. In practice, citizens can question any administrative action that might be harmful to them through written objections.

#### **4.4.8 Rule of law**

Good governance follows the rule of law. As such, decisions are made in accordance with relevant legislation, policies and regulations. As South Africa is a constitutional democracy, the country is governed by the principles of the Constitution of 1996. While the Constitution is the highest ruling authority in the country, the Constitutional Court is the highest court. Established in terms of Section 167 of the Constitution of 1996, its aim is to ensure that the Constitution of the Republic of South Africa of 1996 is honoured in all legal instruments, policies and strategies (PSC 2017).

Being a constitutional democracy means that electoral (participation) and legislative systems (policies), as well as access to justice (rule of law) are all in place. The principles of the South African democracy are institutionalised and entrenched in a comprehensive statutory and regulatory framework. This framework is a mechanism to facilitate the democratisation of public service delivery (White Paper on Transforming Public Service Delivery, 1997). According to Muthien (2013:2), “We have a functioning judicial system, legislature, state bureaucracy and executive. Moreover, we have pockets of excellence in terms of institutions, people and departments”.

Among others, this category focuses on the extent to which the judicial process or courts are subject to interference or distortion by interest groups. Safety and the rule of law also take into account transparency and corruption in the public sector, safety of the person, violent crimes and government involvement in armed conflict. The Index ranked South Africa 7th and Mauritius 1st in the safety and rule of law category. South Africa’s poor score for personal safety is attributed to its low grade for safety and rule of law ([www.moibrahimfoundation.org](http://www.moibrahimfoundation.org)).

#### **4.4.9 Responsive public servants**

All tiers of public governance should always try to serve the needs of citizens and the community in the most responsible way possible. As noted before in the chapter, the *Batho Pele* values and principles were introduced to ensure that public servants on all public service levels are more responsive to the needs of the public.

In 1997 the Department of Public Service and Administration (DPSA) published the White Paper on Transforming Public Service Delivery, 1997 that outlined the eight principles for service delivery, popularly known as the *Batho Pele* principles (White Paper on Transforming Public Service Delivery, 1997). *Batho Pele* literally means “people first”, which is Government’s commitment to serving people and putting the community first. These principles discussed briefly are:

- **Consultation** - True to the spirit of a participative democracy, this principle requires that citizens/consumers be consulted on the level and quality of the public services they receive and on matters that affect them. The *White Paper on Local Government* (1998:Section B) concurs and states that municipalities have an obligation to involve local citizens in municipal matters, such as planning, policy-making and development programmes; thus building local democracy.
- **Service Standards** - Citizens have to be made aware of the level and quality of service they receive.
- **Access** - All citizens should have equal access to services and will not be discriminated against on any ground. Section 9 (1) of the *Constitution of the Republic of South Africa of 1996* states that no organ of state may unfairly discriminate directly or indirectly against anyone on grounds such as race, gender, sex, pregnancy, marital status, ethnic or social origin, colour, sexual orientation, age, disability, religion, conscience, belief, culture, language and birth.
- **Courtesy** - Public officials should behave in a polite and altruistic manner when they interact with and provide services to the public. This courteous behaviour can translate into positive or friendly behaviour when greeting a customer.
- **Information** - Modern society is often referred to as the information economy. Information is one of the most vital resources of any institution. Proper decision-making should be based on accurate information. Ultimately, citizens are entitled to accurate information regarding services, standards and performances.
- **Openness and transparency in all operations** - Should any municipal official/employee be asked to report on any action or decision, they should be able to account for their actions.
- **Redress** - The principle of redress is of paramount importance for all government

institutions, including municipalities, as it will help correct past service delivery imbalances. The former Apartheid policy was discriminatory in nature and sought to serve and develop particular groups only, namely the white population. Predominantly black and rural areas remain under-serviced and in urgent need of development. The latter should be given priority according to the principle of redress.

- **Value for money** - Municipalities should strive to provide the best service with the least amount of resources. Thus, municipalities should endeavour to be effective and efficient at the same time. Resources, particularly financial resources, are often scarce and should be used sparingly.

#### **4.4.10 Impartial and inclusive service delivery**

The public governance sector should to the best of their ability serve the interests of all citizens equally. As such, all citizens', particularly the most vulnerable, should have an opportunity to participate in decision making processes.

An organisational structure that is organised in a specific way to enable it to deliver the services is necessary to deliver services to society. The Republic of South Africa consists of nine provinces (section 103 (1) of the Constitution of 1996) and three distinctive interdependent and interrelated spheres of Government, the National, Provincial and Local Government.

The functional areas of concurrent national and provincial competence, such as agriculture, education and housing, are set out in Schedule 4 of the Constitution. The National Government delivers services relating to protection, education, health and defence. The functional areas of exclusive provincial legislative competence are set out in Schedule 5 of the Constitution. This includes education, health, ambulance services, social services, provincial cultural matters and abattoirs. Parts B of both Schedules 4 and 5 list matters that municipalities have the authority to legislate, such as the use of water, refuse removal, supply of electricity, building regulations, fire fighting services, traffic, parking and municipal abattoirs.

For Government to deliver the services in terms of the constitutional requirements (section 195 (1) (d)), it has to set up the necessary structures. In terms of section 40 (1) of the Constitution, legislative and executive authorities are divided into National Government, Provincial Governments (section 103 (1)) and Local Government for the country (section 151 (1)). This is known as the three spheres of Government.

Specific, and in some instances, overlapping legislative authority is allocated to each of the three spheres. The legislative competence and matters about which the three spheres of Government have the authority to legislate imply that they have the responsibility to deliver certain services to the inhabitants of the State. In order to deliver services to communities and markets, government institutions must have the necessary resources that they procure from society and market. This includes, for example, money generated through taxes and equipment. Against this, communities and markets depend on government institutions for services, such as business licences, electricity, protection and various other services that they cannot function without. As a result, one depends on the other. This state of affairs automatically cultivates a relationship among the three sectors – State, communities and market (discussed later in the chapter).

Both the public and the private sectors deliver different types of services. According to Du Toit and Van der Waldt (1999:8), there are three distinctive categories of service delivery institutions. They are government institutions, private organisations and non-governmental organisations (NGOs). Community-based organisations (CBOs) fall in the same category as NGOs, as they all deliver services to the people.

The ultimate aim of these institutions differs. In general, government institutions aim to improve citizens' general welfare and provide services related to that aim. Private organisations sell services and products to make a profit on their investments. basically, NGOs and CBOs also aim to improve people's lives, such as supporting unemployed and poor people by providing food and shelter.

