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**ADVANCING INTER-DISCIPLINARY &  
MULTI-DISCIPLINARY STUDIES  
ON SOCIAL SCIENCES**

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The Conference was co-organized by the Faculty of Economic and Management Sciences of the North-West University, South Africa, and Social Sciences Society, Turkey.

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# Preface

These proceedings contain full papers submitted to the 10<sup>th</sup> International Conference on Social Sciences held at the Riverside Sun Hotel in Vanderbijlpark from 3 to 5 September 2019. The conference was organised jointly by the Faculty of Economic and Management Sciences of the North-West University, South Africa, and Social Sciences Society, Turkey.

The conference, which was organised to bring together a wide audience of academics, policymakers and practitioners around clearly circumscribed topics, engaged participants in fruitful debate, and facilitated mutual understanding. It also provided an opportunity for academics and professionals with interdisciplinary/multi-disciplinary interests related to social sciences to meet and interact with individuals in a variety of disciplines.

The conference solicited and attracted research submissions related to all aspects of the Social Sciences. A total of 162 full papers were submitted to the conference. All papers were first subjected to a technical review, which included determining the content similarity index using specialised software. Subsequently, 139 papers adhering to the technical guidelines and with an acceptable similarity index were double-blind peer-reviewed by reviewers drawn from the scientific committee and external experts depending on the subject matter. Following the review process, 129 full paper submissions and 33 Abstracts were accepted for presentation at the conference. Of the papers accepted for presentation at the conference, 54 papers were selected for inclusion in the conference proceedings.

The Organising Committee of the 10<sup>th</sup> International Conference for Social Sciences would like to thank the scientific committee, external reviewers, session chairs and presenters for their contribution to the conference.

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**ICSS 2019-006**

**PRE-SERVICE TEACHERS' CONCERNS ON TEACHING PRACTICUM: A CASE STUDY FROM ZIMBABWE**

**CC Chitumwa**

Vaal University of Technology

Email: [chrisc@vut.ac.za](mailto:chrisc@vut.ac.za)

Orcid ID: 000-0002-9084-8376

**KC Moloji**

Vaal University of Technology

Email: [conniem@vut.ac.za](mailto:conniem@vut.ac.za)

Orcid ID: 0000-0003-1923-725X

**~Abstract~**

*The aim of the study was to investigate the concerns pre-service teachers experienced during teaching practicum and to suggest a framework that could be adopted to address these concerns when they arose. A concurrent mixed-methods approach and a case study design were adopted. Thirty individual, in-depth, semi-structured interviews were conducted to collect qualitative data and analysed thematically. A structured questionnaire was used to elicit the perceptions of 300 participants about teaching practicum. Quantitative data was analysed through descriptive and inferential statistics. It was found that pre-service teachers' concerns include inadequate pedagogical content knowledge, financial constraints and stress from assessment by mentors and supervisors. The study concludes that student teachers' concerns during teaching practicum is important to consider. We recommend that the college must devise ways of minimising the intensity, occurrence and influence of pre-service teachers' concerns during teaching practicum.*

**Keywords:** Pre-service teachers, pedagogical content knowledge, teaching practicum, Zimbabwe

**JEL Classification:** I20

**1. INTRODUCTION**

This study examined the pre-service teachers' concerns regarding teaching practicum through a mixed-methods approach. Pre-service teachers are students enrolled in the initial educator programme, studying to become teachers. In Zimbabwe, primary school teacher trainees are enrolled in the 2-5-2 programme for a three-year teacher training diploma that mainly prepares primary school teachers during distance-training over nine academic terms. The entry requirements are five ordinary level passes (equivalent to matric), which include a pass in both Mathematics and English. In this programme, pre-service teachers spend more time in the field for teaching practicum than at teacher colleges. Samkange (2013) asserts that the 2-5-2 teachers' training programme is founded on the philosophy that pre-service teachers can learn to teach on the job, despite being insufficiently equipped with requisite content knowledge to teach. Gore, Ladwig, Griffiths and Amosa (2007) argue that the fundamental purposes of teacher education are to equip pre-service teachers with deep knowledge of the field being taught, how to teach and be concerned with the social justice implications of their work. During the teaching practicum, pre-service teachers are expected to teach under the guidance of mentors at the different practicing schools, while their lecturers, known as supervisors, occasionally visit them. Notwithstanding the plethora of research on pre-service teachers' concerns, literature is silent on how pre-service teachers' practicum concerns change with time and how they could be supported during teaching practicum. The paucity of studies on pre-service teachers' concerns in these areas in Zimbabwe prompted the researchers to undertake this study. Thus, the aim of the study was to investigate the concerns pre-service teachers experienced during teaching practicum and to suggest a framework that could be adopted to address these concerns when they arose.

## **2. REVIEW OF RELATED LITERATURE**

### **2.1. Pre-service teachers' concerns during teaching practicum**

Teaching practicum is widely recognised as one of the most important components of any teacher education course (Lasauskiene & Rauduvaite,2015). Teaching practicum provides pre-service teachers with opportunities to learn how to teach, and understand the roles, attitudes and behaviours of teachers (Kildan Ibret, Pektaş, Aydınozu, Incikabı, & Recepoglu,2013). Thus, teaching practicum provides pre-service teachers with opportunities to apply theories learnt during training periods on their courses to authentic classroom contexts. For Isac, da Costa, Araujo, Calvo and Albergaria-Almeida (2015), teaching practicum provides pre-service teachers with an opportunity to be assessed and reflect on their teaching practicum. Furthermore, teacher continuous professional development is, according to Iyer and Reese (2013) a collaborative learning process, a community of practice where individuals such as pre-service teachers interact and participate in the construction of knowledge through social negotiation. Despite the benefits to the professional development of pre-service teachers, research has also shown that teaching practicum is fraught with many concerns (Goh & Matthews,2011). For some time, pre-service teachers at the United College of Education (UCE) have been complaining about the curriculum changes that are happening in Zimbabwe, together with the common concerns associated with teaching practicum such as workload and teacher knowledge and high levels of stress (Mapfumo, Chitsiko & Chireshe,2012). Gloria, Faulk and Steinhart (2012) suggest that most pre-service teachers are overwhelmed by heavy workloads, stress, burnout, poor health, disruptive behaviour by learners, changing curricula, lack of support and poor working conditions during teaching practicum. The main research questions that guided this study were: What are pre-service teachers' concerns relating to their teaching practicum at schools? To what extent are pre-service teachers' concerns different across the first, second and third year levels? How can pre-service teachers be supported during these various stages?

Multiple studies have been conducted on pre-service teachers' concerns during teaching practicum. A study on student teachers' concerns during teaching practice undertaken by Malik and Ajmal (2010) identified evaluation anxiety, inadequate pedagogical content knowledge and classroom management skills, and interpersonal relationship conflicts as the major concerns that pre-service teachers experience during teaching practicum. Murray-Harvey, Silins and Saebel, (1999) found that pre-service teachers were concerned about teaching load, lesson planning, time management, enforcing discipline and being observed and assessed by their supervisors during teaching practicum. For Goh and Matthews (2011) pre-service teachers were mainly concerned with their lack of classroom management and instructional skills. More recently, Berg and Smith (2014) identified eight areas of concerns during teaching practicum in Malaysia, UK, and New Zealand. These concerns were conflict with parents, classroom management, subject knowledge, status of teachers in society, government and school policy, false accusations, the poor link between theory and practice, and quality of support offered during teaching practice. Maphosa, Shumba, and Shumba (2007) found unprofessional behaviour displayed by some of the mentors as one of the concerns expressed by pre-service teachers during teaching practicum. For instance, some of the mentors regarded pre-service teachers as relief teachers while they took a back seat without offering any guidance or assistance. Zvavahera (2015) noted that some rural schools failed to attract teachers due to poor accommodation, availability of clean water, unreliable transport systems and a lack of social services like clinics, banks, libraries and shops. The absence of social services like libraries made it difficult for pre-service teachers to study and prepare their lesson plans.

### **2.2. Variation of pre-service teachers' concerns during teaching practicum**

Fuller's (1969) pre-service teachers' concerns model is widely accepted as an example of how pre-service teachers' concerns change with time. The model indicates that pre-service teachers' concerns are three-fold: concerns about self which takes place before practicum; concerns about tasks related to their abilities to impart content knowledge effectively, lesson presentation, classroom management, as well as coping with pressure of being evaluated by supervisors; and concerns about whether their learners benefit from their teaching. On the other hand, Wheatley (2005:750) posits that pre-service teachers' concerns may include ideas such as "It doesn't work", "It works but I can't do it" or "I can't do it, and it doesn't work anyway, so why learn it" especially at the first stage. Additionally, Stair, Warner and Moore (2012:153) purport that pre-service teachers' foremost concern will be on the self as a professional, particularly at the

second stage as suggested by Fuller (1969). Despite other pre-service teacher concerns models been developed and suggested by researchers such as Fuller and Bown (1975), the common factor is that pre-service teachers' concerns change with time in their teaching practicum tenure. These stages of professional development by pre-service teachers should be taken cognisance of by mentors and supervisors who are required to support them during teaching practicum. Relatedly, the teacher concerns' framework developed by one of the authors could be useful in guiding mentors and supervisors in minimising pre-service teachers' concerns. Briefly, the framework is based on the concept of networking and it includes getting global support in addition to peers, mentors and supervisors. The framework also shows that technological advances have created opportunities for pre-service teachers to be networked with global experts in teacher education who could assist them to overcome their concerns.

### **3. METHODOLOGY**

Pragmatism as a paradigm adopted for this study informed the concurrent mixed-methods approach and a case study design. Thirty individual, in-depth, semi-structured interviews were used as a qualitative strategy to collect data. Braun and Clarke's (2006) thematic analysis was used for data analysis. For the quantitative strategy, a structured questionnaire was administered to 300 respondents to elicit their perceptions about teaching practicum. Quantitative data was analysed through descriptive and inferential statistics. Risks of bias in this study were minimised by using mixed methods and utilising respondent validation where interview transcripts were returned to the interviewees for confirmation and amendment. Permission to conduct the research was sought from the senior management of the institution and each participant was required to sign a consent form in which they acknowledged that they were aware of the type of data to be collected and its use in this study.

### **4. RESULTS AND DISCUSSION**

Data from the two approaches were brought together for comparison, interpretation, complementarity and triangulation (Johnson & Onwuegbuzie, 2004). This process enabled the researchers to confirm, cross-validate or corroborate findings from the two unique data sets (Creswell, 2014). The integration also involved in quantifying the qualitative data by counting the occurrence of the themes in the data and comparing it with the quantitative dataset. The integrated results showed that pre-service teachers' concerns during teaching practicum include teacher knowledge, socio-economic factors and assessment anxiety. The qualitative results produced wider categories of concerns than quantitative results. Although 24 interviews were conducted, accounts of a few participants are included for the purpose of this study.

#### **4.1. Theme 1: Teacher knowledge**

The results showed that teacher knowledge is one of the concerns that pre-service teachers experienced during teaching practicum. The participants' accounts point to concerns about teacher knowledge of the subject they were expected to teach. In response to the question: What are pre-service teachers' concerns relating to their teaching practicum at schools in Zimbabwe? Participant 3 said: *It's difficult to teach when the learners are making noise. It will be like I am talking to myself. They won't be listening.* Participant 9 stated: *Sometimes the pupils listen to their teacher and sometimes they don't listen to me. They think that I am a stranger ... So, it will be difficult to manage the classroom.* The data also revealed that pre-service teachers had concerns teaching all the learning areas in the primary school curriculum. For example, Participant 11 said: *I had problems with ... not knowing what to teach. I just had a rough idea; the content was just touching on the surface.* Participant 8 stated: *We were not taught enough about scheming and planning. The syllabus interpretation we were not taught as much as well. So, it was very difficult to scheme for the first time in all the subjects.* These accounts reveal that the foundation of the pre-service teachers in terms of content knowledge and pedagogical content knowledge is insufficient and it undermines the quality experiences during teaching practicum.

#### **4.2. Theme 2: Assessment**

The results showed that pre-service teachers had concerns regarding assessment. In response to the question: What are pre-service teachers' concerns relating to assessment during teaching practicum? Participant 5 lamented: *The environment is quite tense. It's quite tense because at times you don't know whether you are doing it right or you are not doing it right.* Some of the participants expressed their concerns about being observed or assessed during teaching practicum. Participant 19 said: *It was my first*

*time, I was also confused, I was afraid, so I did not do well ... I was not sure about myself, but as time went on, I got used to observation and assessment.* Participant 6 said: *When the lecturers come, you wish they should not have come. That's the truth, although it's a good thing. But the fact is that you will fear to be assessed, but it is one's ticket to a diploma.* These accounts show that it is always stressful for pre-service teachers to be assessed.

### **4.3. Theme 3: Socio-economic factors**

Participants lamented on the state of infrastructure in most schools, overcrowding in classes, the critical shortage of resources, lack of funding for pre-service teachers during teaching practicum, and the model of deployment of pre-service teachers during teaching practicum. In response to the question: Tell me, what are your concerns regarding the socio-economic situation in Zimbabwe relating to your teaching practicum? Participant 6 said: *If it is raining, we share the classroom. Others will be at the back and while others will be on the desks. We must wait for the teacher who is supposed to be in class to finish their teaching first.* Participant 12 indicated: *Not all the students are given material support, so when they have to make learning aids ... some schools don't really bother to try and give the relevant support, especially to student teachers.* The small allowance that student teachers received during teaching practicum was inadequate to cover their living expenses such as accommodation, transport, food, and learning materials used during teaching practicum.

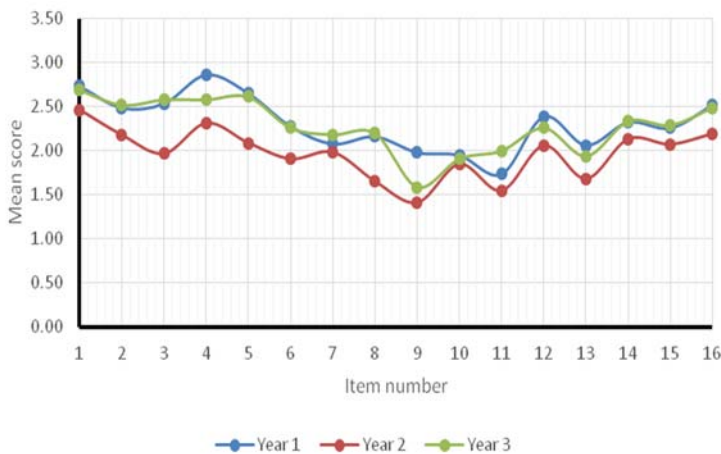
### **4.4. Variation of pre-service teachers' concerns**

The quantitative findings showed that the levels of concerns change with time. The study revealed that pre-service teachers' concerns during teaching practicum changed mainly from personal related concerns to task-related concerns during teaching practicum. The first-year pre-service teachers were mainly concerned about accommodation during teaching practice, deployment, leaving their families, standing in front of the classroom for the first time, managing learners, relationships with mentors they were assigned to, and feelings of inadequacy in teacher knowledge. A majority of the second and third-year pre-service teachers appeared to be at the early teaching stage with only a very small proportion of them have reached the impact stage. First-year pre-service teachers seem to be at the pre-teaching phase, where their concerns were vague and difficult to classify.

Results for the one-way MANOVA (with  $p < 0.05$ ) revealed that there were significant differences among the three-year groups for the three dependent variables: general area concerns (GC), teacher beliefs (TB) and teacher knowledge (TK). The ANOVA test for TB revealed that classroom discipline, instructional ability, assessment competencies, creation and maintenance of a conducive learning environment did not change much during teaching practicum over the three-year period. The test for GC indicated that the level of concerns of fear of failing teaching practice, classroom management and lesson delivery for first-year and third-year groups were the same. The second-year means were significantly lower than the other two-year groups. An ANOVA test for TK which included the mastery of content knowledge and pedagogical knowledge in all the learning areas of the school curriculum. The results indicated that there were significant differences in the statistical means between the first year and the second-year groups and between the first year and third-year groups. The three graphs below show the variation of the GC, TB and TK mean scores for the three-year groups for the 54 items.

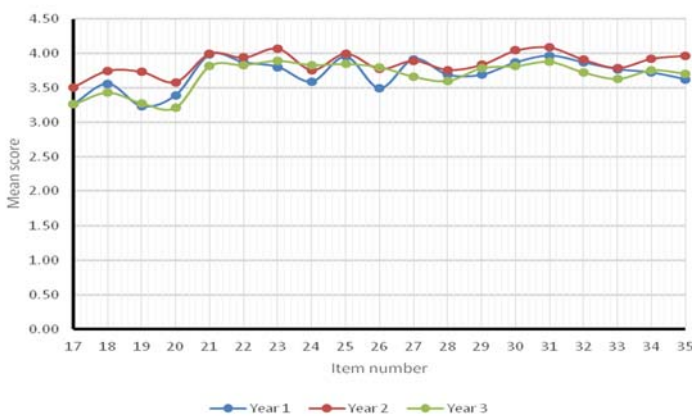


**Graph 1: Variation of mean scores per item for GC**



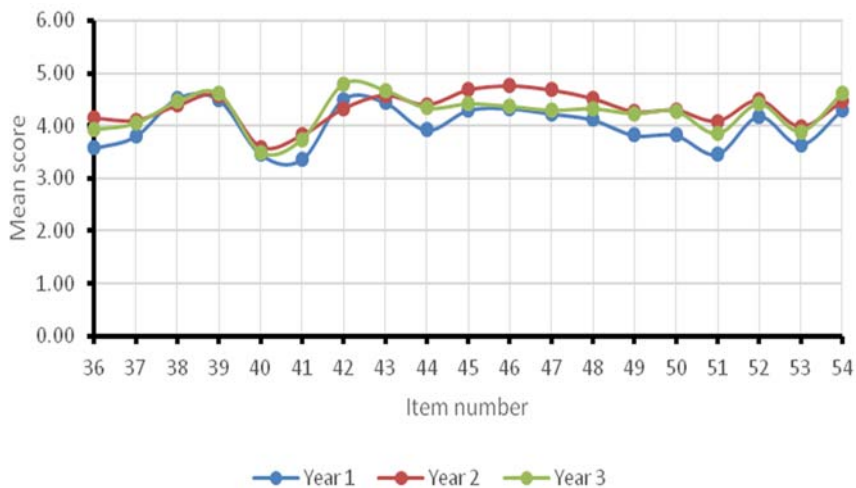
Graph 1 shows the variation of GC means for the first 16 items. The mean scores for the first- and third-year groups were close to each other and higher than the second-year group except for items 7 and 10 where the mean scores of the three groups were almost the same. Item 7 was on the selection of appropriate content for their lesson and item 11 was on marking pupils' work and giving feedback. This meant that the second-year pre-service teachers seem to have a higher sense of self-efficacy than the first year and third year groups. Teacher self-efficacy is a measure of the level of confidence that a teacher has in performing teaching tasks and the belief that they can overcome their teaching practicum concerns.

**Graph 2: Variation of mean scores per item for TB**



Graph 2 shows the variation of the TB means for the three-year groups in 19 of the questionnaire items (17-35). The mean scores are close to each other and they seem to follow the same pattern. The second-year mean scores were slightly higher than the other two groups. This suggests that second-year pre-service teachers were more concerned with classroom discipline, instructional duties, assessment, and the maintenance of a conducive learning environment, more than the other year groups.

**Graph 3: Variation of mean scores per item for TK**



Graph 3 shows the variation of the mean scores for the last 19 items. There was general agreement in the way the mean scores fluctuated for the three groups. However, of interest were items 36, 37, 40, 41, 49, 50, 51, and 53. These items were on the understanding of learner misconceptions, classroom management, content knowledge, pedagogical knowledge, and pedagogical content knowledge of Mathematics and Science. This finding seems to suggest that pre-service teachers' concerns do not change much over the three-year period.

The findings of this study revealed that the main area of concerns that pre-service teachers encountered during teaching practicum, were teacher knowledge, socio-economic factors and assessment. Previous studies have shown that content and pedagogical knowledges are key components of teacher professionalism and professional competence (Kleickmann, Richter, Kunter, Elsner, Besser, Krauss, & Baumert, 2013). Nearly all the pre-service teachers confirmed that they had at least one learning area where they had trouble. This finding corroborates Mudzielwana and Maphosa's (2014) study in which they found that pre-service teachers were anxious about making mistakes, because of their inadequate content knowledge which was also the case in South Africa.

Pre-service teachers expressed concerns regarding the state of inappropriate infrastructure, overcrowding in classes and lack of teaching and learning resources to enable productive teaching and learning encounters which made it difficult for pre-service teachers to produce quality work when teaching under trees or in overcrowded classes with limited resources. Machingambi, Ngwaru and Musingafi (2014) found that the financial condition of Zimbabwean pre-service teachers during teaching practicum was pathetic. Jensen, Sandoval-Hernandez and Knoll (2012) also cite situations where student teachers were deployed to poor schools with little or no teaching and learning resources.

Findings on the theme assessment revealed that the supervisor's presence during assessment created high levels of anxiety among pre-service teachers (Akinsola, 2014) especially in classes where there were disciplinary problems (Kyriacou & Stephens, 1999). The findings show that being assessed is stressful not only for pre-service teachers but even for experienced teachers (Bilali & Tarusha, 2015). Guise (2013) found that mistrust between pre-service teachers and supervisors is one of the causes of assessment anxiety. Ngara, *et al.* (2013) found that supervisors' subjectivity during assessments was an area of concern for pre-service teachers.

The findings from the study revealed that pre-service teachers' concerns change during teaching practicum from personal-related concerns to task-related concerns. This study accepts Fuller's concerns model, but we also concur with Conway and Clark (2003) that the pre-service teachers' concerns do not develop sequentially. The first-year pre-service teachers were mainly concerned with non-teaching issues like accommodation during teaching practice, deployment and leaving their families. These findings are consistent with those of Karimi and Ahmad (2013, p. 198) who found that pre-service teachers' concerns at this stage were blurred and hard to categorise. The majority of the second and third-year pre-service teachers appeared to be at Fuller's (1969) second level of concerns with only a very small proportion of them have reached the third level of concern. The study enriched our understanding of how pre-service

teachers' concerns change during teaching practicum and provided a basis on how pre-service teachers could be supported during teaching practicum.

## 5. CONCLUSION

The study unearthed the concerns of pre-service teachers during the period of teaching practice at the UCE. The aim of the study was to suggest strategies for how conditions for teaching practice could be improved at the college. It was pointed out that three key issues arising from the concerns of pre-service teachers include, teacher knowledge, socio-economic factors and assessment anxiety. The literature gleaned, further shows that the variation of pre-service teachers' concerns across the three-year period illuminates the forms of support from the supervisors, that are needed at every stage of the teaching practicum. The results revealed that the pre-service teachers were insufficiently grounded regarding content knowledge and pedagogical skills. The study concludes that student teachers' concerns during teaching practicum is an important area of research for future development in teacher education. Given the negative impact that pre-service teachers' concerns have on teachers' professional development, we recommend that the college could consult the framework developed by one of the authors to minimise the intensity, occurrence and influence of pre-service teachers' concerns during teaching practicum. Furthermore, we recommend that the Ministry of Primary and Secondary Education strengthens induction programmes in schools given that most of the pre-service teachers graduate without having reached the third level of teachers' concern as suggested by Fuller (1969).

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## POVERTY AS A CONTRIBUTING FACTOR TO ILLEGAL HUNTING OF ANTELOPE IN MALOTI-DRAKENSBERG PARK, KWAZULU-NATAL

**Dlamini, Siyanda**

University of Fort Hare

Email: [sdlamini@ufh.ac.za](mailto:sdlamini@ufh.ac.za)

Orcid ID: <https://orcid.org/0000-0002-1110-8418>

**Schutte, Lindie**

University of KwaZulu-Natal

Email: [lindieschutte17@gmail.com](mailto:lindieschutte17@gmail.com)

### ~Abstract~

*Illegal antelope hunting is a global threat to wildlife, but its secretive and unregulated nature undermines efforts to mitigate its impacts on wildlife and wildlife-based industries. For the purpose of this paper, a mixed methods approach was adopted. The key purpose was to focus on the exploration of the factors that contribute to the illegal hunting of antelope in Maloti-Drakensburg Park. The data for this study were collected in the following four locations in and around the park: Giant's Castle Game Reserve, Lotheni Nature Reserve, Emahlutshini, and Hlatikulu. This paper used a concurrent triangulation design in which different but complementary data was collected on the same topic. In this study, surveys in the form of face-to-face questionnaires were used. Concurrent with this data collection, qualitative interviews explored the feelings and attitudes that residents of the surrounding villages, as well as the staff members from the park, have towards the phenomenon under investigation. The findings demonstrate that poverty is the most common reason for the existence of such illegal hunting in this park and that there is a need for more employment opportunities in the area. This paper ends by recommending methods of education and awareness for the staff and community members on how they can go about reducing the levels of illegal hunting.*

**Key Words:** Illegal hunting; Antelope; Maloti-Drakensburg Park; Factors; Crime

**JEL Classification:** K42

### 1. Introduction

The illegal hunting of wildlife animals has a severe negative impact on a country's economy, wildlife population, and the environment. The extinction of species can have a negative economic effect on a country's tourism industry. A country such as South Africa relies on its wildlife, among other things, to attract tourists and is at great risk of economic hardship if the prevalence of illegal hunting is high. This means that a need exists to reduce the levels of illegal hunting of wildlife animals in South Africa. Hunting wild animals to consume or sell their meat is one of the most intensive and extensive threats to wildlife in African protected areas, with ecological and economic consequences (Lindsey, 2017). Illegal hunting drives declines in wildlife that locally extirpate populations and threaten many species with extinction (Brashares, 2004; Hilborn, 2006; Ripple, 2016; Harrison, 2016). Moreover, hunting pressure and corresponding wildlife declines are typically most severe close to human settlements or reserve boundaries (Henschel, 2011; Lindsey, 2011a; Mgawe, 2012; Koerner, 2016). Where illegal hunting is most intensive, however, negative impacts permeate even large protected areas (Kiffner, 2013; Midlane, 2013). Furthermore, illegal hunting can harm human communities by restricting ecosystem services, wildlife based industries, and sustainable yields of wild meat (Lindsey, 2013).

While most research into the illegal hunting has focused on rhino and elephant, antelope hunting poses a unique set of sociological and economic challenges. Photographic tourism, which depends on intact wildlife communities, can be a social and economic boon (Snyman and Spenceley, 2012). Where the potential for wildlife-based tourism exists, illegal antelope hunting is an inefficient use of wildlife resources (Lindsey, 2015). Too frequently, however, the financial benefits of wildlife-based tourism do not reach impoverished communities near or within protected areas (Mbaiwa, 2005a; Wong, 2013). Consequently,

local households may not receive direct benefits from wildlife other than through hunting (Lindsey, 2013). Although many African countries have laws regulating legal hunting of game species, illegal antelope hunting is pervasive and increasingly commercial (Brashares, 2004; Brown, 2007; Lindsey, 2013; Rentsch and Damon, 2013). Illegal hunting is a particular challenge to wildlife conservation because of its pervasive, unregulated, and secretive nature (Knapp, 2010). In some African countries, perceptions that hunting is a traditional subsistence activity with limited effects on wildlife undermine enforcement of hunting laws (Lindsey, 2013). Improved understanding on the nature and impacts of illegal antelope hunting is essential to guide interventions addressing the issue.

Poverty is often perceived as the root cause of illegal wildlife hunting because poor people hunt illegally to satisfy basic material needs (Mackenzie, 2011; Twinamatsiko, 2014; IUCN, 2015). For example, a study of Bwindi National Park in Uganda showed that those arrested for unauthorized activities in the national park were significantly poorer and more likely to live closer to the national park and farther from trading centers than others (Twinamatsiko, 2014). A recent study on the links between poverty and wildlife crime in Uganda indicated that one of the most effective ways to reduce illegal wildlife hunting is poverty alleviation (Harrison, 2015). Similarly, more effective involvement of the rural poor in both development and conservation projects is advocated (Roe 2008a; Roe, 2013; Sanderson & Redford 2003; Roe 2015). However, poverty is a complex condition, which makes these claims opaque. What form of poverty and poverty alleviation are referred to? Challender and MacMillan (2014) note, poverty is not a singular category, and they draw attention to the importance of relative poverty in driving illegal wildlife hunting. However, in this paper, the researchers go a step further to argue that a much more sophisticated analysis of what constitutes poverty, relative poverty, and inequality are needed to develop a better understanding of what the ultimate drivers of illegal wildlife hunting are.

Hence, the main aim of this study was to ascertain why the illegal hunting of antelope exists in Maloti Drakensberg Park in KwaZulu-Natal. The problem in the study area is that illegal antelope hunting still occurs and is on the rise. After talking to Ian Rushworth, the manager of Ecological Advice for Ezemvelo KZN Wildlife, it was noted that the park is struggling with this issue, especially the “Oribi”, which are endangered small- to medium-sized antelopes. This means that a need exists to reduce the levels of illegal hunting of wildlife animals in South Africa. However, to establish these much-needed prevention methods, the reason for this illegal hunting of specific species in a given environment must be explored first.

## **2. Methodology**

To fulfil the aim and objectives of the study, it was imperative to select appropriate methodological procedures and techniques. Hence, to gain in-depth understanding of the topic, the researchers had to choose a research design and approach that would enhance the elicitation of views and opinions relevant to answering the research questions. In support of this statement, Bayens and Roberson (2011) provide that a good research design encompass adherence to the rules of scientific investigation along with a level of creativity that allows the researcher to be flexible within the context of the study. In this regard, a mixed method approach was deemed appropriate for the study. By combining the two approaches the researchers capitalised on the strengths of each approach and offset the weaknesses. The combination also provided more comprehensive answers to research questions and hypotheses by going beyond the limitations of a single approach to study illegal hunting of Antelope. The selected sample of this study consisted of Giant’s Castle Game Reserve staff members; Lotheni Nature Reserve staff members; and community members from Emahlutshini, Hlatikulu, and KwaMkhize with a total of 67 participants and respondents. The target population for this study was not easily accessible; therefore, snowball sampling was used to select participants for the quantitative and qualitative aspect.

Quantitatively, the data was captured and coded in Excel, where numbers were assigned to categorical responses. The spreadsheet was imported into IBM SPSS 24, and it was analysed descriptively and inferentially. Furthermore, this study had two levels of measurement: nominal and ordinal. Qualitatively, the transcripts were imported into Nvivo 12 Pro, where they were segmented and coded into nodes and child nodes. The qualitative, inductive, thematic analysis was performed utilising Nvivo 12 Pro. Each interview was transcribed verbatim and imported into Nvivo for analysis. The analysis was an iterative process of segmenting and coding data.

### 3. Findings

**Table 1: Residents Response Rate**

Sample Available for Research	n = 30
Total Responses	30
Usable Responses	30
Unusable Responses	0
Usable Response Rate	100%

**Figure 1: Poverty Frequency**

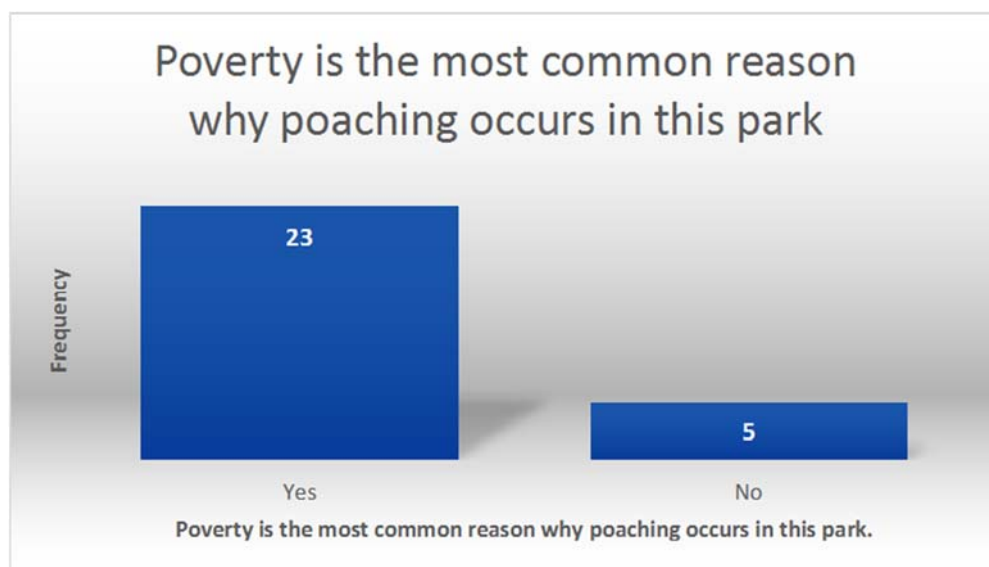


Figure 1 depicts that most of the participants agreed (76.7%, n = 30) that poverty is the most common factor contributing to the illegal hunting of antelope in the Maloti-Drakensberg Park. Only 16.7% did not agree with this, and 6.7% of the respondents did not answer this question at all. The median measure was 1.00 (yes), with a right positive skew of 1.775 and the bulk of the distribution falling to the left. This suggests that with an increase in poverty, there will be an increase in the illegal hunting of antelope in the Maloti-Drakensberg Park. This confirms the work of Mackenzie (2011) and Twinamatsiko (2014) who hold that indeed, poverty is often perceived as the root cause of illegal wildlife hunting because poor people hunt illegally to satisfy basic material needs.

There is a significant, moderate, positive correlation between duration of residence and poverty as the most common reason for illegal hunting in this park ( $r = 0.436$ ,  $N = 23$ ,  $p = 0.038$ ). This suggests that the participants who have lived around the park the longest believe that poverty is the most common reason



for such illegal hunting in the park. Furthermore, there is a significant, moderate, positive correlation between number of family members and poverty being the most common reason that illegal hunting occurs in the park ( $r = 0.470$ ,  $N = 22$ ,  $p = 0.027$ ). This suggests that the participants who have to support more family members than those who do not agree that poverty is indeed the most common reason for the abovementioned illegal hunting of antelope in the park. The above confirms the study of Gandiwa (2011) who warns that the exploitation of animal populations has been highlighted as one of the central reasons why wildlife species are currently threatened. Furthermore, that hunting and commercial trade are the primary threats to biodiversity, and that one-third of the extinction of animals is because of humans who hunt for their food and for commercial trade.

**Table 2: Staff Response Rate**

Sample Available for Research	n = 19
Total Responses	19
Usable Responses	19
Unusable Responses	0
Usable Response Rate	100%

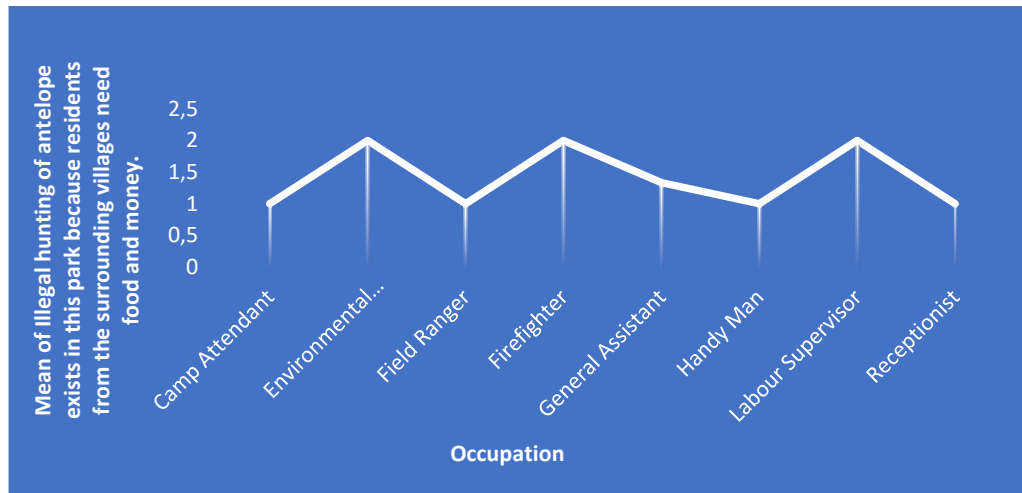
**Figure 2: Food and money frequency**



There is a significant, moderate, negative correlation between respondents' thinking that illegal antelope hunting exists in this park because residents from the surrounding villages need food and money ( $r = -0.574$ ,  $N = 18$ ,  $p < 0.0001$ ). This suggests that the older a participant was, the less he/she thought that poverty is the reason for the illegal hunting of antelope. Moreover, there is a significant, moderate, negative correlation between monthly income and the belief that illegal poaching of antelope exists in this park because residents from the surrounding villages need food and money ( $r = -0.685$ ,  $N = 19$ ,  $p = 0.001$ ).

This suggests that the more the participant earned, the less he/she thought that poverty is the cause of such illegal hunting. The above can be justified by Bitanyi et al. (2012), who hold that bush meat, or the meat derived from wild animals, has been the most common subsistence activity in many rural parts of Africa throughout history and that bush meat is the main protein source for community members who still live in rural areas today.

**Figure 3: Occupation Frequency**



From Figure 3, it is clear that there is a significant difference between participants from different occupations ( $H[7] = 15.409$ ,  $p = 0.031$ ) regarding beliefs about illegal antelope hunting existing in this park because residents from the surrounding villages need food and money. Not all of the environmental monitors, firefighters, and labour supervisors thought that the reason for such illegal hunting is that residents from surrounding villages need food and money. Most of the participants in other occupations did think so.

Qualitatively, from the key informant interviews, most of the resident and staff participants thought that food and poverty are the most common reasons people illegally hunt antelope in the Maloti-Drakensberg Park. Two responses, one from a resident participant and the other from a staff participant, are as follows:

*“For food for their families” (101) and “For food because they are unemployed and can’t afford to feed their families” (206).*

Other reasons included lack of money, lack of education and awareness, and boredom. The participant that answered money also stated that they kill the antelope and sell the meat for money. The response from a participant who cited a lack of education and awareness as the reason is as follows:

*“They don’t understand that it is illegal ...” (202).*

Most of the participants highly agreed that poverty is one of the reasons the illegal hunting of antelope exists in the Maloti-Drakensberg Park, along with the reasons already mentioned above. A response from a participant confirmed this: *“Yes, definitely!” (101).*

**Table 3: Respondents' attributions regarding the existence of antelope hunting**

Interview	Designation = Community (9)	Designation = Park Worker (9)	Total (18)
Boredom	1	0	1
Food	9	7	16
Lack of education and awareness	0	3	3
Money	0	1	1
Unemployment and Poverty	9	3	12
<b>Total (unique)</b>	9	9	18

#### 4. Conclusion

The aim of the study was to identify the factors that contribute to illegal hunting of Antelope in Maloti Drakensberg Park in KwaZulu-Natal. From the analysis of both quantitative and qualitative data, it was evident that most of the participants held that poverty is the most common reason that illegal antelope hunting exists in the park, since people from the surrounding villages need food and money. Other reasons included boredom and a lack of awareness that it is illegal. It emerged during the interviews and questionnaires that not all the participants knew that the killing of animals – not only antelope – is illegal in the Maloti-Drakensberg Park. This calls for the staff of the park as well as the community members surrounding it to be educated about the fact that it is illegal and about the consequences if caught. This implies that education and awareness are necessary. In addition, there is a need to inform community members that they are also responsible for combating this crime and to explain how they can go about doing so. The most common reason the illegal hunting of antelope exists in this park is poverty. Community members feel that they have no other choice but to hunt for food to provide for their families. This is a clear indication that more employment opportunities are required for unemployed residents. After analysing the data, it was also clear that most of the participants agreed that their villages would be willing to work in partnership with an organisation to lower the levels of poverty. Furthermore, they believed that their unemployed community members would accept an employment opportunity if one was awarded to them.

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## THE INFLUENCE OF ORGANISATIONAL CLIMATE ON JOB SATISFACTION AMONG ADMINISTRATIVE STAFF OF TWO PUBLIC UNIVERSITIES IN CENTRAL REGION OF GHANA

**Georgina Asi Owusu**

University: University of Cape Coast, Cape Coast, Central Region, Ghana

Email: gowusu@ucc.edu.gh

Orcid ID: 0000-0001-6902-6143

**Kholeka Constance Moloji**

University: Vaal University of Technology, Vanderbijlpark, 1900

Email: conniem@vut.ac.za

Orcid ID:: 0000-0003-1913-1206

### ~Abstract~

*This paper examines how organisational climate influences job satisfaction among administrative staff of two public universities in the central region of Ghana, Africa. In Ghana, higher education administrators work within both the central administrative departments, in universities and other educational establishments. There is no 'typical' job profile, however, administrators may have roles in student recruitment, funding, quality assurance, marketing or public relations. The authors chose the quantitative approach and a survey design to investigate organisational climate on job satisfaction among administrators. The study sample consisted of 1,420 administrators, comprising 625 males and 795 females who completed a structured questionnaire on organisational climate and job satisfaction. The results show that administrators have a general perception of dissatisfaction regarding personal characteristics such as individual needs, opportunities for development, promotion and supervision. Working conditions, human resources policies, involvement of staff in the management of the institution, and favourable work demands and job characteristics were found to influence job satisfaction of administrators. Findings from this study differ from those of earlier ones, especially given that the study is set in Ghana where little work on the subject has touched on administrators in higher education. The study contributes in diverse ways, providing a valuable compact of verifiable ideas, evidence and figures usable by administrators and other stakeholders to comprehend the dynamics involved in ensuring job satisfaction. The study suggests that university management should be more responsive to administrative career development programmes of its administrators to enhance their job satisfaction.*

**Keywords:** Organisational climate, job satisfaction, administrators

**JEL:** 12 – Education JEL: 123 – Higher Education Research Institutions

### 1. INTRODUCTION

In this paper the authors examine organisational climate as a factor influencing job satisfaction among administrative staff of two public universities in the central region of Ghana, Africa. Ghavifekr and Pillai (2016) suggest that organisational climate is a set of measurable properties of the work environment that are either directly or indirectly perceived by the employees who work within the organisational environment and influence or motivate their behaviour. For Islam, Jasimuddin and Hasan (2017), organisational climate is the shared perceptions of the way things are in the vicinity, whilst Rai (2014) sees it as the set of characteristics that differentiate one organisation from others relatively enduring over time and influencing the behaviour of people within it. It has been argued by Islam, *et al.* (2017) that organisational climate refers to all the internal and external factors that surround an organisation. The importance of organisational climate is partly due to a hypothesised relationship to other organisational phenomena, including job satisfaction, job performance, leadership behaviour and the quality of work group interaction. Bin Ahmad, Jasimuddin and Kee (2018) argue that generally, administrators are currently facing many challenges in the execution of their administrative job, a situation that adversely affects their levels of job satisfaction. This raises concern regarding the attitudes of administrators towards their work and their levels of job satisfaction or dissatisfaction.