The composite activities that are carried out to provide services to a country's inhabitants probably originated centuries ago. According to Du Toit and Van der Waldt

(1999:22), there is ample proof that even B.C., people were prepared to subject themselves to a form of governance in exchange for a life in an orderly community and safe environment. In exchange for their submissiveness, they, in turn, expect the governing body to provide some basic services, such as protection. Hattingh (in Du Toit and Van der Waldt 1999:22) confirms the statement, by declaring that communities were willing to conclude an agreement with a governing body to ensure an orderly existence. Originally, the services were collective and basic, for example defending community members from outside aggression.

Over time, and due developments and a more sophisticated civilisation, people's needs grow and change. Population growth, urban development and development in general leads to an escalation of needs. This makes it increasingly difficult for people to satisfy all their own needs – needs they used to fulfil themselves (Du Toit and Van der Waldt 1999:24). To fulfil the growing and changing needs of their citizens, governing institutions became increasingly more responsible for delivering services. To comply with the trend of a growing demand for more and better services, these institutions became dependent on improved public administration and management processes (activities).

The efficient, effective and economically sound provision of services depends on how successfully government institutions executed their functions. Before a “government institution physically renders a service to society, a variety of functions are carried out” (Du Toit and van der Waldt 1999:72). Before there is water in the tap, actions must have been taken. This includes planning, preparing a business plan and drawing up a budget or the laying of pipelines. According to Du Toit and Van der Waldt (1999:73), a service delivered is the result of the execution of numerous functions.

Staff members from auxiliary units carry out certain functions in order to support staff in line units. An institution's human resource (HR) section must carry out various functions to get the institution functional before clients can be served. Suitable people such as clerks, technicians, engineers and managers have to be appointed. This, in turn, also requires the execution of a range of functions, such as recruiting and selecting suitable staff. By providing the different categories of staff, the auxiliary (supporting) units, such



as the HR division, provides services to the line functionaries, such as engineers and clerks.

#### **4.4.11 Ownership**

Internationally, decentralisation of programme planning, or participatory planning, has opened the path to democracy and the development of sustainable systems and processes. However, the importance of ownership is not often discussed in literature (Chirenje, Gilibab and Musambac 2013). While budgeting and programme planning usually falls within the state's domain, citizen ownership is reduced to that of programme implementation. "This results in dependency on central planning and discourages local creativity and innovation" (Chirenje *et al.* 2013:10). This is especially the case in African countries where community participation is limited. Because of this, rural communities are isolated from the resources they should manage and rightfully benefit from (Chirenje *et al.* 2013:10).

#### **4.4.12 Effective and efficient public governance**

Du Toit, Knipe, Van Niekerk, Van der Walldt and Doyle (2002:64) see the concept of governance as "the actions undertaken to improve the general welfare of a society by means of the services delivered". However, this definition does not define what good governance entails. The fact that certain actions are taken and services are delivered does not necessarily mean good governance. The question is therefore, what constitutes good governance?

The meaning of good governance is not easy to explain. "People, communities and societies will probably define it differently. Good governance is in the eye of the beholder. The inhabitants of Sweden, Belgium and Italy will most probably have different ideas about what good governance is than the inhabitants of Ivory Coast in West Africa, Cuba and North Korea. It could therefore be said that the concept of good governance is a relative concept. As a result, it is important to define good governance in the context of public service delivery and the State's role in it" (Molinyane 2012:77).

Within the context of public service delivery and the State's role in it, Gildenhuis and Knipe (2000:91) note that good governance is "when government attains its ultimate goal of creating conditions for a good and satisfactory quality of life for each citizen". From this description one could conclude that "good governance refers to a government that actively and purposefully creates an effective political framework conducive to private economic action – stable regimes, the rule of law, efficient state administration adapted to the roles that governments can actually perform, and a strong civil society independent of the state" (Hirst 2000:14). Hirst's definition affirms Gildenhuis and Knipe's definition. In the context of this chapter, it presents a suitable foundation for examining the State's role in public service delivery and its relationships with the community and market.

The "process of governance enables the execution of public administration and management; the processes to ensure that law and order is maintained; that society is protected against crime and aggression from inside and outside the country; and that the welfare of society is enhanced" (Molinyane 2012:79). The Bill of Rights (chapter 2 of the Constitution) guarantees, subject to the exception of section 36 (1), human rights such as equality, dignity, freedom and security of the person, no slavery, freedom of religion, belief, opinion, expression and association. Section 192 (1) (d) of the Constitution states that services must be provided impartially, fairly, equitably and without bias, therefore, the State is constitutionally obliged to deliver these services to its inhabitants. Furthermore, it is bound to good governance. Thus, it could be said that the Bill of Rights and section 19 (1) (d) of the Constitution compel the State to ensure good governance.

According to Reddy (1996:198), "the lack of black trained personnel who could be appointed into the structures of local government needs to be given urgent attention. Reddy goes on to suggest that some training and development programmes should be established". This "argument is currently addressed by the Skills Development Act of 1998, whereby any employer is expected by law to contribute one per cent of its income to the fund. In terms of the Act, the employer must develop a skills development plan to access the percentage that should be granted. It is a fact that the lack of properly trained staff has a number of implications, such as the poor financial management and human resources management (HRM)" (Molinyane 2012:80).

#### **4.4.13 Relationships between State, communities and the market**

Before the relationship between State, communities and the market is discussed, clarity must first be obtained about what exactly is meant, in the context of this dissertation, by the concepts of communities and market.

##### **4.4.13.1 Communities**

An appropriate description of the term 'community' is a "group of people living within a specific geographical area where their needs are met through interdependent relationships" (Fox and Meyer 1995:23). The relationships referred to is the "communities' relations with the State and market (private sector) on whom they depend for services and products" (Molinyane 2012:77).

Communities expect the State to deliver a wide spectrum of services to ensure a satisfactory livelihood, such as safety, water, electricity and protection. To ensure that "communities have a satisfactory quality of life, the State must live and act out the principles contained in the Bill of Rights; comply with normative principles; and ensure that public servants serve the public in ways that comply with the principles of *Batho Pele*" (Molinyane 2012:77).

##### **4.4.13.2 Market**

The *New Oxford Illustrated Dictionary* (1978:1041) defines the concept of market, *inter alia* as "a seat of trade". For the purpose of this dissertation, the term 'market' refers to business; the seat of trade from where the State and society obtain certain products and services, such as bricks to build with, road construction machinery and food. "It is also possible that the market can undertake certain functions that the State accepted responsibility for, such as refuse removal or road construction" (Molinyane 2012:77).

The market expects the State to provide services that will create favourable business conditions. This expectation requires the State "to create an environment in which the market can prosper. An environment in which business can prosper can benefit both

the State and the market. The better the market performs, the more the State will benefit from higher revenue. The more money the State can generate, the more objectives can be achieved which contributes toward a better life for all the State's subjects" (Molinyane 2012:77).