Job satisfaction denotes the extent to which a worker feels fulfilled from their job, implying that the concept goes beyond rewards a person derives from their job. Many times, rewards that an employee gets from their employment, mostly provides satisfaction which motivates them to work even harder (Bin Ahmad, *et al.*, 2018). Islam, *et al.* (2015) noted that job satisfaction results in positive attitudes and feelings about employee work to the extent that these lead to job commitment, efficiency, high work output and enthusiasm. In contrast, not being satisfied leads to negative and unfavorable attitudes such as complaints and conflict. Since the inception of tertiary education in Ghana, university administrators have struggled to provide quality service delivery to students and their institutions, with concerns having arisen out of discontentment relating to their employment and general conditions of service (Ghana News Agency, 2012).

In Ghana, higher education administrators work within both the central administrative (Central Administration Academic Registrars) department and for individual colleges and faculties of universities and other higher education establishments. There is no 'typical' job profile, rather administrators may have roles in student recruitment, funding, quality assurance, marketing or public relations. Alternatively, they may be responsible for budgetary or financial administration, project management or human resources management. Administrators' responsibilities include recruiting, training and managing staff, financial/budgetary administration and handling correspondence. Other roles include organising and servicing committee meetings (developing agendas and taking minutes), researching and writing reports as well as preparing statistics (University of Cape Coast (UCC) Statutes 2012:42). The rest consists of liaising with external organisations, formulating and implementing regulations, timetabling, administering and coordinating student recruitment, examinations and assessment activities. These can be demanding at key periods in the academic year when some long hours are necessary. There are good opportunities for career progression via promotion into senior administrative, managerial and project management roles, or transfer and secondment between departments. Higher education establishments, as a motivating tool, also generally offer excellent and flexible working conditions for administrators (UCC Statutes 2012:40).

In the following sections studies that have looked at organisational climate and job satisfaction are presented. This is followed by a discussion of methods employed for this study, findings and discussion, recommendations for future research and conclusion.

## **2. ORGANISATIONAL CLIMATE**

Although the concept organisational climate stemmed from McClelland-Atkinson's (1953) theory of human motivation, some have defined it in diverse ways. For example, Ghavifekr and Pillai (2016) defined it as a group of measurable variables of the work environment, which employees perceive to influence and motivate their work behaviour. When employees agree on the perceptions of their work context, organisational climate is said to exist. Rai (2014) describes organisational climate as an experiential construct of the work environment and more specifically, employees' views about the formal and informal policies, practices and procedures in their organisation. Notably, neither individual organisation dimensions (climate) nor individual characteristics (job satisfaction, tension, role clarity) by themselves explain a substantial amount of the observed variation in organisational effectiveness (Francisco & Andres, 2017). The relationship of organisational climate to individual behaviour often emphasises the role of employee perceptions of these dimensions as intervening variables.

## **3. JOB SATISFACTION**

Job satisfaction as an elusive concept has been an issue of concern since Maslow (1954) and Herzberg's (1959) studies (Danish, Umar Draz, & Hafiz Yasir, 2015:16). Job satisfaction can be described as feelings or state of mind regarding the nature of one's work. Recently, several studies have identified factors that influence administrators' job satisfaction such as interpersonal relationships with colleagues, work conditions, workload, supervision, management, pay, promotion, job security and social status (Francisco & Andres, 2017). For Okoli and Okoli (2018), job satisfaction is a bi-dimensional concept consisting of intrinsic and extrinsic dimensions. Intrinsic sources of satisfaction depend on individual characteristics such as the ability to use initiative, relations with supervisors, or the work that the person performs. These are symbolic or qualitative facets of the job. Extrinsic sources of satisfaction are situational and depend on the environment such as remuneration, promotion or job security. These are financial and other material or outward rewards or advantages that an employee is accorded in their employment. Both extrinsic and intrinsic job facets should be represented as equally as possible in composite measure of overall job

satisfaction. Okoli and Okoli (2018) purport that employees' job satisfaction is the evaluation of the emotional reaction to individual work or work experience and is the assessment of overall emotional feeling from carrying out their work. Okoli and Okoli (2018: 45) noted that the physical work environment, which is provided by management to the employee, can be considered as an expression of management's attitudes towards the employee and conversely, it is considered that environmental satisfaction would influence satisfaction with other aspects of the employment relationship.

#### **4. RELATIONSHIP BETWEEN ORGANISATIONAL CLIMATE AND JOB SATISFACTION**

There are several frameworks which suggest that organisational climate correlates with job satisfaction (Bakotić, 2016). For example, Mabekoje in 2009 studied a sample of teachers in the Ogun state of Nigeria to determine if differences existed along all nine dimensions of job satisfaction between male and female secondary school teachers using the job satisfaction survey. He found no gender differences in all dimensions of job satisfaction as well as the overall job satisfaction of teachers. In another study, Babette Bronkhorst, Tummers, Steijn and Vijverberg (2014) conducted a systematic review of the literature in order to find out how organisational climate relates to mental health outcomes among employees working in health care organisations. The results showed that employee perceptions of a good organisational climate were significantly associated with positive employee mental health outcomes such as lower levels of burnout, depression and anxiety. The findings also indicated that group relationships between co-workers are significant in explaining the mental health of health care workers. A similar study on the relationship between age and job satisfaction, by Fatemeh (2015) reported that when workers become older, their tendency to be satisfied at the workplace increases due to the accumulation of work experience. In a similar manner, a study by Shabir and Hilal (2016), using descriptive-correlational design, with the purpose to investigate the difference between organisational climate and job performance among teaching professionals revealed that organisational climate does not differ significantly on the basis of gender and locale or the institution where one works. Similarly, no significant difference was found in job performance based on gender, while on the other hand, a significant difference was found on job performance on the basis of locale of teaching professionals. Asghar and Fariba (2017) also investigated the relationship between organisational climate and organisational citizenship behaviours of the staff members in the Department of Education in Isfahan city. The MANOVA test results for that study, showed that there was a significant difference between the respondents' viewpoints about organisational climate according to age, rank and organisational citizenship behaviour relative to education. Further, in order to investigate whether gender inequalities in the careers of faculty in academic medicine could partially be attributed to organisational climate based on the perceptions of women faculty, Carapinha, McCracken, Warner, Hill and Reede (2017) found that organisational climate for women faculty members varied significantly across institutions by classification as minority-serving institutions (MSIs). Berberoglu (2018) investigated the impact of organisational climate on organisational commitment and perceived organisational performance. He found from correlation analysis that organisational commitment and age have a weak relationship but positive, significant correlation with perceived organisational climate. This, in terms of age, implied that older employees tend to have a positive perception of organisational climate.

Whilst these studies are useful as a theoretical framework for our study, their findings and conclusions cannot be applied to the Ghanaian university context due to the geographical differences of the study settings and the peculiar contextual differences under which administrators work. These studies were also conducted on employees of organisations in the general sense and not specifically on administrators in higher education.

#### **5. RESEARCH DESIGN AND METHODOLOGY**

This study employed a quantitative approach and a survey design to examine the influence of organisational climate on job satisfaction among administrators at two universities in central Ghana. Since quantitative approach and methods seek to maximise objectivity, replicability and generalisability of findings and are typically interested in prediction, the researchers found this design appropriate for the current study.

##### **5.1 Sample**

A sample of 738 (52%) administrators from the University of Cape Coast (UCC) and 682 (48%) from the University of Education, Winneba, resulting in a total of 1420 respondents was randomly selected. The



administrators were categorised into senior-member administrators (SMA) and senior staff administrators (SSA). The selected respondents had a minimum qualification of a master's degree in educational administration or administration in higher education or a related field.

## **5.2 Data collection**

Data was collected by one of the authors who is a resident in Ghana. A structured questionnaire was administered to 1420 who were randomly selected from the two universities studied. The structured questionnaire consisted of five sections (A, B, C, D and E), with closed-ended questions. Section 'A' dealt with the biographic information of participants which contained four items: gender, university, rank and years of experience. Section 'B' contained 18 closed-ended questions on working conditions of administrators. Section 'C' had 11 closed-ended questions on the job characteristics of administrators. Section 'D' was on 'management and human resource policies' and consisted of 26 closed-ended questions. Section 'E' was on job satisfaction, containing 11 close-ended questions. The questions in sections B, C, D and E were measured on a five-point Likert scale (*Strongly Agree, Disagree, Undecided, Agree, and Strongly Agree*). These questions were aimed at covering the pre-established themes on working conditions, job characteristics, management/human resource policies (IVs) and satisfaction (DVs). In total, the number of items on the questionnaire was 70.

## **5.3 Data analysis**

The closed-ended items on the structured questionnaire were analysed statistically using the version 25 of the *IBM SPSS* for analysing quantitative data. Descriptive statistics, i.e., frequency counts and percentages, were calculated for all questions. Inferential statistics such as Independent t-test and Pearson Product Moment Correlation were also used to establish relationships among some of the variables.

## **5.4 Reliability and validity of the quantitative data**

The Cronbach alpha technique was used to assess the internal consistency of the questionnaire items, having been pilot-tested among 10 senior-staff and 10 senior-member administrators from the University of Ghana to derive the Cronbach alpha coefficient. A reliability coefficient of .83 was obtained after analysis using the *IBM SPSS*. A coefficient of 0.7 is deemed reliable and therefore the value showed individual cohesiveness of the items. The test also provided information on the relevance of the instrument to the environment in which the administrators were employed. To guarantee content validity, the researchers checked the questionnaire to ensure that its items had been derived from the literature and that the variables were congruent with the literature. For face validity, the questionnaires were given to experts in the study area for their input. Once these suggestions were received the researchers took steps to incorporate them into the research instrument and refine its content.

## **5.5 Ethics**

Ethical issues given due consideration in this study related to obtaining formal permission through writing from the two university authorities (Registrars' office) before collection of data. Participation in the study was voluntary such that respondents were not coerced in any way to participate. The questionnaire did not contain names of respondents, thus guaranteeing them anonymity throughout the study. Professional competence in the data collection and analysis coupled with independent objectivity were maintained to ensure that interpretation of the survey findings was upheld (Dhurup, 2015: 66).

# **6. RESULTS AND DISCUSSION**

Findings presented here come from data collected from the two public universities in the central region of Ghana.

## **6.1 Measures of association between organisational climate as independent variable and the dependent variables in section A of the questionnaire**

As the dependent variable (job satisfaction) had a normal distribution of data warranting the use of parametric statistical tests. Testing for significant differences between two independent groups was as follows:

### 6.1.1 Gender (A1)

The independent t-test indicated no statistically significant differences were present between male and female mean scores:

$$[\bar{X}_{Male} = 2.26; \bar{X}_{Female} = 2.28; t(242) = -0.301; p > 0.05]$$

Although female administrators were slightly more satisfied with organisational climate, they did not differ significantly from their male counterparts with respect to the mean scores obtained for organisational climate. This outcome confirms Mabekoje's (2009) study which found no gender differences in all dimensions of job satisfaction among the teachers. Perhaps, in view of this, a further use of a multilevel investigation could fully establish the gender paradox in job satisfaction.

### 6.1.2 University as workplace

A statistically significant association was found between the two universities with respect to organisational climate. Administrators from UEW were significantly more positive with respect to organisational climate than were administrators from UCC. The summarized results are:

$$[\bar{X}_{UCC} = 2.22; \bar{X}_{UEW} = 2.32; t(242) = -2.32; p = 0.021; r = 0.15]$$

The effect size is small ( $r=0.15$ ). As organisational climate is composed of four sub-dimensions (factors), it was necessary to determine which of these four relate to this difference in factor means. Thus, it was with respect to FD2.0 (Perceptions regarding management and human resource policies) that a significant difference was present. This factor composed two first-order factors. When testing these two first-order factors the results were:

$$[FD1.1 \bar{X}_{UCC} = 1.97; \bar{X}_{UEW} = 2.12; t(242) = -2.21; p = 0.03; r = 0.14]$$

$$[FD1.2 \bar{X}_{UCC} = 2.36; \bar{X}_{UEW} = 2.55; t(242) = -3.04; P = 0.003; R = 0.19]$$

The results show that in both FD1.1 (Perceptions of expected treatment by management) and FD1.2 (Perceptions of training and development opportunities) the administrators from UEW held more positive perceptions than did administrators from UCC regarding the two first-order factors regarding management and human resource policies. The finding of this study confirms an earlier one by Carapinha, McCracken, Warner, Hill and Reede (2017), which found a statistically significant variation in organisational climate for women faculty members across institutions by classification as minority-serving institutions (MSIs). However, the findings in this study contrast an earlier one by Shabir and Hilal (2016) which revealed that organisational climate does not differ significantly based on gender and locale or across institution. The difference in intuitional contexts is likely responsible for variations in the results of these studies.

### 6.1.3 Present rank at the university

When testing organisational climate as dependent variable against present rank at the two universities a statistically significant difference was found between the two groups of present ranks. Senior member administrators (SMA) were significantly more positive in their perceptions of organisational climate than were senior staff administrators (SSA). The results were as follows:

$$[OC(FG1.0) \bar{X}_{SSA} = 2.23; \bar{X}_{SMA} = 2.35; t(242) = -2.28; p = 0.023; r = 0.12]$$

Again, as organisational climate is a multifactorial construct it is necessary to determine which of the four first-order factors were responsible for this significant difference. Two of the four factors showed statistically significant differences, namely FD2.0 (Perceptions regarding management and human resource policies) and FE1.0 (Staff involvement with institutional management). With respect to FD2.0 the following results were found:

$$[FD1.1 - \bar{X}_{SSA} = 2.01; \bar{X}_{SMA} = 2.12; t(242) = -1.55; p = 0.123]$$

$$[FD1.2 - \bar{X}_{SSA} = 2.41; \bar{X}_{SMA} = 2.55; t(242) = -1.98; p = 0.04; r = 0.13]$$

The results show that it was only with respect to FD1.2 (Perceptions of training and development opportunities) that senior members of administration (SMA) had statistically significantly higher factor means than senior staff administrators (SSA) and hence SMA were significantly more positive about training and development opportunities than the SSA respondents. Significant differences were also found regarding perceptions of staff involvement in the management of their institutions (FE1.0). The results of the independent t- test were:

$$[FE1.0 - \bar{X}_{SSA} = 1.91; \bar{X}_{SMA} = 2.07; t(242) = -2.27; p = 0.04; r = 0.14]$$

The senior members administration (SMA) were statistically significantly more positive about involvement with the management of their institutions than were senior staff administrators (SSA). This finding appears to confirm the outcome of an earlier study by Asghar and Fariba (2017) which also showed a significant difference between the respondents' viewpoints about organisational climate according to age, rank and organisational citizenship behaviour according to education. The only additional explanatory variables in that study were age and organisational citizenship behaviour.

#### 6.1.4 Years of experience as administrator in the University

There were four age groups. The researchers used analysis of variance (ANOVA) to search for possible significant differences between the years of experience groups with respect to organisational climate. No statistically significant differences were found between the mean scores of the four age groups regarding organisational climate [ $F(3,240) = 1.07; p = 0.36$ ]. This result contrasts with an earlier work conducted by Berberoglu (2018) which found, from correlation analysis that, organisational commitment and age have a weak correlation, but positive significant correlation with perceived organisational climate. Whereas in the current study, age did not account for differences in perceived organisational climate among administrators. Organisational climate for administrators is statistically significantly correlated with the satisfaction with work conditions (FBCF 2.0), the work demands of job characteristics (FC1.0), the perceptions regarding management and human resource policies (FD2.0) and with staff involvement with the institutional management (FE1.0).

When using stepwise linear regression as the model (instead of the means model) then satisfaction with working conditions (FBCF2.0- $\beta = +0.555$ ) is the best predictor of organisational climate, followed by perceptions regarding management and human resource policies (FD2.0- $\beta = +0.416$ ). The third best predictor is staff involvement with institutional management (FE1.0- $\beta = +0.206$ ), followed by the demands of job characteristics (FC1.0- $\beta = +0.121$ ). Thus, all four of the sub-dimensions were significant predictors of organisational climate (see Table 1).

Furthermore, if the feelings one has about one's work are regarded as a dichotomous variable with only two categories, then a linear logistic regression using stepwise forward regression as method of entering predictors can be used to predict the outcome variable of satisfaction or no satisfaction. The predictors used were the four constructs regarding organisational climate, namely, FBCF2.0, FC1.0, FD2.0, FE1.0 as well as gender, university and rank. The logistic regression technique indicated that only the perceptions of management and human resource policies (FD2.0) was a significant predictor of work satisfaction (SC11). More specifically it was only FD1.1 (the perceptions of treatment by management), which was a significant predictor of work or no work satisfaction. The appropriate values are shown in Table 2.

The data in Table 2 indicates an inverse relationship to be present between work satisfaction and perceptions of treatment by management. This implies that the larger the perceptions of expected treatment by management, the less likely the respondents would report being satisfied with their feelings about their work. Exponent B in Table 2 had a positive value but it was less than 1 ( $\beta = 0.16$ ), indicating that as the predictor increases (FD1.1- Feelings of expected treatment by management and human resources via policies) so the odds of the outcome decreases (yes =1 *satisfied*) (Field, 2009: 289). One can also use the reciprocal of exponent B ( $1/0.16 = 6.25$ ) to aid interpretation (Pallant, 2009: 176). This suggests that for each unit of feelings about the expected treatment by management and human resources policies decreasing, the odds of a person reporting *satisfied* (1) increases by a factor of 6.25. Increasing the expectations held by management and human resources policies will decrease the satisfaction of administrators. The 95.0 percent confidence intervals for EXP (B) displayed in Table 2 indicates that one can be 95 percent confident that the odds ratio (0.16) will be found between 0.08 and 0.32 of the population. It

thus appears that the feelings about one's work have a negative connotation with work satisfaction. If the variable of *no satisfaction* or *satisfaction* is treated as a biserial correlation coefficient, which supposes that work satisfaction is measured on a continuous scale, then the coefficient has a larger and more acceptable value, increasing from 0.354 to 0.50, which has a large effect. It is thus preferable to treat this variable as a biserial correlation in which the scale is regarded as forming some sort of continuous dichotomy.

Organisational climate was also found to be statistically significantly associated with the university at which one worked. Administrators at UEW had more favourable perceptions than those from UCC with respect to organisational climate. When delving deeper into these differences it was found that both the expected treatment by management (FD1.1) and training and development opportunities were perceived to be significantly more favourable by UEW respondents than by counterparts from UCC.

The rank one has at the university was also significantly associated with organisational climate in that administrators classified as SMA had statistically significantly higher mean scores than those classified as SSA. Further investigation indicated that this difference was due to training and development opportunities (FD1.2) and involvement with institutional management (FE1.0), with respondents on SMA rank levels holding significantly more favourable perceptions than respondents who were classified as SSA.

## 7. RECOMMENDATIONS AND FUTURE RESEARCH

In the area of human resource management, it is recommended that university management be more responsive to the administrative career development programmes as it has been shown as the only organisational climate variable that predicts job satisfaction and which was reinforced by the responses of the interviewees. Study further recommends that University management in public institutions should endeavour to conduct workshops and seminars to update administrators' skills on policies governing their operation. Also, university management teams should conduct periodic equipment audits in universities to keep resources functional. Managements of public universities should put in place mechanisms to obtain feedback from departments, sections, and directorates, in order to negotiate for remedial action as a way of easing the work of administrators.

## 8. CONCLUSION

Creating an environment of trust, involving good relationships with superiors contributes to creating a good organisational climate for university administrators and improving perceptions of their job. Administrators should openly communicate with their supervisors and receive feedback and support when needed. University management should ensure an organisational climate with common values, fair treatment of employees. This study demonstrates that when support for administrators is enhanced, job satisfaction improves, and the detrimental consequences of 'a demotivated staff' can be reduced.

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## Appendix

**Table 1: Coefficients in Multiple regression with Organisational Climate as dependent variable**

Model		Unstandardized Coefficients		Standardized Coefficients	T	Sig.
		B	Std. Error	Beta		
1	(Constant)	-.033	.014		-2.401	.017

	FBCF2.0. Satisfaction with working conditions	.438	.006	.555	74.273	.000
	FC1.0 - Job characteristics- Work demands	.068	.003	.121	20.903	.000
	FD2.0-Perceptions regarding management and HR policies	.344	.006	.416	54.731	.000
	FE1.0 -Staff involvement with institutional management	.157	.005	.206	33.218	.000
a. Dependent Variable: FG1.0 Organisational climate						

**Table 2: Significant variables present in the stepwise logistic regression**

	B	S.E.	Wald	Df	Sig.	Exp.(B)	95% C.I. for EXP(B)		
							Lower	Upper	
Step 1 <sup>a</sup>	FD1.1-Perceptions of treatment by management	-1.851	.369	25.160	1	.000	.157	.076	.324
	Constant	2.277	.690	10.876	1	.001	9.743		
a. Variable(s) entered on step 1: FD1.1-Perceptions of treatment by management.									

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## THE MIGRATION EXPERIENCE AND CROSS-CULTURAL ADJUSTMENT OF MIGRANT ZIMBABWEAN TEACHERS IN ETHEKWENI MUNICIPALITY, KWAZULU-NATAL

**Margaret Dzvuka**

University of KwaZulu-Natal

Email: 215081481@stu.ukzn.ac.za

Orcid ID: <https://orcid.org/0000-0003-0867-7780>

**Dr. Ashika Maharaj**

University of KwaZulu- Natal

Email: maharajash@ukzn.ac.za

Orcid ID: <https://orcid.org/0000-0003-2186-8151>

### ~Abstract~

*There is paucity of research investigating South Africa (SA) as a receiving country for migrant teachers and their adjustment to their new work environment. The study examined the migration experiences of migrant Zimbabwean teachers in the eThekweni Municipality and ascertained how they were adjusting to their teaching environment in SA. A qualitative study collected data using face-to-face as well telephonic interviews. Snowball sampling was used as the target population was difficult to identify due to the lack of accurate available data. The final sample size for the study comprised of fifteen Zimbabwean teachers. The push factors for migration identified, were economic and political instability and unfavourable living conditions. Furthermore, the challenges encountered by Zimbabwean migrant teachers in SA included; ill-disciplined learners, difficulties in acquiring and renewal of permits, unfamiliar teaching environment, a lack of proper induction/orientation and difficulties in communication. Recommendations made by the researcher include; the introduction of induction programs in schools for both migrant teachers and local stakeholders, the reconfiguration of immigration processes at Home Affairs, the Department of Education (DoE) to take over the recruitment and selection of migrant teachers and the offering of Isi-Zulu lessons to migrant teachers*

**Key Words:** Migrant teachers, cross-cultural adjustment, Zimbabwe

**JEL Classification:** JEL Code: 015

### 1. INTRODUCTION

Globalisation has seen an increase in the migration of technology, health and education professionals (Khadria, 2004). Developed countries have put in place policies to attract, recruit and retain migrant teachers to ease severe shortages of mathematics and science educators (Manik, Maharaj, & Sookrajh, 2006). However, for example, SA (SA) has lost teachers to countries such as the United Kingdom (UK) and Australia. In the UK of the 5564 teaching permits granted in 2003, SA made up close to 30% of teaching permit holders (Appleton, Sives and Morgan, 2006).

Challenges in the SA education sector include incompetent teachers, poor school administration, lack of motivation in teachers and poor student performances in examinations (Manik, 2012). Skilled migrants can remedy this situation temporarily (SACE, 2011). Many teachers are migrating to SA from countries such as Zimbabwe, Zambia, and Lesotho due to 'pull' factors such as better working conditions and income, economic prosperity, and political stability (Appleton *et al*, 2006; Manik, 2012). Teacher migration is mostly the result of critical teacher shortages in the receiving country with attractive packages and push factors in the source country. The migration of teachers is thus a key policy matter for SA (Appleton *et al*, 2006; Manik, 2012).

The experiences of Zimbabwean migrant teachers in eThekweni Municipality, in KwaZulu-Natal (KZN) province of SA and how they were adjusting to their teaching environment in SA is the focus of this study. Teacher attrition rates in SA are estimated at 5.5% constituting about 20 000 teachers who leave the profession every year (Arends, 2011) with a similar number needed for their replacement (Appleton *et al.*, 2006; SACE, 2011).

Various factors such as the emigration of SA teachers, retirement (as a result of age, debt or for health reasons including the impact of HIV/AIDS) and failure by the higher education system to train enough teachers, poor remuneration packages, teachers' failure to cope with education policies which are always changing, unfavourable working conditions, high levels of crime, lack of future prospects poor management of schools (Rasool, Botha & Bisschoff 2012; SACE, 2011; Manik, 2010, Mkhize, 2014) have led to the teacher shortages that SA currently faces.

The recruitment of migrant teachers, mostly from African states, to work in SA schools is seen as a temporary measure (Appleton *et al.*, 2006) to the problem of teacher shortages (Mateus, Allen-Ile and Iwu 2014; Manik, 2012). SA's ability to attract academics from African countries will persist if the SA economy continues to be dominant in sub-Saharan Africa (Sebola, 2015; Wentzel, Viljoen & Kok, 2006). Therefore, the study of migrant teachers is necessary so as to discover the challenges and opportunities they face in their migration experience.

According to SACE (2011), studies have focused on local teacher migration and the negative impact it has had on the quality of education. There is paucity of studies on migration experiences of migrant teachers in SA. This study fills this gap by examining the experiences of Zimbabwean migrant teachers in the eThekweni Municipality as well as their cross-cultural adjustment, which is the focus of this study. The objectives of the study included: to examine the reasons for teacher migration into SA and to determine the experiences migrant teachers had with the emigration processes and to describe their cross-cultural adjustment to the working environment.

## **2. LITERATURE REVIEW**

### **2.1 Migration restrictions in the education sector**

SA attracts professionals, including educators, mainly from Zimbabwe and to a lesser extent from Lesotho (SACE, 2011). South Africa Qualifications Authority (SAQA) indicated that between 2005 and 2010 most applications for evaluation of qualifications, including teacher qualifications were received from Zimbabwe.

To shield SA job-seekers from competition from foreign job-seekers, various restrictions are applied mainly through residence and work permits (Wentzel *et al.*, 2006). Furthermore, a teacher has to be registered professionally with SAQA before applying for a work permit (Commonwealth Secretariat 2005; SACE, 2011).

Despite a shortage of teachers in SA the process of gaining entry is perceived to be long, expensive and time consuming with complicated procedures which are not explained by officials from the department of Home Affairs. Migrant teachers are vulnerable to corruption by lawyers who charge excessive fees in exchange of a promise to accelerate the process (Keevy, Green and Malik, 2014; Idemudia, Williams & Wyatt, 2013). Many locals view migrants as competition for the few jobs that are available in SA resulting in violence in some cases (Kalitanyi & Visser, 2010; Idemudia *et al.*, 2013).

It is difficult to gain access to teaching even though teachers have the qualifications, therefore they end up resorting to work any menial job for survival. Zimbabwean teachers feel unworthy despite their professional status (Keevy *et al.*, 2014). In a study conducted on the status of migrant teachers in SA, about 52 % expressed concerns about prejudice in SA society and evident forms of xenophobia practiced by their SA colleagues and learners (Keevy *et al.*, 2014). This is likely to impact negatively on the job performance of the migrant teachers.

### **2.2 Push-Pull Theory**

The push-pull theory was first developed by Lee (1966) to explain migration. This theory states that migrants move to regions that are perceived to be better for economic or non-economic reasons. Migrants weigh the push factors in their countries against the pull factors in the intended destination country.

Push factors are those that motivate people to decide to leave a place in favour of a more attractive place. These factors may include; unemployment, political instability, natural disasters, social inequality, lack of economic opportunity, forced labour (human trafficking), lack of good medical facilities, lack of religious or political freedom, discrimination among many others (Gebre, Maharaj and Pillay., 2011).



Pull factors are the reasons for moving to a new area because of something desirable in those areas. The destination of immigration is viewed as offering solutions for the push factors. Job opportunities, higher standard of living, political/social/religious freedom, better living conditions, education, better medical care and attractive climates are some of the pull factors (Gebre et al., 2011 ; Kline, 2003 ; Rasool et al, 2012).

These push and pull factors can be summarized as falling within these four broad categories ; Cultural (e.g., religious freedom, education), Economic (e.g., employment), Political (e.g., freedom of speech, war) and Environmental (e.g., floods and natural disasters).

### **2.3 Cross-cultural adjustment of migrants**

Cross-cultural adjustment or adaptation refers to how a migrant adapts to work and living conditions in a country with a different culture to his/hers. It is the professed level of emotional and mental wellbeing and awareness a person has in the new culture (Black, Mendenhall, & Oddou, 1991). For the purposes of the study, the aspect of work adjustment will be examined, including the adaptation to new working conditions as well as new roles and job tasks.

## **3. METHODOLOGY**

### **3.1 Research Design**

This study adopted an exploratory research design. Qualitative research methodology using semi-structured interviews was used. Research on issues affecting migrant teachers is a relatively new area, therefore an exploratory design was ideal (Durrheim, 2006).

- **Sampling Technique**

Non-probability sampling was used in this study. Snowball sampling was used, since the population of Zimbabwean migrant teachers in the eThekweni Municipality was unknown due to the lack of reliable data records. The migrant teachers also fell into the hard-to-reach category, were the only way to reach them was through referral by other migrant teachers.

A limitation of non-probability sampling is that findings may not be generalised to the entire population (Brink, 2006). Furthermore, the participant that introduced the next person often chose someone who has similar experiences or reflects similar opinions with them. This may have led to bias in the sample (Gem, 2001).

- **Data Collection Method**

Semi-structured interviews enabled the researcher to explore people's beliefs, values and assumptions behind their actions. Interviews were recorded to ensure reliability and truthfulness. The interview schedule consisted of open-ended questions that probed migrant teachers around various issues concerning their migration and adaptation to the new work environment. These interviews were done in English and recorded using a voice recorder (Opdenakker, 2006; Doody & Noonan, 2013).

Interviews were only done after Ethical Clearance had been obtained from the UKZN Research Ethics committee. The researcher held a brief meeting with each identified migrant teacher to familiarize them with the study, to notify them of their rights including a pledge to ensure the anonymity and confidentiality of the data to be collected. A signed informed consent letter was signed by each interviewee.

- **Data Analysis**

A procedure called 'thematic analysis' was used to analyse data found from the qualitative data. The process involved identifying and analysing themes within data. It clarified which themes are significant in the description of a particular aspect being investigated (Clarke and Braun, 2013; (Vaismoradi, Turunen, & Bondas, 2013). Thematic analysis emphasises the most striking patterns in the dataset. Patterns are important to describe a phenomenon linked to a particular research question (Vaismorad et al., 2013).

## **3 RESULTS AND DISCUSSION**

### 3.3 Biographical Profile of participants

This section presents a biographical profile of migrant teachers who participated in the research study in the following order: age, gender, year of migration and commencement of teaching.

**Table 1 Biographical details of migrant teachers**

Biographical Variables	Category	Frequency	Percentage
Age group	30-35	3	20%
	35-40	4	26,67%
	40-45	8	53,33%
Gender	Male	8	53,33%
	Female	7	46,67%
Entry into S.A	2005-2009	15	100%
Commencement of teaching	2005-2010	13	86,67%
	2010-2015	2	13,33%

### 4.2 Reasons for migration into SA

- **Economic reasons**

Zimbabwean teachers pointed out that they migrated to SA because of economic hardships that they faced in their home country. Teacher S stated that: *“What I was getting compared to what I was giving out, there was an imbalance”*, hence the participant decided to move. Others stated SA was close to home therefore transport costs were lower.

**Table 2 Frequency table for the reasons why migrant teachers left Zimbabwe for SA**

THEMES	Frequency	Percentage
Economic reasons	15	100%
Political Instability	15	100%
The demand for Mathematics and Science teachers	10	66,67%

Poor salaries earned was not enough for them to provide for

their families. The pull factors in SA were; better employment prospects, higher living conditions and better salaries. This supports the findings of Piesse (2014), that there are economic migrants who move in order to find employment to improve their financial circumstances.

The findings support Lee (1966)’s push and pull theory of migration. Findings showed that Zimbabwean teachers moved due to; violence or political instability, meagre salaries that made it difficult for Zimbabwean teachers to provide for their families and rampant inflation that made the value of their currency powerless. The pull factors in SA were; relative political stability, attractive economy, better living conditions and better salaries. Lee (1966) together with Corry (1996) and Todaro (1970) found that the range of remuneration between the sending and receiving country is the major driver of migration.

However, the findings contradict with Stark and Boom (1985) who argued that international migration does not necessarily cease when wage differentials disappear.

- **Political Instability**

The unstable political environment was one of the reasons that made teachers migrate to SA. Teacher N stated that: *“You know the situation that was in Zimbabwe the fighting between the two parties that is Zanu PF and MDC and I was one of the people who were involved in activism so I had no safety”*. This reveals that the movement from Zimbabwe was also compelled by the desire for political stability and safety by some teachers. This is evident to the fact that political instability was also a push factor that triggered the exodus of Zimbabwean teachers to SA and other countries.

According to Piesse (2014), there has been an increasing level of south to south migration being seen, this is consistent with the findings of this study as there is quite a number of teachers moving from Zimbabwe to SA. The reason being that due to teacher shortages, the SAn government made it easy for teachers to have access to work permits and be able to work in SA and this led to a large influx of Zimbabwean teachers moving into SA. However, this has recently changed as there are immigration restrictions that have been imposed to try and control the number of people entering SA.

These outcomes support the findings of Gebre (2007), Stanojoska and Petrevski (2015) who argue that push factors are challenging situations that push people to leave a place in the quest of a more attractive place, and in this case, it was political instability. In Zimbabwe there has been reports of human rights violations, no freedom of speech and anyone who speaks against the ruling party is beaten and silenced. This political instability in Zimbabwe has led to the devaluation of the currency, resulting in many investors leaving Zimbabwe. This loss of value in money has made it difficult for teachers amongst other people to make ends meet in order to provide for their families and to have better living conditions.

- **The demand for Maths and Science teachers**

SA has a scarcity of skills when it comes to Maths and Science teachers. Zimbabwean teachers capitalised on this skills scarcity. To encourage foreign teachers in Science and Mathematics to come to SA, the government made it easy for migrant teachers to access permits to practice their craft. Teacher M stated that: *“There was a demand for Maths and Science teachers when I got here, so I was one of the teachers who were getting permits easily because the SAn government was actually providing permits for Maths and Science teachers”*. This saw a large influx of Zimbabwean teachers into SA to seek employment in the education sector.

The next section will present the experiences of the migrant Zimbabwean teachers with the migration process and these were identified as challenges in acquiring work permits and adjusting to a foreign environment. These findings will be discussed below:

### 4.3 Experiences with the migration process

The main arising issues during their experiences with migration are challenges in acquiring work permits and adjusting to a foreign environment considering differences in culture and language.

**Table 3. Experiences that migrant teacher had with the migration process**

THEMES	Frequency	Percentage
Challenges on renewal of work permits	15	100%
Cultural adjustment and language barriers	14	93,33%

**Challenges on renewal of work permits:** The major challenge that was cited by all fifteen teachers was that of renewal of work permits. The SAn government does not permit foreign nationals to work without permits. Zimbabwean teachers explained that the process requires a lot of paper work and the renewal of a work permit requires an offer letter of employment from the schools. Teacher S stated that: *“.....there were challenges because for you to be able to apply for a renewal of a work permit you needed to have secured a job, the school should have issued an offer letter of employment, yet for you to be given that letter at the school they wanted a work permit”*.

Therefore, teachers ended up being caught in this contradictory position and this led to some of the teachers resorting to use a refugee status permit so as to be able to legally stay in SA and look for menial work while waiting to get a teaching job. Teacher N cited that: *I was doing some informal jobs like piece jobs for example you can work per day and get some wage and then you can buy some little food”*.

The results from the sample revealed that most teachers from the study moved into SA in 2007, and they revealed that at that time the migration process was easier. Teachers could easily get access to work permits, especially Maths and Science teachers. This is in line with Wetzel *et al.* (2006) who noted that to shield SAn job-seekers, various restrictions are applied mainly through residence and work permits.

Most schools were terminating the contracts they had with migrant Zimbabwean teachers. To get rid of foreign nationals, immigration restrictions have been imposed on those trying to access permits. There are delays in the issuing of permits, the requirements are too much and they are always changing. This is consistent with what was cited by the Common Wealth Secretariat (2010) and SACE (2010) that to control foreign job seekers there is a requirement that teachers should be professionally registered before applying for a work permit. These are some of the requirements that have been put in place to try and make it difficult to acquire a work permit. Those who have been expelled are now working in private schools where they are underpaid because they know that Zimbabwean teachers are vulnerable and cannot go back to their country since the Zimbabwean economy is not doing well. This has also led to migrant teachers seeking assistance from lawyers who excessively charge them in exchange of a promise to accelerate the renewal and acquisition of permits.

- **Cultural adjustment and language barriers**

Upon entry into SA, Zimbabwean teachers found themselves in a new environment, characterised by a different culture and language. Differences in language hinder teachers to communicate well with the learners, colleagues and even to locals outside the work environment. Most teachers pointed out that black SAns are typically not receptive to use English as a mode of communication with others of African origin as they wanted to use their vernacular language. Other teachers cited that they had to learn to use the vernacular language to try to fit into the foreign environment and also to be able to communicate well with the learners and colleagues at work.

Teacher S cited that: *“The first challenge was which I would say the major one is settling in. in my case I had to learn a new culture, language in no space of time in order for me to be able to manoeuvre. When I arrived I was deep in a town ship where people understood no English or those who understood English there are not receptive to English as a language. They want to be addressed in their own language so that was the main challenge.*

The findings reveal that difficulties in communication emanates from the language barriers that exists between migrants and locals. Locals are used to speaking the vernacular language and they find it difficult to speak fluent English. This also manifests amongst learners who struggle to speak in English. This is a major concern since these learners write exams in English and fail to express themselves, resulting in failure. This problem needs immediate attention as this deprives learners to perform to the best of their ability. This is in line with Matimba (2015) who stated that skilled migrants are required to know the official language of the host country.

The other factor that was of concern to most teachers was that most SAns exhibited xenophobic attitudes towards foreign nationals and there is a stigma associated with being foreign. There is a stigma associated with the economic hardships in Zimbabwe and the crumbling economy. This is an obstacle that foreign teachers face when relating to the parents of the learners as they felt parents showed a condescending

attitude towards them. Teacher S stated that “.... some attitudes emanate from the community where the learners come from, so being foreign has got some stigma”.

Xenophobia was cited by all the teachers as a major concern and it hinders their free interaction with their local colleagues. Migrant teachers are of the view that they are seen as insignificant and they feel unwelcomed. Teacher V articulated that at school where she taught she saw that there were two groups, one for the migrants and one for the locals. This reveals that there are no good relations between the two groups. This is in line with Kostogriz & Peeler (2007) who noted that migrant teachers are considered as the peripheral ‘other’, the stranger and the ‘foreigner’ apparently for the reason that their cultural and linguistic difference from their ‘mainstream colleagues. Teacher S noted that she felt out of place and always reminded that she was not part of them.

### 3.4 Adjusting to the work environment

Investigating how migrant Zimbabwean teachers are adjusting to their work places is the main concern of the DoE (DOE) as it has to do with the well-being of teachers at work. Below are findings on work adjustment.

Table 1. Issues affecting the work adjustment of migrant teachers.

THEMES	Frequency	Percentage
Differences in teaching methods	10	66.67%
Lack of basic foundational competence	15	100%
Ill-disciplined learners	15	100%

The issues that arose when the work environment in SA and that of Zimbabwe were compared included; differences in teaching methods, lack of basic foundational competence and ill-disciplined learners.

- **Differences in teaching methods**

Ten Zimbabwean migrant teachers were of the view that Zimbabwean teaching methods are result orientated unlike in primary and secondary schools in SA. They stated that in Zimbabwe, learners are taught until they master the important concepts before they move on with the syllabus. They argued that in SA, they are forced to move on with the syllabus before even considering whether the learners have understood or not. This substantiates the fact that much attention is given to content and not in finding out whether the learners comprehend what they are learning.

- **Lack of basic foundational competence**

All fifteen teachers argued that learners lack basic foundational competences this is due to the shortfall in the education system as mentioned above. Teacher D had this to say: “.....*generally learners in SA lack basic foundational competences so when you are teaching them there are a lot of things that you do not have to assume that they know also their study habits they are generally shallow*”. From the onset in most primary public schools, learners are taught in their vernacular language. Evidence of this is found as most of the learners in high school of public schools fail to communicate well in English.

They also argued that the lack of basic foundational competence is also usually exacerbated by poor study habits. Teacher D stated that: “..... *also their study habits they are generally shallow so the teacher has to work much harder as compared to Zimbabwe where the study habits and the patterns of learners is that they seek in-depth knowledge learners are not happy in the shallow understanding of concepts.....*” Most migrant teachers also complained that SAn learners do not have good study habits and as a result this is revealed in their failure to perform in the examinations. This is consistent with Keevy *et al.*, (2014) who cited that migrant teachers argued that given their professional background in other countries, the nature of the SAn curriculum and teaching particularly with regard to assessment, what is considered to be a passing grade in SA is seen as counterproductive.

#### **Ill-disciplined learners**

All participants explained that the learners lack respect and do not have the zeal to learn. One of the teachers was of the view that in SA, learners really observe their rights to the extent that as migrant teachers they are very cautious not to impede their rights. This actually affects their job performance because learners usually end up doing whatever they want. Teacher M stated that: “.....in our country Zimbabwe there were now saying there is no corporal punishment, but there was still room to rebuke the leaners and there were still manageable in terms of character and they listened to their teachers but it is different here”. This, in line with Vandeyar (2014) who noted that the other perception that students have of migrant teachers is that they are foreign and therefore should not teach them, rather they should return to their countries. However, others regarded them as hardworking and committed to their work. This implies that Zimbabwean migrant teachers face mixed reactions from the students they teach and this can have a positive or negative impact on their job performance.

#### **4. LIMITATIONS OF THE STUDY**

Xenophobia and ill treatment by police in SA may make some participants distrustful and hesitant to provide personal information. The snow-ball sampling adopted, allowed the researcher to only sample individuals in the same network of friends whose experiences may be homogenous. This may introduce bias in the sample. This would not allow the generalization of the findings (Kar & Ramalingam, 2013; Doody & Noonan, 2013).

Reliable data on foreign teachers could not be established seeing that the SACE and the DOE do not have records. In eThekweni Municipality, some teachers are employed by schools, directly by school governing councils or without the involvement of the provincial DOE. As a result of this, the population size of migrant teachers is uncertain. One way to overcome this was to continue with interviews until data saturation took place (Kar & Ramalingam, 2013; Doody & Noonan, 2013).

#### **5. RECOMMENDATIONS**

SA's restrictive immigration policies have been identified as a major challenge by the migrant teachers in this study. In order for SA to truly benefit from the migration of highly skilled individuals into the country, its migration policies have to begin to mirror those of countries that have dominant immigrant economics like the USA, Canada, Australia and Singapore (Rasool, 2010). In order to deal with the cumbersome immigration processes with regards to the renewal of the work permit, a thorough reconfiguration of the processes at Home Affairs needs to be undertaken to ensure the efficient authorisation of migrants' work permits in a timeous manner.

In addition, it is recommended that induction programs should be provided by the employers (DoE) or even SACE. The findings presented here indicate that there is no induction programme specifically designed for migrant teachers that will help them adjust to their new work environments (Dickmann, Doherty, Mills, 2011).