The State regards the market as important" because of the role it plays in society, such as providing products and services to both the State and communities. More recently, the market's role in communities increased because it is providing more and more services and products on behalf of the State, a situation that leads to closer relationships between the market, State and communities" (Molinyane 2012:86).

With regard to the relationships between the State, community and market, two of the characteristics of a state are its recognised boundaries and its responsibility to maintain law and order. This gives a clear indication of the "State's role and relationship with its communities and market within its boundaries. Both the State's inhabitants and market recognise the State's boundaries and its responsibilities to maintain law and order" (Molinyane 2012:87).

Maintaining law and order implies that "governments also have the responsibility to deliver services to their communities and the market. If every individual and organisation has to generate everything by themselves to sustain a livelihood, the result could be chaos and anarchy because of the scarcity and or proximity of supplies and resources. In contemporary societies no individual or organisation can provide for all their requirements, such as water, roads, protection and safety, it needs to sustain livelihood and experience a good quality of life. To maintain law and order, the State is responsible for regulative measures and the delivery of certain services. This is indicative of mutually interdependent relationships between the state, its society (communities) and the market" (Molinyane 2012:97).

Another characteristic of a State is its hierarchy of Government institutions that are capable of maintaining law and order and rendering of services to the inhabitants. The hierarchy of Government institutions is responsible for executing multiple functions (processes) to ensure that inhabitants are protected, to create an environment that is conducive to service delivery and to deliver these services to society. This is done with

the co-operation of various community and market organisations. Government institutions need to consult with citizens and the market on issues that affect them in order to gain clarity on their respective needs. Furthermore, these institutions need clarity on citizens and the market's ability and willingness to contribute to the country's wealth. Ultimately, this will help government institutions to execute processes and to deliver quality services that will benefit the country's inhabitants (Molinyane 2012:97).

Once a Government knows what issues affect citizens and the market, what their needs are and the problems they are experiencing, decisions could be made about how to deal with those issues in a democratic way. Public governance should make the best use of the available human, social, capital, and time resources to ensure the best possible results for citizens. Therefore, public service officials should give concrete effect to these laws through administratively originated orders, ordinances, rules, policies and programmes and administrative guidance (efficiency), while still giving priority to effectiveness. Therefore, within a developmental state framework, the processes matter as much as the development outcomes (PSC 2017). To describe this, UNCTAD (2009) has devised this concept of "good development governance".

#### **4.4.14 Capability to evaluate and technical innovation**

The developmental state should have the capability to gather high-quality, timely and reliable data to monitor development and progress. This includes developing performance criteria, adopting new technology and innovation, as well as meeting set criteria and targets (PSC 2017). The above highlights that the state should be the leader in driving all sectors of society towards implementing a common developmental agenda.

Therefore, the developmental state requires strong institutions that can mobilise society and help government respond to a complex and ever-changing environment. This also requires the state to diagnose weaknesses in institutional and managerial processes and propose innovative solutions. The following variables should be considered to bolster the governance network capacity of the South African Government.

- Enhancing intergovernmental support and capacity to lead.
- Developing and implementing appropriate policies and regulatory mechanisms.
- Promoting the integration of government development programmes.
- Building a relationship of trust and consensus between state and private sectors.
- Achieving social cohesion by creating enabling mechanisms.
- Addressing weaknesses in accountability systems.
- Dealing with capacity- and skills-related constraints.
- Empowering citizens to fully participate in reconstruction and development.
- Educating citizens in democratic participation and network governance.
- Mobilising the resources needed.
- Monitoring and evaluating cooperation among governance stakeholders to improve service delivery.
- Working towards managerial innovation in the public sector (CoGTA 2009 in Auriacombe 2011 and PSC 2017).

#### **4.4.15 Decentralisation**

Decentralisation is when there is a “clear movement towards delegated state functions away from central government control” (Greyling 2015:99). “Some functions are delegated to subordinate government levels, while other powers and functions are horizontally transferred and outsourced to private sector enterprises and community agencies...The trend characterises both developed and developing countries” (Greyling 2015:99). In South Africa, particularly, the trend away from a state-led, interventionist approach to development, to a focus on cooperative governance, is evident in the Constitution, where independent functions and powers are transferred to the local government sphere (Simon 2003 in Rabie 2011:200). “This type of planning may be more challenging to implement, but holds out the prospect of more sensitive and responsive local environments where individual circumstances, rather than national blueprints, determine outcomes” (Simon 2003 in Rabie 2011:200).

#### **4.4.16 Centralisation**

On the other hand centralisation “occurs when an organisation’s decisions are primarily made by a small group of individuals at the top of its organisation while it delegates little or no authority to the lower levels of its organisation. A centralised organisation can be described according to Max Weber as bureaucracy” (Auriacombe 2011:1).

Auriacombe (2011:1) further states that in the system of government of South Africa national government’s decision-making power may be centralised in Parliament, but certain powers are delegated to provincial and local spheres.

#### **4.4.17 Governmental relations**

Governmental relations are influenced by the horizontal and vertical division of powers and functions (Doyle, Naude and Kalema 2007:8). As the responsibilities of government increased and the number of government institutions expanded to carry out the new responsibilities, the regulations controlling orderly relations between government bodies became more complex and comprehensive (Doyle, Naude and Kalema 2007:9).

The classification of governmental relations in Doyle, Naude and Kalema (2007:18-26) is as follows: however informally, it is people who are needed to create these relationships and maintain them, in terms of the provisions set out by legislature; governmental relations can be positively or negatively affected by the actions and behaviour of people (e.g. it can lead to the establishment of an informal organisation and channels):

- “Intergovernmental relations (between governments – vertical, that is in different spheres and horizontal, that is in the same sphere – as specified in the Constitution and other legislation).
- Intra-governmental relations (within government institutions).
- Extra governmental relations (between the government and the community).
- Interstate or international relations”.

With the focus in this dissertation being more on network relations the following is also important. Relations at the horizontal intergovernmental level differ from vertical

relations in three respects (Hattingh, Levy and Tapscott in Doyle, Naude and Kalema 2007:20):

- “There is no formal concept of power, although power may still be a factor in relations between a smaller and larger body even if only perceived in terms of size.
- There should be no difference in negotiating ability and powers of governmental authorities on the same level of government.
- Although there is still interdependence on the horizontal level, it differs in terms of the resources needed. In vertical relations resources such as policy and finance are relevant, while at the horizontal level resources such as information and physical assistance are more applicable”.

#### **4.5 SUMMARY**

Chapter Four clarified the concept “developmental governance” and contextualised it within the context of South African society. The chapter also provided the reasons for the notion of a developmental state. The variables influencing networking within a good developmental governance framework were discussed in terms of the following aspects: democracy as an integral part of the developmental state, leadership of the state, educated, professional and skilled office-bearers, governance networks, coordination of participatory mechanisms, accountability, transparency, rule of law, responsive public servants, impartial and inclusive service delivery, ownership, effective and efficient public governance, relationships between State, communities and the market, capability to evaluate and technical evaluation, decentralisation, centralisation and governmental relations.

To be effective, citizens need to be empowered to organise themselves to participate in consultative arenas or networks of consultative decision-making. The chapter clearly showed that, due to different interests and capabilities, citizens have organised themselves into various governance networks through the years (Edigheji 2005). If a developmental state is to succeed as a framework for socio-economic development in South Africa, it has to establish capital-based relationships (funds, human and other



resources). It will have to nurture more inclusive, synergetic relationships with NGOs, CSOs and local communities to develop national human capabilities and structures, especially to be empowered to participate meaningfully in the developmental state (PSC 2017).

The concluding chapter will proceed to answer the research questions and provide a synopsis of the chapters. Hereafter key findings will be summarised, limitations will be highlighted, while key implications and contributions were discussed. Lastly, the researcher will make recommendations for further research based on the contextual and conceptual analysis of network governance and the developmental state.



## CHAPTER FIVE

### SYNTHESIS, CONCLUSIONS AND RECOMMENDATIONS

#### 5.1 INTRODUCTION

The concluding chapter will present a synthesis of the chapters and their findings as well as an explanation on how the research questions were answered. Hence, the key findings will be summarised and an explanation will be provided on how the study contributed to the existing body of empirical knowledge. Thirdly, the implications of the findings will be discussed. Finally, recommendations for further research will be presented.

#### 5.2 SYNOPSIS OF THE CHAPTERS, THE RESEARCH QUESTIONS AND STUDY OBJECTIVES

For the purposes of this study, the following primary research question was presented: **Can network governance serve as a mechanism to promote good developmental governance?** Flowing from this, more specific secondary research questions needed to be answered. These are:

- What is the context and nature of network governance in the public services sector?
- What does the discourse and contemporary debates on network governance entail?
- What does the concept of network governance within a developmental framework entail?
- How can the different definitions of network governance be conceptualised and contextualised within a developmental framework?
- What are the dimensions and interactions of network governance?
- What are the goals and principles of network governance?
- What is the theoretical underpinning of network governance?

- Which types of CSOs can be used by the public sector to promote and maintain the developmental state in the South African context?
- What are the developmental variables influencing network governance?
- How should government, civil society and the private sector cooperate to ensure efficient and effective democratic governance?
- What capacity (strategic, organisational and technical) is needed by the public services sector to play its developmental role?
- What key elements or variables should these governance networks have to be effective?
- What deliberate strategies might help improve state capacity to promote development?
- What legislation, policies, strategies, processes, procedures and practices have an impact on the development and functioning of network governance in South Africa?
- How can the public-sector use network governance to fulfil its developmental and service delivery mandate?
- What are the advantages and challenges associated with network governance in a developmental framework?

In order to answer these research questions, the researcher conceptually and contextually analysed network governance in the public sector through a systematic literature study of public governance on a national and international level. As network governance is complex, its characteristics and the variables influencing network governance were discussed from different angles. Secondly, the researcher attempted to provide a deeper understanding of the concept “network governance” by looking at its theoretical development, nature, structure goals, activities, principles, advantages and evolving meaning within public governance, as linked to new developmental thinking within the South African context.

In Chapter One, the researcher formulated the following research objectives:

- To develop the methodological, conceptual, contextual and theoretical framework needed to analyse the concept ‘network governance’.

- To explore the dimensions needed to clarify the concept 'network governance' within the framework of a developmental state.
- To provide an overview of the conceptual, contextual, legislative and theoretical underpinnings to enhance the understanding of the context, meanings, principles and processes of legislation, policies and strategies aligned to network governance.
- To explore, describe and explain the conceptual and contextual variables influencing the dynamics of network governance on a local level;
- To identify related concept(s) to refine our understanding of the concept 'network governance'
- To draw conclusions and make recommendations regarding the development and functioning of network governance policy, structures and strategies to enhance good developmental governance on a local level.

**Chapter One** provided the background and rationale to the problem statement of the study. The primary guiding research question and the secondary research questions and research objectives were provided. The scientific and methodological approach to the study was discussed in terms of the qualitative research approach, the literature review and the conceptual analysis that was applied in the study. The data collection methods was also highlighted and terms that were used frequently in the minor-dissertation were defined. The chapter concluded with an overview of the chapters contained in the minor-dissertation.

**Chapter Two** discussed, network governance in the public sector through a systematic literature study of public governance on a national and international level. The nature of several network governance theories and approaches were discussed. These include interdependence theory, governability theory, institutional theory of normative integration, governmentality theory and governance network theory (GNT). In terms of GNT attention was paid to interdependency of actors, interactions and complexity, institutional features, network management, common ground, trust in governance networks, consensus orientation and finally boundary spanners.

Attention was also paid to other conceptual and contextual variables influencing network governance theory building in order to provide the context to the conceptual clarification and definition of network governance. In this regard, the focus was on governance and meta-governance, the rediscovery of democratic theories, the governance of innovation networks and collaborative innovation and future developments affecting network governance (including governance networks in a mediatised world and risks and uncertainties of governance networks. The chapter conceptualised network governance in order to provide better clarity on the concept. In this regard government-leading network, participatory-governed network and public- private partnership network were highlighted.

**Chapter Three** discussed the different types of national and international partnership arrangements that could be used as developmental mechanisms. These partnership arrangements included all types of CSOs which are all regarded as crucial parts of network governance within a developmental framework. Attention was also given to how these networks could potentially influence government's role and functions. Aspects such as policy-making, service delivery and design, mutual, inter-dependent relationships, trade-off between governance principles and efficiency and democratic accountability are dealt with in this regard. The role of INGOs, NPOs, PPPs and traditional leaders' in development were also explained.

**Chapter Four** conceptualised "developmental governance" and contextualised it within the context of South African society. The chapter also discussed the reasons for the notion of a developmental state. The variables influencing networking within a good developmental governance framework were discussed in terms of the following aspects: democracy as an integral part of the developmental state, leadership of the state, educated, professional and skilled office-bearers, governance networks, coordination of participatory mechanisms, accountability, transparency, rule of law, responsive public servants, impartial and inclusive service delivery, ownership, effective and efficient public governance, relationships between State, communities and the market, capability to evaluate and technical evaluation, decentralisation, centralisation and governmental relations.

### 5.3 SUMMARY OF THE KEY FINDINGS IN THE ABOVE CHAPTERS

This section will contextualise the key findings made from the above chapters in terms of the key units of analysis of this research topic.

#### 5.3.1 Network governance

Public management within network governance was seen as a way for government and citizens to manage public administrative processes in a cooperative manner. Attempts to define network governance revealed that no single theoretical approach can explain the complexity of today's public networks and the governance thereof. A concept and content analysis of the term "network governance shows" that, despite the recent upsurge of interest in network governance in public administration, few authors clearly define the meaning of governance network or network governance. As such, after more than two decades there is no scholarly body of literature on network governance.