Furthermore, it is recommended that the DoE, take ownership of the recruitment and selection of migrant teachers, so that this process can be more regulated and transparent. Thereby ensuring that migrant teachers are treated with dignity and respect and not exploited by unscrupulous individuals.

Training programmes such as cultural awareness training amongst communities and schools can help to address xenophobia. In conjunction to these training programmes, all stakeholders have to be taught on how to treat and relate to migrant teachers, as well as vernacular language workshops to train migrant teachers in languages such as Isi-Zulu which would be very helpful in facilitating their cultural adjustment.

#### **6. CONCLUSION**

This study was undertaken to explore the experiences, the adjustment of migrant teachers to teaching in SA as well as their reasons for migration. The interviews revealed that migrant teachers are vulnerable and despite the challenges they are facing they cannot go back to Zimbabwe due to the economic crisis the country is facing. Economic crises was one of the major driving factors that led to the migration of Zimbabwean teachers. Zimbabwean teachers have faced xenophobia in and outside the work environment, challenges with renewal of their work permits, lack of job security and underpayment of those working in private schools.

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## MOB JUSTICE [VIOLENCE] ON STOCK THEFT CASES: IS THIS THE SOUTH AFRICAN LIVESTOCK FARMERS' LAST RESORT?

### **Khomotjo Lekgau**

University of Limpopo, South Africa

E-mail: khomotjo.lekgau@ul.ac.za

Orcid ID: <https://orcid.org/0000-0003-4551-2459>

### **Witness Maluleke**

University of Limpopo, South Africa

E-mail: witness.maluleke@ul.ac.za

Orcid ID: <https://orcid.org/0000-0002-6228-1640>

### **Ntwanano Patrick Tshabalala**

University of Limpopo, South Africa

E-mail: patrick.tshabalala@ul.ac.za

Orcid ID: <https://orcid.org/0000-0002-8106-7631>

### **~Abstract~**

*The number of stock theft cases reported to police for the 2017/2018 financial year increased by 7,2% in 2017. In collation, the 2017 stock theft cases statistics for the period of April 2016 to March 2017 cases showed an 8,8% increase, from 24 715 to 26 902, compared to the previous annual stock theft cases reporting period (April 2015-March 2016), reported to South African Police Service (SAPS) over the past decade. This study explores the prevalence of mob justice [violence] on stock theft, by determining if this is the last resort. This research was conducted to develop best practices to be employed by the local SAPS and other relevant stakeholders in addressing the associated level of victimisations. The non-empirical research design (systematic review) was adopted in this study to generate new knowledge on the topic. A quantitative research approach was adopted, supported by qualitative documents for data collections (documentary sources). The researchers further applied Content Analysis (CA) to sample documents on stock theft epidemic and Textual Analysis (TA) was used for data analysis. The main findings of this study provide that despite the existence of community structures to mobilise local communities against crime, mob justice still become the order of the day, coupled with under-reporting of this crime; further leading to poor detection and low conviction rates; limited of resources to effectively respond to this crime. Based on these findings, it is concluded that the community members should not take the law into their own hands against stock theft, moreover, there are recommendations to use other available avenues such as traditional and Magistrate Courts. Thus, evaluation and control of this mandate would go a long way towards informing individuals that mob justice should be ignored at all costs.*

**Keywords:** Livestock farmers, Mob justice, Stock theft, Violence, South Africa

**JEL classification code: K14**

## **1. INTRODUCTION AND PROBLEM FORMULATION**

The quintessential modern rural livestock farming practices is a contradiction. Lucrative yet fuelled with vast problems related to stock theft. It is risky though seductive. Historically, this crime is nothing new in South Africa, it is considered [by some] to be as old as farming itself, with recorded cases to be traced back to 1806. It is also believed that African cultures cattle raiding [stock theft] formed a major part of warfare. Crime statistics results of 2017/18, recorded stock theft as one of the largest increase with 27 715 to 26 902 reported in 2016/17 depicting an increase of 8,8% and 28 849 in the 2017/18, amounting to 7.2% increase of the annual stock theft cases reported to SAPS. The latest figure paints a ghastly picture for this crime, further causing great alarm in communities across South Africa (Crime Statistics South Africa, 2015:1). Despite the high levels of mob justice, communal concerns remain limited. The outbreak of mob justice violence incidences nation-wide is a terrible warning of South Africa's imminent slide into lawlessness (Sibanda, 2014:1). Mob justice is an illicit practice whereby community members unlawfully apprehend the person who is suspected to have committed crime. However, the suspect is not directly

taken to prison but the community members take the law into their hands by assaulting the suspect or killing them to send a message to other criminals. (Hornby, 2010:950). This violent act is practiced by members of society, not only in South Africa but other African countries, such as Uganda, Ghana, and Cameroon (Levine, 2011:3). These incidences may not occur daily, however, their spread across the calendar is an uncontrollable reality everyone should be concerned of (Madienyane, 2013:2), as it has become a serious matter for the Criminal Justice System (CJS) and society in large (Sekhonyane & Louw, 2011:4). With various reasons on contributory factors to why most communities are involved in this scourge, this unanswered question remains hanging; 'is this the last resort for the livestock farmers of South Africa?'

To this course, this study explores the prevalence of mob justice [violence] on stock theft, by determining if this is the last resort. This was conducted to develop best practices to be employed by the local SAPS and other relevant stakeholders in addressing the associated level of victimisations of vigilantism.

## **2. METHODS AND MATERIALS**

In this study, a combination of empirical (Focus Group Discussions – FGDs, conducted in Limpopo -20 prominent livestock farmers from Giyani policing area- and 24 selected livestock farmers of KwaZulu-Natal (KZN) Provinces, from Bulwer, Ladysmith and Utrecht respectively in 2012, 2013, 2014, and 2016) and non-empirical research designs (i.e. systematic review) to obtain new information on the topic. In order to support the systematic literature review, qualitative documents [online mass media - Newspaper articles] were accumulated and analysed from 2016 - 2018). However, the manner in which questions of documents were executed, is a similar procedure as one might ask questions to the research participants (Matthews & Ross, 2010: 282). A qualitative research approach was adopted in this study to gather perceptions, attitudes, views, and opinions. The non-probability: Purposive sampling and Content Analysis (CA) were also applied to sample the selected participants and documents on stock theft epidemic. Textual Analysis (TA) was used for data analysis as the collected data was more qualitative in nature, for example, the responses expressed by the selected participants and reviewed documents were merged to solicit the underlying approach or 'agenda' of these participants and documents.

## **3. BRIEF LITERATURE STUDIES ON MOB JUSTICE**

Historically, mob justice is the focal concern in the South African black townships (Baloyi, 2015:1). South African constitution under the bill of rights embraces distinct human rights including a to right life. In contrary, mob justice is still practiced as a disciplinary resolution by the public to the suspected perpetrators. Albeit, killing a person is a crime which is punishable by the law (Baloyi, 2015:1). This practice did not only exist in apartheid times but also after democracy. In Limpopo Province, South Africa, there was a vigilante organisation called *Mapogo a Mathamaga* meaning 'if you are a leopard, I will turn into a tiger' that was formed on 25 August 1996. This organisation was established after six business people were violently killed in the Nebo area of Sekhukhune in Limpopo Province, South Africa (Oomen, 2004:3). The vigilante organisation would then respond to crimes, which were prevalent during its existence. One of the South African provinces formally known as Northern Province [currently Limpopo Province] was experiencing a high rate of crimes such as robbery. Criminals would normally target local businesses such as supermarkets, liquor stores, and petrol stations with an intent to commit robbery. Furthermore, these criminals would rob and ultimately assassinate business owners (Oomen, 2004:3). Subsequently, numerous business owners were prone to robbery and murder on daily basis due to the prevalence of crime at that moment. As a response to the aforementioned crime and related ones (which were rampant at the time), *Mapogo a Mathamaga* was established, solely for the purpose of dealing with the perpetrators of violent crimes. The modus operandi of this organisation was violent thus that when a crime was committed, the angry mobs dragged suspected criminals from their houses, to give them "a hell of hiding" prior taking them to the police station. In addition, suspects were tortured by dragging them behind cars on gravel roads and ultimately fed to the crocodiles-infested rivers.

## **4. OVERVIEW OF MOB JUSTICE IN AFRICA: A SELECTIVE OVERVIEW**

Many suspects of violent crimes together with innocent people easily lose their lives a result of a growing mob justice, which is prevalent in various regions of South Africa. This transpires due to the fact that citizens no longer have trust in the South African Justice system, which is believed to be inappropriately responding to crimes. Consequently, community members are hopeless and ultimately resort to taking the

law into their hands by punishing suspects of crime through mob justice. However, the manner in which communities respond to crimes worsens the situation. The author is of the notion that two wrong practices cannot make even one right practice. South Africa is a country without safety from both the community members and the police whose duty is to ensure the safety of its citizens. This makes law-abiding citizens to often live in shock and fear. The author is of the notion that church can be used as a last resort in addressing mob justice, as a custodian of peace and hope, which cannot fold its arms and let citizens be threatened on its presence. Theology can be a good theology if it immediately communicates to the hurts of people during their predicaments in relation to the context of mob justice. Therefore, it is tasking the church to take a minimum of responsibility to warrant condemnation of mob justice. Additionally, the criminal justice system ought to regain its possession to retain the safety and security of its citizens by imposing incarceration of suspects and ultimately impose harsh punishment according to the crime committed (Baloyi, 2015:7). African countries, such as; Lesotho, Kenya, Eritrea, Nigeria, Argentina, Australia, Brazil, California, Chile, New Zealand, Paraguay, Texas and Oklahoma, United States and Uruguay are not immune to this crime. For the purpose of this study, few African countries were selected to indicate this problem as discussed herewith:

#### **4.1. Burundi**

The Human Rights Watch (2010:2 & 3) provides that mobs killed individuals in Burundi for alleged different offenses such as armed robbery, rape, adultery, petty theft, murder, and stock *theft*. When an individual incarcerated by Human Rights Watch and the Association for the Protection of Human Rights (*Association pour la Protection des Droits Humains et des Personnes Détenues*, (APRODH), they request community members, comprising of those who are self-identified as participants during the assassination and to explicate on why those suspected of crimes were often murdered rather than taking them to the police, the majority of replies were nearly same. The results indicate that their reliance on police and judicial system has diminished because of passive and poor reaction to crimes. Moreover, corruption, incompetence, shortage of resources is believed to be the reasons behind the police force and the judicial system's underperformance and as a result people take the law into their own hands to punish those who commit crimes such as robbery. The most common comment was as follows in verbatim: *"When we apprehend thieves and turn them over to the police, they are freed two or three days later. So we decided to take justice into our own hands."* Perpetrators of mob justice seldom got arrested by the police due to the nature in which mob justice occurs.

#### **4.2. Ghana**

Mob justice in Ghana is attributed to the unwarranted delay in justice delivery. The justice system is viewed as being too slow in dealing with criminal cases. A further reason for mob justice is the perceived public unhappiness with the system of criminal punitive measures. Even thou the punitive measures are clearly stated, the judges exercise their discretion to impose minimum sentences in hideous offences. Subsequently, people become disgruntled and dismayed and as a result, mob justice becomes an option to impose a commensurable punishment to the crime. Furthermore, bribery, corruption, and the unscrupulous conduct of few policemen and legal officers alongside with vain and worthless police examinations are the basis for mob justice (Gyamfi, 2014:89). This practice is to secure communities justice and peace by sending a signal to prospective criminals to refrain from operationalising their intentions into actions (Yeboah-Assiamah, & Agyekum Kyeremeh, 2014:1).

#### **4.3. Tanzania**

Theft or robbery is one of the crimes in which the perpetrator can be unlawfully be punished by the citizens of Tanzania. This happens because community members may take the law into their own hands. Albeit criminals can also be punished for committing other crimes. However, the most punishable crime by mob justice in Tanzania is theft or robbery. The prevalence of theft is believed to be caused by the high rate of unemployment, incompetent law enforcement, insufficient proper education, severe economic climate, and failure to implement proper programmes intended to eradicate poverty (Chalya, Ngayomela, Ramba, Kahima, Kapesa & Ngallaba, 2015:7).

#### **4.4. Uganda**

In Uganda, mob justice is an emerging concern in Uganda. The environmental design of human settlement is highly cited as a cause, constraining law enforcement personnel to perform their functions effectively, as community members find it difficult to reach the local police stations, leading to limited crime reporting and the use of mob justice as a remedy, Glad, Strömberg and Westerlund (2010:np).

## **5. THE CAUSES OF MOB JUSTICE**

The study conducted by Sibanda (2014:33) and Salifu and Gholami (2018:5) found that rural livestock farmers' experiences distinct challenges in line with policing stock theft. This works against their sustainability owing to the loss of livestock. Their response is accompanied by violent actions. However, this study presents the causes of this crime as follows (i.e. The list is inexhaustible):

**5.1. Weak law enforcement and corruption:** Corruption act as a contributory factor to stock theft, criminals usually bribe police officers to make docket disappear. Consequently, criminals easily get away with this crime, adding to mob justice violence as a last resort.

**5.2. Legislation and crime prevention:** The punishments handed out by the Justice System (i.e. court) are not in proportion with the crimes committed. The legislation does not offer expected justice, making livestock owners use criminal acts as a way of punishing potential perpetrators.

**5.3. Education:** Illiteracy can be seen as another cause of mob justice in the sense that uneducated individuals may not be familiar with the laws governing them or how the legal system works. The only possible solution for crime prevention can be to take the law into their own hands (i.e. mob justice).

**5.4. Poverty and Unemployment:** Poverty is another factor that causes mob justice in a sense that those who are deemed to be poor might not be favoured by the CJS, they then retaliate to mob justice as a sense of justice.

## **6. MOB JUSTICE [VIOLENCE] ON STOCK THEFT CASES ANECDOTES: PROVINCIAL FOCUS**

All Nine (9) South African provinces are victims of stock theft. Equally, the South African Society for Animal Science reports that this is one of South Africa's most persistent crimes with about 400000 domestic animals, valued at more than R1 billion reported stolen between 2006 and 2010, with 2018 still showing estimation of R1 billion losses suffered in this sector and it is expected to further escalate, subsequently, Northern and Western parts of KZN, Northern-eastern Free State, and Mpumalanga currently (2019) are regarded as the most affected areas. The following notable incidences were reported across South Africa, involving cases of stock theft. Reputable newspaper articles were sourced to indicate the manifestations of this crime in the country [i.e. not in order of importance]:

### **6.1. 'Eastern Cape 'thieves' stabbed, shot, thrown over cliff) - Eastern Cape Province', 11 April 2018**

Five men accused of waging crime against a Mount Fletcher community died horrifically when a mob apparently stabbed, shot, and threw them over a cliff. The mob was believed to be responsible for a number of criminal activities for over five years in the area, including *stock theft* and burglary. These killings were viewed as barbaric and inhumane, citing that mob justice would not solve any of the community's existing problems (Ncokazi, 2018:1).

### **6.2. 'Libode police condemn mob justice after bodies of alleged stock thieves found' - Eastern Cape province, 2 August 2017**

Police in Libode issued a stern warning to community members not to take the law into their own hands after four male bodies, aged between 30 and 55 years old were found dumped at a nearby forest, with stab and gunshot wounds. It is alleged that the deceased was accused of being linked to *stock theft* in the Libode area and all were from the same locality. As a warning, the SAPS revealed that they will not tolerate this behaviour because revenge-seekers become criminals themselves and they can be arrested as an option for their unlawful actions. The community members should work with the SAPS and report criminals and criminal activities irrespective of the nature of the incident, stock theft included (Palezweni, 2017:1).

### **6.3. 'Stock theft' leads to mob violence' - Limpopo Province, 20 November 2017**

A Limpopo village was rocked by violence sparked by allegations of *stock theft*, resulting in four houses and a car being set alight. The attempted murder and malicious damage to property made news headlines after villagers at Vlakfontein, near Groblersdal, went on a rampage, burning houses of suspected thieves. This was after an undisclosed number of goats in the area were allegedly stolen. Police rescued two suspected people who mobilised this mob justice, the exaction of instant justice against them was shared. This incident happened in the wake of reports of stock theft being on the rise in the province and nationwide (Mahopo, 2017:1).

#### **6.4. '4 Alleged stock thieves killed in Eastern Cape mob justice attack' - Eastern Cape, 01 August 2017**

In Eastern Cape, a car was found burned in which four men between the ages of 30 and 55 suspected to have been murdered by the angry community members. This killing was associated with stock theft. The police officers found four corpses with numerous injuries, which were believed to be the motorists whose car was found burned in *Mphangana, Libode*. However, the SAPS condemned this vicious practice (i.e. assassination) by the community members and advised that any criminality acts should be reported to the police for possible arrests, the community members should not take the law into their own hands. It is noted that revenge to stock thieves remains a crime punishable by the law. Thus, two wrongs cannot make one right; this posit that community response to crime by exerting violence makes the society more disorganised. If they react to crime, it should be done in collaborations with SAPS or Community Police Forum (CPF), which intend to fight crime by working in collation with the local police (Spies, 2017:1).

#### **6.5. 'A man was ferociously beaten to death for allegedly stealing a goats in Rustenburg' - North West Province, South Africa, 29 June 2016**

An accused male was beaten to death at Moretele village near Taung (North West) for stealing eleven goats and his car was set alight by the angry community members who took the law into their own hand, and as a result, the victims become the perpetrators. According to solicited information; the Vryburg SAPS Stock Theft Unit (STU) responded swiftly after obtaining information regarding the alleged community violence and the suspects were rescued. Community members became upset when one of the community members alerted them about the remains of the two goats, which were found in the suspects' car. They immediately presume that the owner of the car is responsible for the theft of the disappeared eleven goats in the area, eNews Channel Africa [eNCA] (2016:1).

#### **6.6. 'Two bakkies torched following stock theft' – Limpopo Province, 24 August 2015**

Two Bakkies belonging to stock thieves were burnt to ashes by an enraged mob next to the R36 road. This after two motor vehicles were found carrying 16 stolen cattle carcasses. "When the police approached the Bakkies, one suspect ran away and the other one was arrested on the scene after 16 cattle carcasses were found on the back of these Bakkies," The other suspect was later arrested following a massive search in the bushes. "While we were still at the scene, a large number of community members including the owners of the stolen cattle arrived and demanded that one of the suspects be handed over to them. Police refused and managed to get away with the suspect" (Letaba Herald, 2015:1)"

#### **6.7. 'Watch villagers kill a man over suspected stock theft' - VIDEO) – Eastern Cape Province, 02 July 2015**

23 villagers have appeared in the Tsolo magistrate's court for the brutal murder of a man they accused of stock theft. David Tsali, a father of four, died of his injuries later that day. A video posted to YouTube by Daily Dispatch showing a vicious assault on an Eastern Cape man who died as a result of his injuries has led to the arrest of 23 people (Newswire, 2015:1). The nine-minute long clip shows a group of people assaulting a victim from Mayabuleni village in Tsolo after he had been accused of stock theft. A victim is seen lying on the ground with his hand and legs bound and a bag placed over his head – is whipped with *Sjamboks* by several people while others watch. Villagers alleged that a victim was the mastermind behind a series of *stock theft* incidents in the area. The father of four died in hospital the same day from his injuries, Newswire (2015:1).

## **7. STUDY RESULTS AND DISCUSSIONS**

The main findings of this study provide that despite the existence of community structures to mobilise local communities against crime, mob justice still become the order of the day, coupled with under-reporting of this crime; further leading to poor detection and low conviction rates; limited resources to effectively respond to this crime. The other findings also highlighted that mob justice on stock theft is used as a last resort to respond to stock theft since the trust between the SAPS officials is currently in disarray. With this study, the causes of this crime are demarcated to the following factors: 'Easy bail conditions, Lack of trust in the police, weak law enforcement, fighting crime - Filling the police gap, Police corruption (allegations of SAPS and Department of Justice and Constitutional Development - DoJ & CD officials' involvement in stock theft). This factors weaken the Criminal Justice System[CJS] and render false accusations, contribute to bloodshed society and add to traumatic experiences to the community members, perpetrators, law enforcement agencies (SAPS members attending a crime) and victims'. The attempt to instill fear to stock thieves result in a hopeless situation to interested families. The following verbatim expressions highlight livestock farmers' frustrations associated with stock theft in the selected areas of Limpopo and KZN Provinces:

*"We are intending to take the law into our own hands as the police have failed to help. It should be emphasized that stock theft in the area is a thorny issue in our area. Since the police are not coming closer to the affected area while our animals are stolen, slaughtered and sold."* (Utrecht, KZN Province FGD)

*"The issue of taking the law into their own hands limit police capabilities. People can sometimes kill a person who can provide the police with detailed information to lead to the arrest of accomplices or accessory after the facts. This provides a negative reputation about the CJS"* (Giyani, Limpopo Province FGD)

*"Mob justice is a fair punishment to eliminate stock theft. Once criminals are beaten they will never repeat the same actions again ... this can send a clear message to the potential criminal who witnesses mob justice"* (Ladysmith, KZN FGD)

*"Fear of being the next victim of stock theft lead to mob justice in our communities. Stock theft is high and the police are unable to protect us ... when we call the police in the evening they take long hours to come or not come at all complaining about been under-staffed and resourced, we no longer wait for them, we give their own punishments to these criminals. The livestock farmers think it is better they fight it by taking the law into their own hands"* (Bulwer, KZN Province FGD)

*"We are disappointed by the way the police deal with stock theft. They are very much incompetent. The Community Policing Forum (CPF) is toothless, as they do not carry weapons to protect themselves against criminals, leading to displays of harsh actions by the communities against stock thieves"* (Giyani, Limpopo Province FGD)

*"There are incidences whereby the most wanted stock thieves were caught by the livestock farmers, with community aid, however, the police failed to show up upon been called. This type of behaviour indicates a lack of responsibility, leading to people doing police's works"* (Utrecht, KZN Province FGD)

*"During mob justice, people use different kind of weapons and do not choose who should take part or not. Nobody is restricted as it is a community matter. Sometimes you will see even children throwing things, calling all sorts of names. This type of behaviour for our young generation is morally wrong. We may raise children that view this as part of our culture"* (Bulwer, KZN Province FGD)

*"Sometimes it happens that people attack a wrong person who knows nothing about the things the community is accusing him/her of"* (Giyani, Limpopo Province FGD)

*"These things remain in person's mind for a long time, it is shocking to see someone who has been stoned to death lying there helpless and bleeding"* (Ladysmith, KZN Province FGD)

*"Most people who have their family members beaten by the community are scared for their lives. In most cases, they are told they live with criminals and they should relocate into a new area"* (Bulwer, KZN Province FGD)

*"The incidences happening during the night have no evidence of revealing who was there or not. This leads to no arrests by the local SAPS while families live in fear daily"* (Utrecht, KZN Province FGD)

As indicated by the verbatim expressions from the nominated study of participants from Limpopo and KZN Provinces in 2015, Crime Statistics South Africa intended to understand the high occurrence of stock theft in South African provinces, counting the two selected provinces. To this cause, the provincial focus [i.e. in sequence] on this practice was presented by Ncokazi [2018], Mahopo (2017), Palezweni (2017) for Eastern Cape Province, Spies (2017) for Limpopo Province, eNCA (2016:1) for North West Province, Letaba Herald (2015) for Limpopo Province and Newswire (2015) for the Eastern Cape Province. Sibanda (2014), Baloyi (2015), and Oomen (2004) agree that the existence of mixed-emotion is ethical attached to mob justice incidences in response to any crime [i.e. stock theft is no exception in this regard]. The conceptual limitation of mob justice was clarified by Hornby (2010), whereas, Chalya *et al.* (2015), Levine (2011) and Human Right Watch (2010) show that mob justice goes beyond South African borders to other African countries, such as: Burundi, Cameroon, Ghana, Tanzania, and Uganda. Chalya *et al.* (2015) looked at the associated effects of this practice, with the indicating specific variables, related to anatomical sites of injuries and related types, demarcated to injury and loss of innocent lives, as well as the traumatic experienced.