Since 1990, network governance has become a popular concept with regard to good governance (Bartelings *et al.* 2017:342). A contextual and conceptual analysis of the concept "network governance" on a national and international scale revealed the theoretical development of the concept, its nature, structure goals, activities, principles, advantages and evolving meaning. In an attempt to unravel the nature of network governance, Klijn and Koppenjan (2012:4) and Torfing and Sørensen (2014:336) identified different institutional approaches to the study of network governance theories, as related to networking in public governance, namely Interdependence Theory, Governability Theory, Institutional Theory, Governmentality Theory and Governance theory. These theories could be seen as the basis for the development of GNT. The theoretical foundation for this view of governance networking lies in the network approach to policy, which has acquired an increasingly prominent position in policy science and public administration.

These issues pose a challenge to developing a coherent future agenda for network governance and the concept of developmental governance. According to Park and

Park (2014:93), a step forward would be to analyse networks as independent variables, rather than dependent variables.

As these paradigms focus on the on the interactive processes between interdependent actors and the complexity of the interaction, they build on a process approach to network governance. Notably, they emphasise the role of reinforced rules, norms, values and cognitive schemes for stabilising, structuring and framing the ongoing interaction in network governance.

Network management strategies and skills within the network governance framework differ from traditional management approaches. Key aspects include initiating and facilitating interactive processes between actors, as well as creating and changing network arrangements to ensure better coordination and cooperation. These key elements help provide insight into the ongoing development of governance networks; develop mutual relationships and maintain mutual understanding; and find interests and goals that support interdependent actions in network governance.

Another key element of network governance is trust and the role it plays in finding common ground, which enhances cooperation, coordination and the effectiveness of network performance. Importantly, trust and trusting relationships in governance networks lead to steady expectations, insight and understanding. Over the years, network research has linked the efficiency of networks to problem solving. In addition to the above central concepts, some new topics relating to network theory have emerged. These topics helped enrich network theory beyond its original roots. For example, governance and meta-governance have increasingly been connected to democratic governance. Subsequently, the concepts “policy networks” and “network management” have been changed to “governance networks” and “network governance”. The main concern regarding the network approach have always been effectiveness and legitimacy.

Linking network theory with literature on innovation, as reflected in the terms “governance of innovation”, “network governance” and “collaborative innovation” is a step in the right direction. Recent literature pinpoints other societal developments expected to have a major impact on governance networks and theory building. These

are governance networks in a mediatised world, where strong leaders communicate strong ideas but are not necessarily able to implement them. According to recent research, negative media attention hampers the performance of networks. Research on how social media influences the development of network governance is in its early years. Despite this, governance networks in a mediatised world will enhance citizens' ability to self-govern (Russel 2007 in Auriacombe 2011:67).

A better understanding of network governance could be gathered by critically looking at the contextual variables, as described by Marcussen and Torfing (2003:7-9). The most important variables include ongoing negotiations include:

- trust;
- a manageable size;
- goal consensus;
- a regulative framework in which bargaining and consensus can take place;
- a clear vision and mission;
- strategy and protocol;
- diverse members with different strengths and abilities;
- collaboration and coordination;
- working towards the common public good effective participation;
- close involvement;
- making a valuable contribution; and
- mutual norms, values and standards (Marcussen and Torfing 2003:7-9).

Governance settings are distinguished on a continuum according to their level of horizontal integration (Lecy *et al.* 2014). Cooperative networks are the least integrated, since they focus only on the exchange of information. Coordination networks are identified by participants aligning their strengths to reach outcomes that they cannot achieve without cooperating with others. On the other side of the continuum is the collaborative network, which operates on the highest level of integration and has true interdependence among partners. This type of network requires the development of a significant level of trust to effectively address complex problems that cannot be addressed successfully by any single actor. As with the concept "governance", the



analysis of network governance shows that networks in the public administration sector focus on governance and service delivery networks and not on policy development (Lecy *et al.* 2014).

Networks can therefore be seen as connections amongst a group of interdependent but operationally independent members, where a meaningful relationship is established within a relatively self-regulatory institutionalised framework that contains regulative, normative and cognitive elements. Network partners bring strategic resources to the table that contribute to a mutual relationship. The development of an interdependent relationship tends to facilitate trust and reciprocity in the governance network. The mechanisms contribute to public resolutions concerning values, visions, plans, standards, regulations and concrete decisions within a particular area (Marcussen and Torfing 2003:7 and Torfing and Sørensen 2014:339).

For the purposes of the study, Torfing's and Sørensen's (2014:334) dimensional definition of governance networks was selected as the most appropriate for the context of this study: *“(1) a relatively stable horizontal articulation of interdependent, but operationally autonomous actors from the public and/or private sector who interact with one another through ongoing negotiations; (3) which take place within a relatively institutionalised framework with regulative, normative, cognitive and imaginary elements; (4) facilitate self-regulation in the shadow of hierarchy (a kind of ‘bounded autonomy’); and (5) contribute to the production of public purpose in the broad sense of public values, visions, plans, standards, regulations and concrete decisions”* .

The above definition of network governance outlines the essence of the term “governance network” (Marcussen and Torfing 2003:9). Governance networks have different functions, such as exchanging knowledge, information and ideas to inform knowledge-based decision-making, developing a common understanding of emerging policy problems, aiming to coordinate participants' actions to prevent the duplication of efforts and facilitating coordination and collaboration (Marcussen and Torfing 2003:9).

Governance networks contribute to the expression of visions, understandings, values and policies valid for, and directed towards, the common good of citizens. The members of the governance network must be stakeholders and demonstrate that they have an interest in the matters at hand. Therefore, they must contribute resources and something of value to other members and the network as a whole. As an important point of departure, members of a governance network should develop a shared vision, mission, strategy, goals and objectives to address specific issues.

Negotiations between stakeholders do not take place in a vacuum but within a relatively institutionalised framework. This framework has a regulative function in that it provides rules, roles and procedures; a normative feature in that it transforms norms, values and standards; and a cognitive element in that it generates concepts and specific knowledge. It also produces identities, ideologies, common hopes and visions to address the issue at hand (Marcussen and Torfing 2003:7). Governance networks always operate in the shadow of public authorities and the state remains a central actor, especially regarding legitimacy and accountability. Furthermore, governance networks are maintained by an administrative body, such as local government, which acts as a key network manager.

The above elements can be placed on a continuum showing the linkage between governance networks, traditional forms of management and NPM in the public sector. Within this framework, crucial democratic issues of structure access, representation, legitimation, equality and transparency in relation to governance networks play a key role. A governance network functions within time-, place- and issue-related boundaries. For example, the network may be more regulated in the beginning than at a later stage after stakeholders have developed a trusting relationship.