Moreover, Madienyane (2013) supported the authors' views by stating that this practice spread across the calendar. Thus, this practice is concerned with the CJS and society in larger as provided by Sekhonyane and Louw (2011). Moreover, In addition, mob justice as a common strategic practice to prevent stock theft in African countries was discussed by Crush (2010), while indicating the in-fighting between South Africa livestock farmers and Basotho border villages. Consequently, Clack (2017) believes that [stock thieves] are given lessons to pass to others, this is viewed as a direct connection of attempting to prevent stock theft. Sibanda (2014), Salifu and Gholami (2018) shared the cause of mob justice [violence] as a recourse to crime [i.e. stock theft] and they include weak law enforcement, corruption, ineffective legislations, inadequate crime prevention strategies, lack of educational awareness and training, as well as poverty and unemployment.

## 8. STUDY RECOMMENDATIONS

Based on the findings, the research recommended that the community members should not take the law into their own hands against stock theft, other available avenues such as traditional and Magistrate Courts should be used. Evaluation and control of this mandate would go a long way towards informing individuals that mob justice should be ignored at all costs. This should be geared towards the following as cited by Maluleke (2014:118-122):

- **Intelligence-Led Policing operations:** The need to improve the use of information gathered through Intelligence-Led Policing (ILP) and enforcement is highly sought, this will help in providing detailed information about the commission of stock theft to enhance the current misunderstanding associated with the use of mob justice [violence] as a last resort of responding to this crime.
- **Closer collaboration, interaction and information exchange:** The currently employed ILP procedures by the SAPS STUs in KZN and Limpopo Provinces requires a new radical approach, involving closer collaboration, interaction, and information exchange of all relevant role-players. This radical approach calls for the establishment of the intelligence function that produces operational and tactical intelligence in these provinces. The closer collaboration, interaction, and information exchange should be aimed at combating and preventing, allegations of participation by the SAPS STUs members and DoJ & CD officials in stock theft.
- **Promoting greater awareness in the province and neighbouring countries:** It remains essential for the SAPS STUs, in collaboration with the local SAPS STUs, as well as the existing livestock forums, to promote greater awareness of stock theft risks and mob justice actions in these provinces.
- **Improved resources, advanced training, and better education:** It is very crucial that the SAPS STUs officials be consistent when exposing the relevancy and the advanced exercise to establish knowledge of investigations and analytical expertise. In cooperation, the local SAPS at the police station and satellite units should be reinvigorated to work together against stock theft.
- **Strengthening the enforcement response and reporting techniques:** The SAPS STUs need to rise to the challenge of constraints on police resources by developing innovative partnership solutions with all relevant stakeholders on stock theft and related mob justice incidences. They should disseminate good practices on policing stock theft syndicates across the identified policing areas.

## 9. CONCLUSION

The information provided by this study shows that mob justice is sometimes used as a last resort to police in stock theft in the selected provinces across South Africa. In other situations, this practice is not welcomed by society members, while been practiced as a method containing violence because it can result in loss of lives for innocent people. The rural livestock farming practices play a significant role in the livelihoods of rural communities in poor developing African countries. Stock theft currently (2019) reached an alarming level in Africa, further exacerbating poverty. This crime not only threatens and the sustainability of the country's livestock industry and food security but destroys high potential economic growth. With cross-border stock theft also increasing and limited effective strategies to address it, this also fuels mob justice practices. A new strategy should be developed to prevent stock theft in Africa. Further studies are needed to build relationships between the local communities and the CJS. For the remedy, it is indicated that the reasons that encourage this violent behaviour rest in the operations of the CJS. Communities are often forced to intervene in matters of crime through violence to improve the level of safety and preservation of livestock. It is further concluded that the SAPS STUs should align with the current technological advances and improvements. They should introduce the use of technological advances made as an essential means to detect stock theft. These includes the usage of computers, staging of the database system, proper facilitation of crime trends, and surveillance to eradicate this increasing stock theft crimes in South Africa. It is suggested that a computerised tracking livestock identification system, to control, and monitor stock theft movements, should be introduced to add to the simultaneous operations of the SAPS STUs, livestock farmers, and the community members. This can positively address mob justice if applied correctly.

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## THE CHALLENGES OF LAND RESTITUTION IN SOUTH AFRICAN RURAL COMMUNITIES: A CRIMINOLOGICAL AND LEGAL NEXUS

### **Khomotjo Lekgau**

University of Limpopo, South Africa

E-mail: khomotjo.lekgau@ul.ac.za

Orcid ID: <https://orcid.org/0000-0003-4551-2459>

### **Rakgetse John Mokwena**

University of South Africa, South Africa

E-mail: mokwerj@unisa.ac.za

Orcid ID: <https://orcid.org/0000-0003-1694-560X>

### **Ntwanano Patrick Tshabalala**

University of Limpopo, South Africa

E-mail: patrick.tshabalala@ul.ac.za

Orcid ID: <https://orcid.org/0000-0002-8106-7631>

### **Arnold Tawanda Milos**

University of KwaZulu-Natal, South Africa

Email: arnomilo@gmail.com

Orcid ID: <https://orcid.org/0000-0003-0193-4625>

### **~Abstract~**

*The post-apartheid administrations in South Africa are currently (2018) faced with readdressing the legacy of multifaceted poverty and social inequalities created by the apartheid regime. Restitution of Land Rights Amendment Act (No. 22 of 1994) was passed to offer a solution to people who had lost their land as a result of racially discriminatory practices such as forced removals. Between 2014 and 2016 conflicting matters emerged constitutionally and publicly regarding the Land Restitution Amendment Act (No. 15 of 2014) in terms of prioritisation of finalisation and processing of land claims. In contrary, unlimited challenges still [2019] affect settlements of land claims in South Africa, with the traditional leaders continuing to make monetary gain without considering compensating their respective rural communities. This further leads to corrupt activities in practice by local traditional leaders. The objective of this article was to call for the revisiting of existing legislative frameworks to enhance transparency on land claims processes through application of criminological and legal theories. Methodological, the use of non-empirical research design [systematic review], predetermined key words/phrases (categories) were used for Qualitative Content Analysis (QCA) informing data sampling and selection processes. Data was restricted to 1994-2019 (25 for years' projection post South African democracy) to reach saturation, this was supported by Textual Analysis (TA) for data analysis. This article found enormous outstanding backlogs of land claims. and constraints in the government expenditure, persistent landlessness, rural poverty, as well as ambiguity of the land-reform policies. For recommendations, this article did not establish whether the selected legislative frameworks, legal, and criminological theories can be solely effective in responding to the land restitution process in South African rural communities nor can they collectively play significant roles in determining rightful allocations of land effectively. These should be addressed urgently, as they can be best used to clearly understand the nature of challenges presented by land restitution process, the associated contributory factors, the responses by relevant stakeholders to the identified challenges, and determine efficient strategies to act as a recourse to this troubling subject.*

**Keywords:** Criminology, Land restitution, Legality, [South Africa] rural communities, Traditional leaders

**JEL classification code:** Q2

### **1. INTRODUCTION AND PROBLEM FORMULATION**

In terms of the official government policy, the South African restitution process is intended to:

*Restore land and other restitutionary remedies to people dispossessed by racially discriminatory legislation and practice by providing support to the vital process of reconciliation, reconstruction and development* (Mbao, 2002).

Rugege (2004) submits that South Africa suffered a long history of colonisation, racial domination, and land dispossession that resulted in the bulk of the agricultural land being owned by a white minority. Land restitution process has brought justice to some South African citizens, however, it can never fully compensate the suffering caused through the dispossession of Black people's land. Branson (2016) shares that more than two decades after the end of apartheid, land remains an emotive fault line in South Africa. Many in rural communities have lost patience with the traditional leaders' paternalistic approach, commercial farmers, and mining corporations. Land and Accountability Research Centre (2016) highlights that the Constitution and the Interim Protection of Informal Land Rights Act [IPILRA] (No. 31 of 1996) recognise and protect the land rights of people living in rural areas. Under apartheid, residents of the Bantustans were deeply affected by land laws which left them vulnerable to forced removals. And yet, more than 25 years post the end of apartheid, South African residents are still uncertain about their land rights. However, Clark and Luwaya (2017) warn that to rectify the historical imbalances in power brought about by colonialism and apartheid as well as to give effect to the Constitution, the post-apartheid government embarked on a multi-faceted land [ineffective] reform programmes. Furthermore, Claassens (2014) reveals that land restitution is closely linked to the political will. Thus, a control over land creates power over people. Moreover, range of social, political and economic processes, and events are postulated as driving forces for land policy across South Africa, with 2030 alternative land question futures projected (Institute for Poverty, Land and Agrarian Studies, 2016). The Ministry of Agriculture, Rural Development and Land Reform (2019) calls for the recognition of the South African Presidency to soughts clarity between all role players for successful rural development and land reform.

Considerable percentage of land in rural South African communities comprises of rivers, grazing land, subsistence farming, irrigation schemes, and natural resources. The significant areas of land are owned by the State and under the custodianship of Traditional Authorities and the large tracts of high potential agricultural land is used for intensive and extensive farming activities (South African Yearbook, 2012:1). Gwanya (2010:4 & 5) The land under claim in South African rural communities poses a very serious challenge when it comes to social and economic development. On one hand, land redistribution processes in these communities may result in many people obtaining access to land, resulting in improved quality of life, while on the other hand it could result in large scale sterilisation of economic productive land, for example; the agricultural land and mining, which will lead to job losses if not well managed. The Restitution of Land Rights Act (No. 22 of 1994) states that those who lost their land during apartheid had four years to seek compensation or restoration but that process has moved at a snail pace. In 2014, the Restitution of Land Rights Amendment Act (No.15 of 2014) came into law, this give those who missed the 1998 deadline until June 2019 to lodge a claim, but this move put the existing claims on the back burner, further prompting various grassroots organisation to challenge the new Bill; they argued that the public was not properly consulted before the Amendment Act was introduced. The Constitutional Court has ordered that the old claims must be first finalised before the new ones are processed. Currently; the government is sitting with 20 thousand outstanding claims, a further 100 thousand claims and expected further 300 thousand claims in the last two years (2014-2015). More than 8 thousand claims dating from the 90s has yet to be settled, over 17 thousand had been approved but without any restitution (South Africa, 2019).

The consulted literature indicated the following challenges that the Land Claims Commission is facing in line with land restitution in South African communities, Kaplan (2017), Bosch ([sa]), Lowvelder (2016), Naidoo (2019), Thamm (2015), Institute for Poverty, Land and Agrarian Studies (2016), Strydom and Viljoen (2014), Nxumalo (2016), Parliamentary Monitoring Group (2003) and Hamusunse (2015): Counter claims or overlapping of claims; Validity of Chieftainship; Land owners challenging the validity of the claim; New land owners not having the expertise to continue with the production and running of the farm commercially; Capacity of staff to deal with all land claims at once; Negative media reporting; Illegal land occupation also poses serious challenge for South African municipalities in large; and Land belonging to the municipality and traditional leaders is illegally occupied, this has serious implications in terms of proper planning. Consequently, the purpose of this article was to explore the *“challenges of land restitution in*

*South African rural communities.*” Whereas, the objectives article was to optimise the challenges of land restitution in South African rural communities by responding to the following:

- Determining the effectiveness of the current methods used by the South African government for land restitution procedures in rural communities.
- Identifying challenging factors that hinder effectiveness of the current procedures in the land restitution processes in the South African rural communities.

## **2. MATERIALS AND METHODS**

This qualitative research approach article followed a non-empirical research design: Systematic review to find new knowledge on this topic. Predetermined key words/phrases [categories] in South African contexts (i.e. agricultural land, challenges of land restitution, land restitution in rural communities, Differential Association Theory and Legal Justice Theory, land reform, legislative frameworks on land restitution, land claims, pre-and-post apartheid land administrations) were used to conduct searches for Qualitative Content Analysis (QCA). This was done to inform the data sampling and selection processes, the collected data was restricted to 1994-2019 (25 for years’ projection - post South African democracy) to reach saturation, this was supported by Textual Analysis (TA) for data analysis. This article therefore seeks to explore the challenges of restitution in rural communities of South Africa. The used keywords/phrases were adopted to reduce data into themes, sub-themes, concepts/similar features and categories as indicated in the study findings section. This process was self-analysed by the researchers.

## **3. CRIMINOLOGICAL [THEORETICAL] AND LEGAL PERSPECTIVES ON LAND RESTITUTION IN SOUTH AFRICA**

This section discusses the theoretical framework guiding this article. The Differential Association Theory (DAT) and Legal Justice Theory were two theories used to guide this article. These theories were deemed necessary by the researchers as relevant in answering the objectives of this article to the challenges of land restitution in South African rural communities. These theories assisted the researcher in finding out the behavioural causes aligned to the study problem. In this section, the importance of the selected theories were presented by giving examples from different views on this subject and can be clearly understood to determine the existing challenge on land restitution, focusing on rural South African communities.

**4. THE DIFFERENTIAL ASSOCIATION THEORY:** This theory was developed by Edwin Sutherland proposing that through interaction with others, individuals learn the values, attitudes, techniques, and motives for criminal behaviour. Though it has been criticised because of its difficulty to test, the theory of differential association is the best-known theory in America used to determine criminal behaviour in human beings. Sutherland introduced the “white-collar-crime” and was mainly focusing on the fraud committed by officials who are in power for example, Members of Parliament, ministers, and so forth and how they misuse resources available to them by committing criminal activities against the public and their superiors (Sutherland, 1939).

## **5. THE ASSOCIATED PRINCIPLES OF THIS THEORY**

The following four (04) principles of DAT for the notable nine (09) guided this article as discussed in the preceding sections:

**1. Criminal behaviour is learned from others:** This principle implies that “criminality is learned in the same manner as any other learned behaviour” (Siegel, Ward, Brawley & Jemal, 2011). In this article, it implies that the commitment of fraudulent acts by the responsible government officials in the process of land restitution in (Kwazulu Natal) KZN is learned. The officials act in the same capacity and are always in interaction which is how they learn and pass to each other their fraudulent behaviour explicitly and or tacitly. It is no secret that every time when one comes to power, they follow the same pattern as their predecessor. This on its own tacitly suggests that they do learn from each other. In his discoveries, Sutherland was mainly interested in the fraud committed by the upper-world business executive against stakeholders. It is impossible for one to master committing crimes, especially which involves paperwork in line with the case of *Nongoma Commonage Community and Another v Regional Land Claims Commissioner, KZN and Others*. The Regional Land Claims Commissioner, KZN acknowledged the

receipts of the claim and advised Nongoma Commonage Community representative Mr Nzuzza, as the appointed Commissioner was satisfied that the claim met the criteria in terms the Restitution of Land Act and that steps had been taken to publish notice of the said claim in the Gazette. Even though the land in question had been valued, the claim had not been finalised, and the commissioner was not in communication. By notice of claim being published in the Gazette, it means that all the necessary processes were done. Therefore, for one to be able to commit such a fraudulent act, they would have learnt it for them to perfect it.”

**2. Criminal behaviour is learned in interaction with others in a process of communications:** This principle expresses that an individual does not begin disregarding the law basically by living in a criminogenic domain or by showing individual attributes related to guiltiness, for example, a low Intelligence Quotient (IQ) or family issues. Individuals learn as they effectively mingle and cooperate with different people who fill in as instructors and advisers for wrongdoing" (Siegel *et al.* 2011). This suggests that land crime lawbreakers learn to commit crime from other land crime offenders. For example, in the case of land guards discussed in the previous chapter, new land guards who end up being criminals learn from land guards who already have experience in that field. At first some start as non-violent but through learning from the others, they end up committing crimes too. Their initial reason for becoming land guards (protectors) is that they find it difficult to find employment. So, they will be doing for the sake of getting money for survival. The more they interact with others, the more they learn criminal behaviour as land guards. However, it must not be ignored that as mentioned before that some become violent just for the sake of being feared and respected among fellow gangs. Also, as discussed in the previous chapter, some association comes as a mob. The case of Zimbabwe where a mob was beginning the end of 1999, caused people to do land grabs. This is an example of crime caused by learning through interacting with others.

**3. The principal part of the learning of criminal behaviour occurs within intimate personal groups:** This principle stipulates that criminal behaviour is also learnt through participation within intimate personal groups. Therefore, this suggests that by simply socialising with individuals who are in crime, one can learn criminal behaviour. However, this process of socialising is difficult to understand (Lexington Books, 1982). Sutherland is of the view that people’s contacts with their most intimate social companions – family, friends, and peers – has the greatest influence on their development of deviant behaviour and an antisocial attitude (Siegel *et al.* 2011). On account of land violations, the guilty parties may have experienced childhood in families where there are relatives who are in the administration, and they have an approach to worm their way into the framework for money related advantages where kids saw it as a method for a living and increasing simple riches.

**4. When a criminal behaviour is learned, the learning includes (a) Techniques of committing the crime, which sometimes becomes very complicated and simple (b) The specific motives, drives, rationalisation, and attitudes:** This principle submit that crooks take in the best possible phrasing for their demonstrations and get affirmed responses to law infringement. Offenders must figure out how to respond appropriately to their unlawful demonstrations, for example, when to safeguard them, when to justify them, and when to indicate regret for them (Sutherland, 1883-1950). For example, the Land Claims Commissioner in the Elandskloof case<sup>1</sup> did not follow the correct procedure when he gave the land back to the claimants communally instead of giving it to families. This is a criminal practice which continually shows up in decided cases mentioned and discussed by this research paper. With that said, offenders

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<sup>1</sup> The story of Elandskloof is doubly tragic. In 1962 the 74 families living on the mission station farm were evicted. In 2014 nearly 20 years after the farm was reclaimed there are still many outstanding issues that have prevented the resettlement of the descendants of those evicted. A process to resolve these problems is now nearing its end. This heritage impact assessment that has been carried out indicates that the proposed housing and related infrastructure will have a high impact on heritage resources; the special landscape character of the valley, but measured against the re-settlement of the community the sustainable social and economic benefits derived from the development must be seen to outweigh the impact on heritage resources - *Aikman Associates [Online]*. 2014. Proposed housing and associated infrastructure development Elandskloof - Heritage Impact Assessment Report Case No. 130530JW35E Prepared in compliance with Section 38(8) of the National Heritage Resources Act (No 25 of 1999) Case No. 130527TS33. <https://sahris.sahra.org.za/sites/default/files/heritagereports/Case%202190%20HIA.pdf>. Accessed: 2019/07/03

learn to dodge the correct process of giving the land back. They do not do this to all the claimants, but they calculate on whom to apply this as they know that most of the rural claimants do not do a follow up due to lack of knowledge.

## 6. LEGAL JUSTICE THEORY

This theory was adopted to unpack the challenges of land restitution in South African rural areas from a legal point of view. Banfield (2018) defines justice as “giving each person what he or she deserves or, in more traditional terms, giving each person his or her due.” Historically, the land crisis in Africa began when the European settlers disposed the natives of their land through colonialism in the 1870s (Christopher, 1983). Banfield (2018) reveals that the land is natives’ due which should be given back. Since there has been a backlog of land claims because of reasons discussed in this article, it means that many claimants in the rural areas have not received their land which they deserve. According to this scholar under the Legal Justice Theory, not everyone has received what is due to them. According to Rawls (2009), justice is guided by two principles, which are liberty and inequality<sup>2</sup>. The Preamble of the South African Constitution states that the people of South Africa recognise the injustices of the past and believe the constitution will help heal the divisions of the past.

Furthermore, the adoption of Legal Justice Theory was to provide the position that the challenges of land restitution in South African rural communities should not be largely ignored as its stand, as the land without post-settlement support is an unjust cause. Velasquez, Andre, Thomas Shanks and Meyer (1990) defines justice as “giving each person what he or she deserves or, in more traditional terms, giving each person his or her due.”<sup>3</sup> According to Rawls (2009), justice is guided by two principles, which are liberty and inequality<sup>4</sup>. In this case, justice has to address historical inequality, in *ipso facto*, it is should not only be limited to reinstatement to the original position but to also give support after reinstatement. Thus, the use of Legal Justice Theory in this article was meant to ensure the inquiry of justice in the everyday practices of law in the post-land reclamation era. Precedent of the Native Act, 1913 witnessed the exacerbation of socio-economic injustice of natives<sup>5</sup>. The Native Land Act, 1913 provided unprecedented advantages and support to the European minorities in acquiring land and securing economic advantages<sup>6</sup>. As such it is only just and fair to ensure that the human dignity, equality, and freedom of those who were formerly disadvantaged is restored not just by restituting the land, but also by providing certain economic advantages and priorities to sustain and develop them. However, since the study is focusing on the post-settlement, it will only be converging on the claimants, whether justice is prevalently guaranteed by the Act in post-settlement. The function of the Commission on Restitution of Land Rights, 1995 does not go beyond the claiming process. This commission oversees and facilitate the claiming process but it does not have a mandate to implement development aspects relating to taking care of the needs of successful claimants.<sup>7</sup> The development on restored land also known as the post settlement support was suggested in the new policy on the Rural Economy Transformation Model (RETM) but it is still merely a suggestion calling for a need of implementation since successful claimants might require this help as well.

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<sup>2</sup> Liberty (ensures an equal right to basic liberties). Equality (economic and social inequalities arranged for the benefit of the least advantaged, and equality of opportunity).

<sup>3</sup> Velasquez, M., Andre, C., Thomas Shanks, SJ & Meyer, JM. 1990. *Justice and Fairness*. <https://www.scu.edu/ethics/ethics-resources/ethical-decision-making/justice-and-fairness/>. Accessed: 2019/08/29.

<sup>4</sup> Liberty (ensures an equal right to basic liberties). Equality (i.e. economic and social inequalities arranged for the benefit of the least advantaged, and equality of opportunity).

<sup>5</sup> Modise, L & Mtshiselwa, N. 2013. The Natives Land Act of 1913 engineered the poverty of black South Africans: A historic-ecclesiastical perspective. *Studia Historiae Ecclesiasticae*, 39(2), Pp.359-378.

<sup>6</sup> “The Native Land Act was also a measure designed to protect certain individuals of minority, not only affluent individuals with the suitable share of available land and landless owners who assured to work on farms of others, and the urban poor individuals who could no longer be forced to compete with skilled or semi-skilled natives.” - *South African History Online [Online]*. 2019. Land Restitution in South Africa since 1994. Accessed: <https://www.sahistory.org.za/article/land-restitution-south-africa-1994>. Accessed: 2019/06/19.

<sup>7</sup> *South African Land Observatory [Online]*. 2016. *Policy on the Application of the Rural Economy Transformation Model in the settlement of land claims*. <https://salandobservatory.org/2016/05/policy-on-the-application-of-the-rural-economy-transformation-model-in-the-settlement-of-land-claims-rural-development-land-reform/> Accessed: 2019/07/23.

The land question is without a doubt one of the past injustices which the constitution seeks to address. There clearly is no liberty if equality is not there. It is a result of the imbalance of the proportion of land ownership that up to date fights over land are still prevalent, 72% of land is owned by certain race of minority (Government Audit, 2017). This is a worrying phenomenon taking into consideration that the Restitution of Land Act was passed in 1994. Section 25(7) of the constitution reads, “A person or community dispossessed of property after 19 June 1913 as a result of past racially discriminatory laws or practices is entitled to the extent provided by an Act of the Parliament, either to restitution of that property or to equitable redress.” It is in fact those who live in the rural areas who are mostly affected. The Restitution of Land Rights Act, 1994<sup>8</sup> and the Amendment Act, 2014<sup>9</sup> are Acts of Parliament which caters for restitution of land and gave freedom for those who can prove that the property was owned by them or their forefathers to claim it. This was expected to work and at a certain given target, a certain amount of land was expected to have been given back to the rightful owners. In this case, as per Rawls’ (2009) explanation of the theory, justice has to address historical inequality, *ipso facto*, it is should not only be limited to reinstatement to the original position but to also give support after reinstatement. Thus, the use of legal Justice Theory in this article also was initiated to ensure the inquiry of justice on daily practices of law in the land reclamation era.

According to this school of thought, in the event that the claimants get their property back, they are not only supposed to be left without the knowledge on how to use the land especially if the land has been used for agricultural purposes. In the *Mangethe* case<sup>10</sup>, even though the community managed to return their land, they could not continue with the sugarcane farming which was already up and running there. Had they applied Rawls’ (2018) ideology, continuation could have

been there. Precedent of the Native Land Act, 1913<sup>11</sup>, witnessed the exacerbation of socio-economic injustice of natives<sup>12</sup>.

The Native Land Act, 1913 provided unprecedented advantages and support to the European minorities in acquiring land and securing economic advantages<sup>13</sup>. As such it is only just and fair to ensure that the human dignity, equality, and freedom of those who were formerly disadvantaged is restored not just by restituting the land, but also by providing certain economic advantages and priorities to sustain and develop them. According to this article, addressing these past injustices has been done on a tortoise pace and in some cases not being done at all.

## 7. IDENTIFICATION OF KEY THEMES AND PRELIMINARY ANALYSIS

The identified key themes of this article were in line with the South African Agrarian Transformation Programmes to ensure the transformation of rural economy which was facing a massive challenge by the time of conducting preliminary investigation (2016 financial year). The preliminary analysis of each theme is analysed herewith:

### **THEME 1: IRREGULARITIES IN AWARDING OF LAND TO THE POSSIBLE BENEFICIARIES (I.E. INVALID RESTITUTION CLAIM): CRIMINOLOGY AND LEGAL NEXUS RECOURSE SOUGHT**

South African rural communities were and still severely affected by political instability which was surrounded by discriminatory laws, especially before the national democratic dispensation in 1994 which saw the certain race of minority owning a larger percentage of the land as opposed to the African majority owning smaller portions of land. The associated process of land restitution in South African rural communities was (i.e. post-apartheid regime) and still (i.e. 2019) aimed at restitution of specific lands that were taken away from specific people in the past (i.e. past historical happenings).

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<sup>8</sup> Restitution of Land Rights Act (No. 22 of 1994)

<sup>9</sup> Restitution of Land Rights Amendment Act (No. 15 of 2014)

<sup>10</sup> *Mangethe Committee v Regional Land Claims Commissioner, KZN and Others (LCC36/09) [2011] ZALCC 4 (17 February 2011)*

<sup>11</sup> 27 of 1913

<sup>12</sup> The Natives Land Act (No. 27 of 1913) engineered the poverty of black South Africans: A historic-ecclesiastical perspective.

<sup>13</sup> The Natives Land Act (No. 27 of 1913) - “The Native Land Act was also a measure designed to protect certain individuals of minority as previously indicated in the sections *Supra*”

## **THEME 2: INADEQUATE KNOWLEDGE ON THE APPLICATION OF LAND AS SPEARHEADED BY GROUPS AND COMMUNAL CLAIMS, NEGLECTING CRIMINOLOGY AND LEGAL INTERVENTIONS**

In an attempt to understand the challenges and effects of land restitution process in South African rural communities, it should be acknowledged that it is not intended to provide a detailed overview of historical land practices and discriminatory policies in South Africa. However, it should be noted that the associated effects of the apartheid land law on the black population were cruel and while land reform seeks to redress the injustices of the past for healing and reconciliation processes.

## **THEME 3: LIMITED LEGISLATIVE, POLICY, CRIMINOLOGICAL AND LEGAL SUPPORT AND DEVELOPMENT NEEDS FOR LAND RESTITUTION PROCESSES IN RURAL SOUTH AFRICAN COMMUNITIES**

Insecurity of land restitution in South African rural communities add to the existing contributory factors to poverty, inequality, racism, and unemployment. This creates insecurity for landowners and land users further affecting investment, destroying livelihoods, foments racial conflicts, creates unequal economic systems, this also locks assets in an unusable and untradeable forms, discourages conservation, hampers sustainable domestic resource mobilisation for increasing the availability of public services, and undermines principles of effective and democratic governance.

## **8. RECOMMENDATIONS AND STRATEGIES FOR IMPROVING THE IDENTIFIED THEMES AND CONCLUSION**

- This article recommends transparency in the allocation of land for the rural South African communities as the problem is standing at an increased point. Thoroughly inspection of land allocation should be adopted and the audit assessments on respective traditional leaders should be treated as a matter of priority. Finding of records, testimonies, tracing relatives and determining boundaries remains problematic.
- This article recommends that residents in South African rural communities be trained specifically in the application process of land restitution processes and the associated challenges. These areas should have a designated experts working closely with them in this regard. Constant lectures, workshops and quarterly refresher courses should be conducted by municipalities and other relevant stakeholders. Transparency (regular feedback to avoid conflicts) in the group and communal claims should be practiced at all times to afford easy processing of claims. The legislative frameworks relating to land restitution in should be revisited, with adequate detailed inputs for the proper formulation of these legislations, aided by legal and criminological theories as this article refers.
- The induction of criminological and legal theories as aids to this problem. Overall, the three major programmes that the Department of Rural Development and Land Reform (DRDLR) in AgriPark, 50/50 Pilot and the One-Household-One-Hectare Programmes is currently infeasible or still finding difficulties, this should be urgently revised.

For conclusion, the main findings of this article are that land restitution remains very important across rural South African communities. However, the objectives of land restitution process are not met and the claimants are not satisfied with their current restitution awards posing a severe risk to them. This article found that the implementation of land restitution in rural South African communities is a difficult task. The land is not distributed in transparency and the traditional leaders take custody of every land claim made within their jurisdiction. The overarching lesson seems to be lack of relationship between the local municipality and the rural residents, no tangible strategy exist to address the current practices. Rural South African communities are undergoing serious decline owing to lack of available land for development. The DAT and Legal Justice Theory were used to guide this article. These theories were deemed relevant by the researchers in answering the objective presented relating to the challenges of land restitution in South African rural communities. These theories assisted the researchers in stabling behavioural patterns criminological (i.e. in terms of crimes committed on this subject) and evaluate the available legal mandates and a theory on this subject. The importance of these theories were presented by providing practical examples from different authors to create a linkage between crime and land reform/restitution to clearly understand the root causes of the existing challenges.

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## THE INCLUSION OF HIV TREATMENT UNDER THE NATIONAL HEALTH INSURANCE SYSTEM IN SOUTH AFRICA

**A Doodnath**

Vaal University of Technology  
Orcid ID: 0000-0003-1790-9299

### **~Abstract~**

*The National Health Insurance (NHI) system in South Africa has been the topic of discussion since 2011 and has created a myriad of practical issues. One such issue is primary health care, specifically those dealing with HIV treatment. South African HIV & AIDS prevalence rates are high and are being listed as a priority area of treatment. It has further been listed as a priority area under NHI however, elaboration about the implementation under this system is lacking. Medication stock-outs, waiting periods for receiving medication and practical implications of the NHI system is yet to be detailed. The NHI Bill which has been deferred by Parliament failed to consider the myriad of stakeholder engagement recommendations made during the green and white paper stages. To investigate if NHI adequately addresses HIV treatment medication issues. A review of the NHI system considering HIV antiretroviral medication and its practicality. Desktop analysis which entails reviewing NHI and HIV antiretroviral medication. A review utilising the empirical approach as well as process tracing of the NHI pilot projects was conducted to track NHI progress. NHI does not adequately address HIV treatment issues and the system is lacking adequate implementation information. It is concerning that there is little or no information which addresses the practical issues associated with the overhaul of the current healthcare system. HIV is prioritized which is a progressive step however, the NHI system seems like a pipe dream. An appropriate solution to NHI implementation would be to focus on the current healthcare issues and promote further private-public sector collaboration.*

**Keywords: HIV – NHI – medication roll-out – pilot projects – lack of implementation**

**JEL Classification Code: K3**

### **1. INTRODUCTION**

HIV prevalence rates are the highest in South Africa (HIV and AIDS prevalence rates, 2019) as compared to the rest of the world. South Africa also has the largest Anti-retroviral therapy (ART) programme in the world (HIV and AIDS prevalence rates, 2019). The South African budget for health has always been the highest percentage allocated from the national budget. The annual amount allocated to healthcare for the period of 2019/2020 is R213.3 billion and R 231 billion in 2020/2021. This is to ensure that healthcare is affordable, accessible and of improved quality (Estimates of National Expenditure Treasury Document, 2019:9).

HIV is classified as an epidemic in South Africa, and due to such classification, it has been a priority area under healthcare and the health budget. The budget is still insufficient to cover medical expenses for critically needed medication. Such critical medication includes HIV and anti-retroviral medication. The National Health Insurance (NHI) appears to be a system which could address such issues of medication stock-outs, long waiting periods for receiving of medication and practical implementation of such issues. A review of this system with specific focus on whether NHI sufficiently covers HIV and anti-retroviral medication shall be conducted as the current healthcare system covers HIV treatment. It appears that although the NHI Bill has been shelved for a period due to ruling party been unable to reach consensus on it being approved, this Bill is still being pushed with phased implementation with full implementation by 2026. This Bill fails to address the myriad of issues raised above. The lack of information regarding implementation and finance for such a system leaves everyone affected, and uncertain about their future healthcare. The author notes, that whilst NHI seems like a great system on paper, it leaves many questions to be answered. The author proposes an alternative to this system in its entirety. Whilst the current healthcare system is riddled with many systemic and resource issues, it is not entirely a failed system. The public and private sector exist with current disparities in service delivery and numerous other issues. An alternative to NHI could be private-public sector collaboration.

This paper discusses the background surrounding HIV and its history, research methodology, HIV treatment under the NHI system, ARV treatment roll-out and NHI pilot projects progress, the issue which surrounds funding for NHI, the NHI Bill and thereafter proposes recommendations.

## **2. BACKGROUND**

Health has been allocated 222.6 billion Rands in the 2019 budget (BusinessTech:2019). The main priorities include the NHI system, the antiretroviral programme for HIV/AIDS as well as treatment and establishment of a regulatory authority for health products. The NHI White Paper focuses on a R256 billion per annum funding increase which is needed, this is pitched at 2010 prices, in 2025, with a funding shortfall of about R72 billion assuming a real average growth rate over the period of 3.5%. The additional cost per annum could however be substantially more than this (Davis Tax Committee Report, 2018).

To establish a picture of the South African situation, it is important to view the bigger issue regarding HIV prevalence and infection rates as well as co-infection. It is evident that antiretroviral treatment is effective in reducing hospitalization for AIDS-related conditions (Nurick & Ramjee, 2010:1). Healthcare costs increase due to the secondary effects of HIV/AIDS such as orphans, the burden of the elderly who must care for their sick children and possibly their orphaned grandchildren (Nurick & Ramjee, 2010:1). The massive impact of AIDS on the current scarce healthcare resources negatively impacts the availability of chronic healthcare for older persons.

## **3. RESEARCH METHODOLOGY**

The NHI system which is proposed for South Africa has been piloted in many districts across the provinces. The issue which remains is that these pilot projects have been underperforming. It is for this reason that there are no measures for NHI to be tested against as it is not yet implemented. The methodology of this study is a desktop analysis combined with qualitative design, with an empirical approach, which focuses predominantly on reviews of the pilot projects as a measure of the NHI system being implemented in South Africa. Process tracing was utilized to evaluate the NHI system pilot projects progression from inception to date. Limitations include roll-outs in pilot projects, base standard of measure and lack of information on implementation of the NHI system in South Africa.

## **4. HIV TREATMENT UNDER NHI SYSTEM**

NHI is proposed to ensure that all patients with HIV/AIDS have access to appropriate, efficient and quality healthcare services. NHI seeks to achieve universal coverage or universal healthcare. What does this mean? It means that all people have access to health services, which is of sufficient quality. NHI further seeks to ensure that people using these services do not suffer financial hardship as costs are alleged to be more affordable under the NHI system. Does South Africa have these ideals currently in place? The answer to that question is, yes, it does, but the challenge is the quality of services provided as well as the waiting time experienced for accessing such services.

HIV/AIDS is prioritized under NHI in the category of Primary Health Care (PHC) health service benefits. What does this mean? It means that HIV/AIDS has been prioritized as a target area under NHI. NHI will contract to both public and private facilities to provide services to patients. NHI has prioritized its healthcare benefits to be portable throughout the country. It has also put into force mobile healthcare provision of services. The contracting of accredited private healthcare providers will be prioritized. This is to alleviate the geographical challenges, which exist in South Africa (NHI White Paper, 2015:65).

Will this, however, address the current issues South Africa experiences with HIV/AIDS treatment coverage: the issue of stock-outs of medication is a huge problem in rural areas where there is one clinic per a huge radius which services a broader community? In addition, can the current NHI system tackle the long waiting lines to access medication? Will NHI be the solution to these practical issues? These questions are yet to be debated, detailed, and answered. In order to track the progress of NHI, it is worthwhile examining the pilot projects that have been established from 2012 and have also been reported to be underperforming (A van den Heever, 2018).

## **5. ARV TREATMENT ROLL-OUT AND PILOT PROJECT PROGRESS UNDER NHI**

Whilst NHI is progressive in recognizing that HIV / AIDS is a major problem in South Africa. It recognizes HIV/AIDS as a burden of disease. HIV/AIDS is listed as one of the highest contributing factors to mortality

rates. Women have been identified as being more susceptible to contracting HIV/AIDS as opposed to men (Women and Girls HIV and Aids, 2019).

A better measure of the NHI system would be to view the progress of the NHI pilot projects which have been established since 2012. This is the base standard of measure for NHI as it is still novel to South Africa and has not been fully implemented yet.

In a bid to improve access to medicines which includes access to ARV treatment (NHI Pilot Districts Progress Report, 2016:18-19); the National Department of Health (NDOH) launched three systems which were meant to improve access to medication. These systems are the Stock Visibility System (SVS), Rx Solutions and other Electronic Stock Management Systems (ESMS), and Central Chronic Medicine Dispensing and Distribution (CCMDD).

The stock visibility system deals with monitoring of stock levels for ARV treatment, TB medication, and vaccines. This programme is aimed at the national level in terms of roll-out.

The total number of clinics nationwide (excl. Western Cape -WC) in which SVS is being implemented (NHI Pilot Districts Progress Report, 2016:18-19) are shown as follows:

- 3163 clinics with SVS implemented nationwide
- 658 clinics in NHI Pilot Districts
- 2505 clinics in Non-NHI Pilot Districts

Percentage of clinics Nation-wide (excl. WC) reporting in October 2016.

- 2245 clinics reporting in the last 4 weeks.
- 71% of clinics with SVS implemented reported in last 4 weeks.

Percentage improvement in availability for medicines monitored with SVS (TB, ARV, Vaccines) nationwide in October 2016 (excl. WC):

- TB improved by 2.3% (Current Availability = 89.3%)
- ARVs improved by 1% (Current Availability = 93.5%)
- Vaccines improved by 1.5% (Current Availability = 94.6%)

The above statistics indicated the availability of stock for the various clinics both under the NHI pilot districts and non-NHI pilot districts. There are more clinics outside the NHI pilot districts, and the percentage for ARV treatment improvement, which is by one percent. This could be attributed to a myriad of reasons such as: patent renewability of medication, theft, and corruption.

The Chronic Medicine Dispensing and Distribution (CCMDD) deals with the aim to improve the access of chronic medicines for patients as well as to improve the efficiency for service delivery and all other related issues. According to NHI Pilot Districts Progress Report (2016:19), it is believed that:

“By 2016, more than 800,000 patients would have been enrolled in this program, with 61.3% of those in NHI Pilot Districts, with an ambitious target of 1.7 million users nationwide by the end of the fiscal year. Also part of this program, are 401 registered Pick-up Points (76 % in NHI Pilot Districts) and more than 1800 facilities have registered with CCMDD (37.86% in NHI Pilot Districts.)”.

Based on the above, the notable progress made by the CCMDD programme is that the initial implementation phase of the project focused on HIV/AIDS, and this meant that ARV treatment was prioritized. A proposed range of services have further been included which cover five other disease categories. These categories are diabetes, epilepsy, hypertension, chronic obstructive pulmonary disease, and dyslipidaemia. Some of the pilot projects deal with some conditions over others. Inventory control and management allow for the effective preparation of orders and maintenance of enough safety stock levels. The provision of suitable, safe, as well as secure stock levels, is a vital part in preventing the expiration of medicines.

All three of these systems include HIV / ARV treatment as a priority category for NHI pilot projects, and which suggest their prioritization in the NHI system when it is finally rolled out. Importantly, these pilot projects have been reported as underperforming in their own progress reports, it is questionable as to whether this ideal will sufficiently address the HIV/AIDS practical issues raised above.

## **6. FUNDING FOR NHI**

The Davis Tax Committee delivered a report on the NHI financing in March 2017. The major finding of this report is that the NHI system in its current form is unlikely to be sustainable unless South Africa can maintain a sustained economic growth (Davis Tax Committee Report, 2018:48). This report further explored potential avenues for funding the NHI system. The report stated that there should be a fiscal rule to link NHI spending with the availability of fiscal resources. It further mentioned that the fiscal impact depends on a variety of factors including the shift from private to public financing, the role of private medical funds, fund administrators, etc. It was mentioned that the behavioural responses of members of the private sector will impact their perception of services to be rendered under NHI.