According to Reinicke and Deng (2000:9), the essence of a public governance network. *“Combines the voluntary energy and legitimacy of the civil society sector with the financial muscle and interest of the business and the enforcement and the rule-making power and coordination and capacity-building skills of states and international organisations”*. The above changes in governance have led to a range of different modes of governance. Looking at the global society, the following basic network governance forms exist in the public governance sector:

- The Government-leading network form, which is externally governed and has a thin, flat structure, rather than a hierarchy.
- A participatory-governed network, which is simplest and most common mode of governance. It has a flat structure with interdependent relations sustained by each participant. As a participant-shared network, stakeholders work collectively as a network with no separate governance structure. There are no central actors and the size of network governance is small. On the one extreme, participatory-governed networks can be highly decentralised. This makes room for all network members to participate and it therefore makes provision for shared participant governance. This simplest form of network governance is known as self-governance.
- Governance of collective activities are undertaken by stakeholders through formal or informal meetings. The network participants are responsible for managing relationships and operations, as well as external relations (Provan and Kenis 2008:238).
- With public-private collaborative networks, collaboration typically involves all organisations that want to form part of the network and attempts are made to reach decisions through consensus. The points between these extremes discussed above, portray the relationships of actors in a public governance network.

### **5.3.2 Different types of network governance**

Many scholars claim that civil society, as the first tier in a developmental state, could bring about positive change and development, as well as enhance the well-being of citizens. Civil society's role ranges from raising awareness and advocacy, to implementing programmes and monitoring of processes. South Africa has a well-established civil society sector. In South Africa, civil society played a key role in looking

after the needs of the poor and vulnerable after the Anglo Boer War, bringing about democratic change in South Africa, as well as addressing the HIV/AIDS crisis.

Civil society governance networks can be a strong government partner in a developmental state. Civil society is also a preferred partner to the business sector as NGOs are in a better position to possess local knowledge, address rural poverty, understand local needs and priorities and practice consultative management. However, it is important that civil society redefine its role continuously, as circumstances and the settings change.

The literature study in Chapter Two revealed different types of national and international partnership arrangements that could be used as development mechanisms. These partnership arrangements include all types of CSOs, namely INGOs, local NGOs; CBOs, PPPs and traditional leaders, which are all regarded as crucial parts of network governance although the types, roles and management of partnerships will differ, depending on whether they were developed within the NPM paradigm or within the developmental state.

There is overwhelming agreement that if the voluntary sector is to hold governments and business accountable, it needs to ensure its own legitimacy, openness and transparency. NPOs should be accountable to a wide range of stakeholders, namely to the people whose rights they seek to protect and advance; to their own members, supporters and staff; to those who contribute finance, goods or services; to both governmental and non-governmental partner institutions; to regulatory bodies; to those whose policies, programmes or behaviour they wish to influence; and, more broadly, to the media and general public. They should be able to demonstrate a democratic structure, participative decision-making and non-partisan approach if they claim legitimacy on political grounds.

International experience shows that the most effective local governments are the ones that engage with civil society, are open, accessible and active, with civic voluntarism thoroughly intertwined with their governance activities. Successful relations between communities and local government can only be built when civil society development is actively encouraged. The challenge lies in how to promote involvement and the style

of government engagement. In some instances, civil society has challenged government by finding creative solutions to problems in areas where government has failed.

Governments should help strengthen CSOs and not limit their operations with unnecessary red-tape, legislation and regulations. They can mobilise resources for the community by providing a bridge between the government and the donor community. Furthermore, CSOs should be strengthened since they significantly contribute towards both the substance and process of democracy. The democratic process is bolstered by CSOs' watchdog function. This includes monitoring electoral procedures (voter registration, campaign financing and voter education) and parliamentary procedures (reviewing parliamentary budgets. One danger is that, as civil society performs a crucial service delivery function, governments may take advantage of this and fail to assume their own responsibilities. As such, civil society should not become a parallel or new type of public service.

Networking with civil society is premised on close cooperation, coordination and partnerships. Effective partnerships consist of shared roles, responsibilities and decision making powers, from formulating problems to designing solutions for challenges relating to sustainable development. As such, the term "partnership" to encapsulate effective participation and close involvement. There should be no dominant role-player in a partnership and partners should rather complement each other to ensure the best possible results.

Based on international experience, several best practices have been identified that enable CSOs to fulfil their roles as development actors. In addition to these good practices, several sectoral accountability frameworks have been designed to govern CSO development practices. The common aims of global frameworks are to offer guidance and improve the quality of INGO and CSO development practices in various spheres of humanitarian and development activity. This is primarily done through voluntary recognition of standards, ongoing and intensive training and learning processes, peer review and reporting mechanisms.

### 5.3.3 The role of network governance in development

One of the reasons for the increasing interest in complex adaptive systems is that there has been a reinterpretation of the role of “policy-making” and “service delivery” in the public domain. Policy-making is now seen as the negotiated outcome of many interacting policy systems and partners.

The management and delivery of services are no longer the preserve of professional and managerial staff in government departments. Some of these processes are now typically outsourced to private companies or NGOs. The role of the user has also been reconsidered. In many cases, citizens as customers play a much more powerful role in shaping the outcomes of public services than the specific service professionals with whom users interface.

The concept of “co-production” provides a different perspective to the movement towards “seamless” and “joined-up” services. Where users and other citizens play a key role in defining and delivering services, it is pointless for agencies to work together unless they join hands with the co-producers of services. This is the only way to champion the “holistic” welfare of users and other citizens where decisions are made on policy and service delivery systems (Perri *et al.* 2002). Service users and public officials should develop a mutual and inter-dependent relationship, where both parties take risks. Citizens as users should trust the advice and support of public officials, while officials should allow the service user to make a range of input to key decisions (Barnes *et al.* 1999).

A trade-off between governance principles and efficiency are sometimes needed. Where such trade-offs are necessary, the traditional “constitutionalist” approach with a system of checks and balances should be implemented. Here, multiple stakeholders monitor the effects of trade-offs and negotiate changes based on their percentage of power. All governance principles are important, but it may not be possible to achieve all of them simultaneously.

Even more problematic are other principles like value-for-money, which are not governance principles but may be politically important to public institutions. NPM is underscored by efficient and effective public service, regardless of the governance principles which apply. In this sense, they transcend the hierarchy or network modes of governance.

Within specific contexts, the application of governance principles could hamper operational efficiency. For example, full stakeholder involvement could lead to higher costs, as well as delays in decision-making and implementation (Perri *et al.* 2002). Another key area where networked governance influences Government's role and functions is the debate around its effects on democratic accountability or in multi-level governance. In a networked environment, there is a concern that the fragmentation of accountability may allow some stakeholders to exercise power without appropriate checks and balances.

#### **5.3.4 Benefits of network governance**

The global trend is the development of a growing body of new policies, legislation and regulations in favour of network governance. Notably, network governance allows governments to access wider sources of information, perceptions and potential solutions. As such, it could improve the applicability of the knowledge and enhance the quality of policies and programmes that are developed. In addition, network governance could help build public trust in government, which raises the value of democracy and strengthens public capacity.

When looking at the importance of networking within the developmental state framework, there should be a focus on the value of networking and collaboration to create social capital. In this regard, the value of networking is its ability to exert influence on its social and political environment and to harness resources that could be used for development purposes. The true value of network governance lies in its ability to provide the required information or skills to deal with problems. Network governance could theoretically speaking be beneficial for all stakeholders involved in a network (Muijs and Ainscow 2010).

### 5.3.5 Network governance within a developmental state framework

The literature study in Chapter Two highlighted that political and economic systems had to adapt to society's increased complexity over the past 50 years. Subsequently, governments were no longer seen as dominant actors, as citizens increasingly demanded accountability, transparency and efficiency. This emerging reality is the current status quo among public decision-makers at various levels of government. This, coupled with financial pressure and dwindling resources, demanded a new way of thinking about public administration on an international scale. In the early 1990s, the NPM system played an important role in revising public administration in overseas countries. This notion gave rise to the concepts "governance" and "governance networks" (Colebatch 2014:308), which gave ordinary citizens a voice to demand more efficient public services from government.

The literature review of governance shows that governance has increasingly become a shared responsibility between the state, market and civil society (Lange *et al.* 2013:2). The system of public management that took shape in network governance was seen as a way for government and citizens to manage public administrative processes in a cooperative manner. Since 1990, network governance has increasingly become a popular concept in good governance (Bartelings *et al.* 2017:342).

As a first step, a contextual and conceptual analysis of network governance on a national and international scale revealed the theoretical development of the concept, its nature, structure goals, activities, principles, advantages and evolving meaning. . In an attempt to unravel the nature of network governance, Klijn and Koppenjan (2012:4) and Torfing and Sørensen (2014:336) identified different institutionalist approaches to the study of network governance theories, as related to networking in public governance, namely Interdependence Theory, Governability Theory, Institutional Theory, Governmentality Theory and Governance theory. It became clear that the common factor of these theories is to reach a level of synergy. Therefore, the focus is on various types of relationships between the state and citizens. These include the relationship between the state and interest groups in public policy-making, coordinating problems in public service delivery, as well as solving complex policy issues through horizontal networks created between interdependent actors.



The debate on the developmental challenges of a developmental state places a huge demand on governments to develop and implement innovative action plans to ensure that strategic development objectives are met within a global environment. Seeing it as a potential solution for the continent's developmental challenges, international development agencies are increasingly recommending the developmental state framework for Africa.

The concept and commitment to building a developmental state assumes that direct state interventions are needed for economic growth and increased investment, which leads to high growth rates. In its widest sense, therefore, the development of a developmental state should be grounded in the vision that the state and citizens cooperate on all levels to promote social justice and economic development. A developmental state must simultaneously promote economic growth and address social objectives, such as poverty alleviation, on a practical level. It must be able to steer and support economic development through a strong public service, create an investor-friendly environment, support small business initiatives, manage SOEs efficiently and effectively and drive strategic investment initiatives to stimulate the economy. The state has to play a leading role in ensuring that the economy remains viable and up to date in terms of new technological developments within a globalised society.

When unravelling the term “developmental state”, the emphasis should be on both the ideological outlook and institutional dimensions. A developmental state is defined by both its strategic orientation and the nature and character of its institutional structure. Based on this approach, capable institutions geared towards achieving developmental objectives could be established. On the other hand, it is institutions that shape development outcomes, while the nature and character of a developmental state sets it apart from non-developmental states.

To be successful, a developmental state should have the support of a small political elite, who have the resources and capacity to mobilise government departments, governance networks and civil society to participate in chosen projects. This elite

group should work toward the common good of the country and its citizens. In addition, they should be geared towards sustained economic development and growth. Within this context, the state has the resources, ability and political will to develop and implement legal instruments and policies, while members of the political elite have the required capacity to implement change and development.

An overarching national development goal stems from a developmental approach that enables leaders in public administration to establish the necessary organisational structures and processes to accomplish targets. A nationalist agenda is the key driver of a developmental state. As such, the primary goal of a developmental state is to work towards sustainable growth and improved living standards for its citizens. The aforementioned cannot only be achieved through industrial and economic development.

An important yet neglected element of the developmental state is the inclusive goal of advancing human potential and capabilities. Uplifting millions of people from poverty by implementing a developmental philosophy requires concerted investment in education, health, as well as measures that increase both the income and assets of people. A developmental state is also built on sustainable environmental principles where “green” development plays a key role.

A key feature of a developmental state is its ability to establish capable institutions, and the capacity for effective, selective and sustained interventions that have a positive developmental influence on both the country and its citizens. Partnerships not only include public officials but also people in business, CBOs, NGOs and academia. Because of its strategic approach, a developmental state is not ideologically committed to any specific policy but adopts policies that enable it to achieve its goals. The development of talented, capable and professional government officials is a central component of the development state. Therefore, it is characterised by capable, professional officials that are appointed on the basis of merit.

For the purposes of this research, the term “developmental state” is in line with practical socio-economic goals and direct developmental functions including transforming the economic structure. These issues are related to the need for confidence-building measures of overseas investors and an economic recovery

programme. South Africa can only realise these goals by drawing on the strengths of networks aimed at growing an inclusive economy, developing the potential and abilities of all citizens (especially the poor), enhancing the state's capacity to ensure good governance and providing adequate public services (National Planning Commission (NPC) 2011:375). To clarify the term "network governance" and to truly understand the meaning of a developmental state, one needs to unravel the connection between the development impact and the structural characteristics of the state – its internal entities and relations to society (Evans 2011:12). Therefore, the type of democracy that is dominant in a particular government will have an impact on the structure, organisation and the way services are rendered to the public. The challenge is to develop institutions and processes that are responsive to the needs of ordinary citizens – especially the poor.

Governance has a direct impact on the well-being of individuals and public entities, such as trade unions in society. The nature of governance and its legitimacy, as well as the political will to act in the best interest of citizens, either enhances or hinders social/human development. In the latter instance, development also relates to the state's capacity to act efficiently and effectively to socio-economic issues that affect citizens. The developmental state must nurture political freedom. The effectiveness of the developmental state is affected by the extent to which political leadership protects officials from direct political pressure. Political pressure on high-ranking officials in particular could lead them to prioritise their own party agendas and thus undermine collective development. Democracy is therefore an integral part of development. In order to reach its goals, the developmental state must be inherently democratic (PSC 2017:33). Notably, this is the first prerequisite for good developmental governance. State capacity is therefore a function of the state's political and governance institutions. If leadership is not developmentally focused, partnerships and the best bureaucracies will only make a small difference in the outcomes. To strengthen the state's capacity to adhere to democratic ideals and deliver the needed services, excellence is needed in electoral, legislative and judicial systems, as well as in public administration.

The developmental state's emphasis on effectiveness is in contrast with NPM, which emphasised "narrow" efficiency. The NPM, or "good governance paradigm", focuses

more on efficiency and processes than effectiveness and development outcomes. The NPM approach emphasises procedures and detailed laws which could hamper the developmental state.

More specifically, the following variables influence the establishment and sustainability of the developmental state:

- Positive political leadership that support network governance and the developmental state.
- A democratic and accountable local government.
- Responsiveness to local communities' needs.
- Sustainable service provision to communities.
- Socio-economic development;
- A safe and healthy environment.
- Involvement of communities and community organisations in the local government.
- A culture of public service and accountability amongst its staff.
- Clear responsibilities for management and co-ordination of administrative units and mechanisms.

### **5.3.6 Implications**

In South Africa, democratic service delivery requires adherence to certain public administration principles that is applicable to the country's specific circumstances, demographics and ideologies. Where services are delivered without considering these principles, one cannot refer to democratised service delivery. Therefore, democratising service delivery implies that decisions related to service delivery should be decentralised, accessible and transparent to citizens. These services should be provided after considering the financial, human resource and physical capacity available to local government through municipalities.

The principles and values of public administration and their role in democratising service delivery are enshrined in Section 195 of the Constitution of 1996. Adhering to

these principles is to recognise the Constitution's focus on democratising the government system and service delivery. According to Doyle (2017:2), "Put simply, public participation is at the heart of the work of Parliament". An efficient public service is crucial to enhance the developmental potential and the well-being of its citizens. The broad mandate of the PSC covers all areas of public governance.

The NDP 2030 emphasises the need to maximise human development, management and empowerment to accelerate transformation and service delivery for the benefit of all South African citizens. Furthermore, it expresses the importance of reaching the key objectives of economic growth, poverty eradication, job creation, the reduction of income inequality and improved service delivery.

A developmental state should have the ability to direct and support economic development by building a vibrant public service, creating an investor-friendly environment, supporting small business development, driving strategic investment initiatives and using SOEs effectively. South Africa can only realise its developmental goals by drawing on the strengths of governance networks that are aimed at growing an inclusive economy, developing the potential and abilities of all citizens (especially the poor), enhancing the state's capacity to apply good governance and providing adequate public services.

South African, public administration and governance is characterised by a lack of capacity to deliver basic services to all citizens, especially those most in need. Service delivery within a democratic developmental framework implies that communities should be involved in determining the type and standard of services they require. If South Africa wants to operate as a developmental state, the public service sector, as the executive arm of Government, should build a stronger public governance system that is free from corruption and geared towards better service delivery and development. In order to do so, the state should be structured to provide services that are in line with delegated state power and resources. Furthermore, the public administration should have professional and high-level public servants. Notably, these public servants should be recruited and promoted according to merit, trained according to the ethics of public interest, committed to an effective state and to the rule of law.

Managers should be skilled in supervising public institutions and optimising the use of scarce resources.

The developmental state should be able to unite the public sector, business, labour and civil society in a network-gearred environment to implement its shared programmes according to the rule of law. To realise set goals, there is a need for cohesion and the ability to translate the broad objectives of all tiers of the public government sector, the networks between government and civil society and the different governments into programmes and projects. Recruitment and appointments in the public service is not based primarily on educational qualifications and the promotion of public servants should be merit based and follow a career path. The inability to place professionally trained employees in the public sector positions continues to pose a serious threat to the developmental state and prosperity.

Public governance reform in South Africa has come a long way since 1994. What started as a highly centralised system has developed into a more decentralised government with national departments, provinces and local authorities. Despite all the achievements and policy frameworks that were developed to steer the public service transformation journey, the public sector is struggling to reach the above goals. Numerous scholars have observed that South Africa has no coherent model of public sector reform and public management.

The developmental state requires strong institutions that can mobilise society and help the state respond to a complex and ever-changing environment. This also requires the state to diagnose institutional and managerial weaknesses and propose innovative solutions. The South African Government has progressively devoted more resources to the local sphere of government to ensure that it runs efficiently and in line with constitutional requirements. This includes providing municipal infrastructure grants that amount to billions of rands, establishing inter-governmental structures to ensure both vertical and horizontal communication among, and between, the three spheres of government.

Despite all these efforts, numerous municipalities across the country still demonstrate enormous deficiencies in fulfilling both their constitutional and legislative obligations

(Koma 2010). Therefore, service delivery protests, spearheaded by angry citizens, continue to devastate our country. However, a recent study found that protests only become violent once citizens feel that public officials are ignoring their grievances. In terms of its developmental mandate, strategies relating to service delivery and institutional capacity were needed to ensure excellence within the local sphere of government.

#### **5.4. RECOMMENDATIONS**

Based on the contextual and conceptual analysis of network governance in South African society within a developmental framework, the following recommendations could be made:

- ***Legislation preventing nepotism and corruption relating to tenders in public governance***

All decisions on tenders should be entirely removed from politicians. Only the National Treasury should make final decisions regarding the allocation of tenders. Corrupt acts in public governance should be prosecuted and punished by independent actors.

- ***Investigate the feedback process of citizens to the portfolio committees***

Currently, citizens experience participation and the feedback process of changes in policy and legislation as an “artificial stamp of approval”. To ensure that effective governance networks are developed, citizens should feel that their feedback is regarded as valuable and not as pointless.

- ***Mobilising citizens to participate in a state-set national agenda for the common good of citizens***

This agenda should direct society's resources towards shared programmes. This national agenda should unite the public sector, business, labour and civil society in a network-gearred environment to implement its shared programme according to the rule of law. The focus should be on finding common ground, mutual trust and participation.

- ***The state's leading role in monitoring actions and programmes***

The developmental state must play a leading role in establishing clear, measurable and time-bound objectives for all programmes to monitor their implementation. To enhance citizens' well-being, effective public leadership should be mobilised towards meeting public goals, effective policy-making and implementation and efficient service delivery.

- ***Clear definitions of important concepts***

All-important concepts related to partnerships between the state and citizens should be clearly defined by identifying their boundaries and important properties.

- ***Developing mutual trust and common ground among participants.***

Public governance should spearhead initiatives to find common ground and build consensus. Common ground implies the development and maintenance of mutual understanding, interests and goals that support interdependent actions in joint activity. Notably, it is by way of a promising theoretical framework to explain how participants should develop their mutual relationships.



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