The equity and efficiency of alternative tax instruments such as income tax and corporate tax to name a few, are mainly specific to countries and arise from the cumulative impact of all tax measures and expenditure (Davis Tax Committee Report, 2017:48). It was suggested that the entire package should be considered when determining the overall progress rather than one instrument in isolation. Similarly, a combination of broad-based tax instruments were recommended as they will allow for fewer distortions of economic activity since lower rates would be required (Davis Tax Committee Report, 2017:48). The report views many alternatives to funding for NHI and makes a point that increases in Value Added Tax (VAT) is not likely to be ruled out as a source of funding. It was stated even though this might be a regressive step; it will be offset through progressivity on the expenditure aspect (Davis Tax Committee Report, 2017:44).

Similarly, Personal Income-Tax (PIT) and Social Security Tax (SST) were mentioned as non-viable option for South Africa, a country with high unemployment rate and those without regular formal employment. It was further stated that PIT with a surcharge may be a better option as opposed to an increase in payroll tax which is based on income sources beyond labour income. Furthermore, excise taxes on alcohol, tobacco, etc which are aimed at changing behaviours were found to not be a feasible option for funding NHI (Davis Tax Committee Report, 2017:44).

It was recommended by this report that given the projected size of the funding shortfalls, substantial increases in VAT or PIT and or the introduction of a new Social Security Tax (SST) would be a requirement to fund NHI. Funds should not be earmarked for NHI but should be funded through general tax. Out of Pocket (OOP) payments exempt the poor, however, it was stated that there is still a need for user charges since cost-sharing with patients could assist in managing the health care demand for non-essential services as well as elective services (Davis Tax Committee Report, 2017: 44). User charges may also cover services not catered for in the NHI benefits package. Due to the requirement for funding NHI being so huge; it was stated that trade-offs might be needed with other laudable NDP programmes, such as an expansion of access to post-school education or social security reform (Davis Tax Committee Report, 2017:44). This report not only gives some viable solutions to NHI funding, but it also mentions that NHI in its current form is going to be unsustainable for future implementation.

Noticeably, the current Minister of Health in an address to medical professionals in Cape Town in August 2019 did not de-construct the NHI system in terms of funding or any other implementation methods. There was no mention made in terms of the seven-year implementation plan which is supposed to be fully implemented in 2026. All that was mentioned was that the sources of funding will be varied and a vague figure of R30 billion was mentioned (Moodley, 2019:1). A money bill will apparently be tabled "at the appropriate time". This again leaves no clear direction regarding costing or funding of NHI implementation in South Africa.

## **7. NATIONAL HEALTH INSURANCE BILL**

It is important to note that whilst the NHI Bill was being pushed to become an Act, it must be noted that the NHI Bill still has many flaws. The lack of financial information which accompanies the NHI Bill is disquieting. The claim of additional tax which is proposed is problematic since South Africa is going through a period of low financial growth (Simkins, 2018;1). These issues have not been addressed by the NHI Bill

although they have been raised by various organizations when the White Paper was published in 2015. There is no estimate of costs for NHI nor is there any idea of how these costs will be funded. This aspect, yet again is absent in the NHI Bill. Is it practical for a re-haul of the current healthcare system without any plan of costing or funding? This is not a practical way of implementing such a system. The Minister of Health has referred the funding issue to the treasury for settling such an issue. Two committees have been established under NHI Bill, and these are the Benefits Advisory Committee, and the Health Benefits Pricing Committee (Simkins, 2018:2). The basket of services has not yet been costed which leaves many South Africans with no idea as to what they can expect nor what they will pay for such a basket of services.

Additionally, medical schemes which according to the NHI Bill, will not be able to cover services which are already covered by NHI. NHI will cover certain systems and those not covered by the NHI will be covered either through OOP expenses or medical schemes as stated in the NHI Bill. This, according to the NHI Bill is going to be distinct, however, in practice; it does not always work as such. Certain users tend to move from private to public and vice versa, and this is not catered for in the NHI Bill. Whilst the NHI Bill is progressive in nature and a new range of services are being offered in the public health system, the issue which remains is that the NHI is not a practical solution to the current South African healthcare system.

## **8. RECOMMENDATIONS**

The number of issues with the NHI system and the NHI Bill have been highlighted in this paper, it is recommended that a complete change as proposed by the NHI system is halted. Instead, it is proposed that a review of the public and private sector occurs, and collaboration efforts are encouraged to address the resource and medication issues. Collaboration can also address issues of stock-outs and access to medications by having more human resources and allocating specific duties to the private and public sectors respectively. This entails certain services, for example, nursing staff to be sourced from the public sector with machinery and specialized staff being sourced from the private sector; and with medication possibly being distributed over a three-month period to ensure medication stock-outs do not occur. The monitoring of such medication could be done through a nationwide online register, which can be accessed by clinics and hospitals in both private and public sector and can be accessed even if the internet is offline. The above will aid tracking of patients, especially to ascertain if a certain patient has taken their medication and when is their next collection date. An example of such a collaboration is Inkosi Albert Luthuli hospital in KwaZulu-Natal, and can be replicated countrywide. This is the proposed recommendation as opposed to a complete overhaul of the current healthcare system. This hospital in KwaZulu-Natal which operates in this manner is an evidence that such private-public collaboration can be successful. Government buy-in and cooperation from the private sector is important for this recommendation to succeed.

## **9. CONCLUSION**

HIV and ARV treatment is prioritized under the NHI Bill, and this is a welcomed inclusion. Pricing and financing of the medication or basket of services that will be supplied under NHI for HIV medication is not yet detailed and thereby leaves healthcare professionals and patients wanting. These amounts are eagerly awaited by the all affected. The expectation is that the prices of vital medication once covered under NHI will be substantially lower, and there will be more accessibility to the stock of medication. The stock-out issue will then hopefully be addressed. This being stated however, one cannot introduce a complete overhaul of the health system without having the funding and finances planned for such a major project. If this is not addressed, then one is faced with a system which will fail, leaving patients in a no better position than the ones they are currently faced with in an already failing healthcare system.

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## ANALYSING THE IMPLEMENTATION OF THE SUPPLY CHAIN MANAGEMENT POLICY FRAMEWORK AT A SELECTED METROPOLITAN MUNICIPALITY

### Cynthia Ngxesha

Graduate School of Business Leadership  
University of South Africa  
cngxesha@mandelametro.gov.za  
Orcid ID: <https://orcid.org/0000-0002-2219-7663>

### Ozias Ncube

Graduate School of Business Leadership  
University of South Africa  
Email: Ncubeo@unisa.ac.za  
Orcid ID: <https://orcid.org/0000-0003-1373-8138>

### Chengedzai Mafini

Faculty of Management Sciences  
Vaal University of Technology  
Email: chengedzaim@vut.ac.za  
Orcid ID: <https://orcid.org/0000-0002-9426-0975>

### ~Abstract~

*The implementation of the public sector supply chain management policy framework (SCMPF) in South African municipalities has remained a monumental failure, despite the efforts by the government to encourage the adoption of more effective strategies to improve service delivery. This study examines the level of effectiveness of the implementation of the SCMPF at a selected South African municipality. The study also identifies factors that may negatively affect the application of the SCMPF in that municipality. A qualitative design was followed in which eight supply chain management professionals based at the Nelson Mandela Bay Municipality (NMBM) in the Eastern Cape province were interviewed. The collected qualitative data were analysed using content analysis. Responses showed that the implementation of the SCMPF in the municipality is largely ineffective, and is attributed to factors such as poor communication, maladministration, the lack of reliability as well as skills and capacity issues. These factors, in turn, negatively impacted on service delivery and the achievement of municipal objectives. Among other things, the study recommends the implementation of an integrated supply chain management system as outlined in the SCMPF, the hiring of qualified staff and use of consequence management where policy violations would have been discovered.*

**Key Words:** Supply Chain Management Policy Framework, procurement, metropolitan municipalities

**JEL Classification:** H83

## 1. INTRODUCTION AND BACKGROUND

South Africa is a developing country which held its first non-racial and democratic elections in 1994. Post-1994, a need to revisit the country's socio-economic and political order was identified. The new government was confronted by significant public sector challenges, including the need to transform local government and to promote the empowerment of previously disadvantaged individuals, all affected by past discriminatory laws. A key strategy developed by the South African government to redress the imbalances of the past focused on public procurement. National Treasury was given the mandate to promote government policies as well as related policy frameworks. It is also responsible for the allocation of resources in order to alleviate poverty and develop sustainable entrepreneurs. Municipalities are amongst the structures responsible for the implementation of government policies. National Treasury introduced the Local Government Municipal Finance Management Act No. 56 (MFMA) in 2003 (Republic of South Africa, 2003) with the aim of placing local government finances on a sustainable footing by maximising the capacity of municipalities to deliver services to communities. The purchasing and supply management systems and procedures developed then provide a framework for the effective and efficient execution of specific activities by procurement personnel in the public sector, which is essential to achieving purchasing

and supply objectives. National Treasury also provided municipalities with a model known as the Supply Chain Management Policy Framework (SCMF) which would direct and guide all supply chain management (SCM) processes in the public sector. National Treasury also issued an instruction to municipalities that the reviewed policy model must meet the needs and requirements of the municipality. According to the National Treasury (2015), the framework for SCM policies focuses on demand management, acquisitions management, logistics management, disposal management, risk and performance management and other matters.

Despite the existence of the SCMPF, municipalities in South Africa have continued to face enormous challenges in the implementation of their SCM strategies. These include but are not limited to fraud and corruption, a failure to interpret properly and implement the existing policies, the lack of suitably qualified and experienced supply chain professionals, the lack of monitoring and evaluation poor/inadequate planning and the lack of financial resources (Motuba, 2014; Maleka, 2016). As a result of these challenges, many municipalities have been failing to deliver services to their constituencies. Additionally, between 2016 and 2018, at least 24 South African municipalities had been placed under administration after their operations have collapsed due to financial mismanagement (Evand, 2018). The 2019 Auditor General's Report also revealed the dilapidated state of South African municipalities, with only 18 out of 257 municipalities producing clean audits (BusinessTech, 2019). All of these anomalies are linked to SCM since most of the financial leakages occur in the procurement of various goods and services. The continued existence of these challenges and their implications to municipalities as well as South Africa invoke the need for further research, in order to generate suitable solutions. Additionally, it is necessary to expand SCM research to specific municipalities since the municipalities are unique public entities that face dynamics that are contextual to their circumstances. Thus, the purpose of the study is to analyse the strategy followed by the Nelson Mandela Bay Municipality (NMBM) in the implementation of the SCMPF and to evaluate its impact on service delivery. To give effect to the problem statement, the study seeks to investigate and identify factors that may negatively affect the implementation of the SCMPF in the NMBM.

## **2. LITERATURE**

### **2.1. Supply chain management goals and mission**

Supply chain management (SCM) may be defined as the systematic, strategic coordination of traditional business functions and tactics across all business functions within a particular company and across businesses within the supply chain, for the purposes of improving the long-term performance of the individual companies and the supply chain as a whole (Mentzer *et al.*, 2001). The goals of SCM include increasing throughput while simultaneously reducing both inventory and operating expense (Chick & Handfield, 2014). An effective supply chain needs concurrent improvements in both customer service levels and internal operating efficiencies of the companies in the supply chain (Hugos, 2011). An efficient supply chain is also expected to move the right product at the right time, right place and right quality to the right customer at the right price for everyone in the supply chain network (Chandrasekaran, 2012). Therefore, an efficient supply chain is one in which customers would prefer the best price at close-to-market efficient levels (Scott, Lundgren & Thompson, 2011). Price is one of the drivers of the supply chain and it is also one of the key factors that decide demand (Chick & Handfield, 2014).

### **2.2. Public supply chain management in South African municipalities**

When SCM is executed within the government, it is referred to as public SCM. In South Africa, public SCM within municipalities is directed by various legislative frameworks such as the SCMPF, the Preferential Procurement Policy Framework Act (PPPFA) and the Local Government Municipal Finance Management Act of 2003. However, the existence of these legislative pieces has not assisted municipalities to improve their performance, as indicated by the qualified annual audits released annually by the auditor general's office. The major source of financial leakages is the procurement function, where unethical practices occur in the disbursement of funds to suppliers of goods and services. Since procurement lies under the ambit of SCM, solutions are required continuously to minimise the financial leakages (National Treasury, 2015). Apart from the financial leakages, other challenges such as among other things skills' shortages, inadequate planning, monitoring and evaluation, the failure to interpret and apply policies exist that are linked to SCM, which require attention and mitigatory action (Ambe & Badernhorst-Weiss, 2012). Should

suitable interventions to these challenges be found; most underperforming South African municipalities would be revived to function as expected in meeting their mandated service delivery goals.

### **3. RESEARCH METHODOLOGY**

This article is based on a broader mixed-method study that used a descriptive case study design, in which the objective was restricted to exploring current SCM practices at the NMBM (Collis & Hussey, 2013). The article focuses on the qualitative part of that study, which was based on inductive reasoning and a phenomenology paradigm in which non-numerical data were conducted on a specified sample of participants. Face-to-face, semi-structured in-depth interviews were conducted on a purposively selected sample of eight senior managers of the NMBM. A purposive sample was used as it was necessary to select participants who are involved in the implementation of the SCMPF. The data collection tool was an interview schedule composed of questions that addressed the research objectives. The interviews were held at the offices of the participants, and each one lasted for periods ranging between 30 and 45 minutes. The language of communication during the interviews was English and participants received no incentives for participating in the research. Conversations with all participants were separately recorded using a digital audio recorder. The study also tested for dependability, confirmability, transferability and credibility to ensure that the findings of the study were trustworthy.

In conducting the study, several ethical considerations were followed. First, ethical clearance to conduct this present study was requested and granted by the Research Ethics Committee at the Graduate School of Leadership at the University of South Africa. First, informed consent was obtained from all participants. Participants were contacted and invited to participate voluntarily in the study after they had understood its purposes and intentions. In conducting the study, the right to privacy and the confidentiality of participants was promoted as their personal details were treated in confidence. After collecting the data, the audio recordings of the interviews were transcribed to the word format. Thereafter, a process of content analysis was performed to analyse the data. This involved reading the interview transcripts repeatedly and, in the process, extracting the themes that commonly emerged.

### **4. RESEARCH RESULTS**

#### **4.1. Demographics**

Due to the busy work schedules of most senior managers of the NMBM, only eight people were interviewed in order to establish the factors affecting the implementation of the Supply Chain Management Policy Framework (SCMPF). Out of the eight employees that were interviewed, three were managers, four were directors, and one was the accounting officer (city manager). All eight interviewees had different roles within the municipality.

One of the three managers, Participant 1, was responsible for operations and administrative functions in the Electricity and Energy Directorate. The second manager, Participant 6, maintained the infrastructure of water and sanitation services, while the third manager, Participant 8, was responsible for assessing, evaluating and monitoring Human Settlements projects.

Participant 2 was the accounting officer responsible for the financial management of the municipality and ensuring that all financial systems were in place. He was also responsible for the successful implementation of council policies, strategies and objectives. Participant 3 was the deputy director in Safety and Security, responsible for operations of the municipal court and for ensuring the availability of resources for the smooth running of the courts. The third director, Participant 4, was a deputy director in Corporate Services and was responsible for projects and the maintenance of municipal property. The fourth director, Participant 5, was the executive director of Public Health. He was responsible for managing the performance of public health, including waste management, parks, cemeteries, occupation, health and safety, as well as wellness and environmental health related issues within the municipality. The fifth director, Participant 7, was the deputy director of Budget and Financial Management and was in charge of the operating budget.

#### **4.2. Understanding the Supply Chain Management Policy Framework**

All eight interviewees shared the same understanding of the SCMPF. Participants 1, 2 and 8 were of the opinion that the SCMPF was a structure designed to regulate supply chain management processes within an organisation. Participants 3 and 4 upheld that the SCMPF was more specific to procurement processes

and argued that it regulated and directed how government procurement processes should be implemented and was based on MFMA and SCM regulations.

Participant 5 was of the view that the SCMPF regulated the actions of the officials in conducting their business within the municipality in terms of the MFMA. Participant 7 added that the SCMPF was born from the constitution, Chapter 11 of the MFMA and municipal SCM regulations.

#### **4.3. Implementation of the Supply Chain Management Policy Framework**

Six of the eight participants (which included Participants 1,3, 4, 6, 7 and 8) concurred that the SCM policy provided guidance and regulated the procurement business operations at NMBM. These participants also pointed out that the SCM policy must be in line with the SCM regulations and SCMPF. Participant 6 added that the SCM policy supported the competitive bidding process and regulated how funds in the NMBM should be spent. Additionally, Participant 4 underscored that the SCM policy promoted and ensured that NMBM practices were fair, transparent and equitable. It also enabled the delivery of quality services to the residents and ensured that good value-for-money was achieved. Participant 8 believed that although the NMBM was striving to fully comply with the SCMPF, the current SCM system was missing some important SCM elements, such as demand management, SCM performance and risk management. On the other hand, Participant 2 and Participant 5 suggested that the SCM policy regulates the SCM processes of the municipality.

##### **4.3.1. Supply chain function versus service delivery**

According to Participant 1, some of supply chain management's functions included the design and implementation of supply chain processes, resourcing the municipality and ensuring that all policies governing the operations of the organisation were always complied with. This enabled the Supply Chain Unit to support the broad business objectives of delivering a quality service to the residents of the NMBM. However, some of the NMBM supply chain processes in operation, such as the tendering process, were not reliable. This held negative repercussions for the quality of goods and services procured, which ultimately adversely affected service delivery.

Participants 7 and 8 were of the view that the SCM Unit had been set up to facilitate the design and implementation of SCM processes and support the fulfilment of the institutional service delivery goals. However, they pointed out that SCM processes in the NMBM were not reliable. The same participants further pointed out that the NMBM was understaffed and had perennial problems with finances, which made it difficult to provide reliable and quality services to residents when facing these constraints. According to Participant 3, supplier selection was one of the key functions of the SCM Unit that had to be applied objectively in order to source goods and services from providers that had the capacity and knowledge to deliver the right quality and quantities at the scheduled times. Participant 3 was of the view that supplier selection at NMBM was not objective, as it favoured providers who lacked the capacity and skills to develop desired products.

##### **4.3.2. Role of staff in implementing the Supply Chain Management Policy Framework**

Participants 2 and 3 suggested that the roles of staff members in the municipality was to strengthen the proper implementation of the SCMPF. There were committees within the NMBM established to promote a sound and fair SCM environment. These committees were also responsible for supporting and promoting quality service delivery and for strengthening SCM control measures. From time to time, people were trained to ensure that they were adequately equipped to deal with procurement issues enhancing service delivery. Participant 3 also added that the NMBM had a programme in place in which employees were trained to do other jobs besides their normal day-to-day functions, which gave them exposure to areas outside their scope of work. This programme motivated employees and assisted in retaining the existing skills. It also enhanced the level or quality of services rendered by the municipality.

Contrary to the above, Participants 4 and 6 were of the view that the NMBM had no skills development programme in place to motivate and improve job satisfaction in the workplace. Participant 4 suggested that the current skills policy intended to benefit SCM role-players had become outdated. This policy used to motivate people to work and achieve their individual targets and broader municipal objectives that include service delivery. Many employees were now demotivated, while some with professional expertise

and specialised skills had left the NMBM. As a result, the municipality now employed less qualified employees, with a detrimental effect on service delivery.

#### **4.3.3. The role of organisational processes in implementing the Supply Chain Management Policy Framework**

Participants 1 and 6 were of the view that SCM practitioners, together with management, had developed an SCM manual which was used as a guiding tool for the performance of their functions. These guidelines ensured that quality standards were pursued to give communities value-for-money. However, Participant 1 lamented that the SCM manual had not undergone the process of review and was now obsolete since SCM processes were now different from the time that this document was developed. This resulted in unreliable processes, which adversely affected service delivery. Participant 1 stated that the municipality had a process to declare a conflict of interest in order to avoid corruption and the negative effect that it had on the quality of service offered to communities. However, Participant 8 highlighted that employees who were not serving in bid committees were still unaware of the requirement to declare any conflict of interest.

Participant 3 submitted that leadership in the NMBM strived to ensure that the tender process was fair, equitable and transparent. However, he suggested that problems with the SCM process included that these processes were cumbersome and took too long to be completed. This affected the delivery time of goods and services. Participant 8 suggested that some SCM officials were still not completely familiar with their duties. As a result, contradictory advice on the same matters was given to staff members. The participant observed that SCM senior officials were not sharing information with other directorates; as a result, tender processes were taking too long.

#### **4.3.4. Role of technology in implementing the Supply Chain Management Policy Framework**

Out of eight participants, three (Participants 1, 2 and 3) were in agreement that NMBM systems or technologies were designed to support SCM processes. In support of this view, Participant 4 was of the understanding that technology promoted efficiency and value-for-money as it shortened the delivery time of goods and services. Participants 1 and 7 further noted that there was a new user-friendly system (Institutional Contracts Management System) in place, designed to track tender processes, from the specifications to the tender award stages. It also automated all SCM processes and reduced human intervention and interference.

Despite the arrival of this new system at the NMBM, Participants 2 and 3 opined that the NMBM needed to ensure that these systems were aligned to regulations and procurement prescripts to ensure the smooth delivery of services. In addition, Participant 7 suggested that the NMBM was not fully utilising its ICT systems, and its employees were not trained to understand what was available for them to expedite service delivery. It was also indicated by Participants 7 and 8 that outdated systems were negatively affecting service delivery. For instance, signing for a requisition was still done manually, and it took a lot of time to do this. Participants 7 and 8 further suggested that the NMBM needed to invest in an ERP system that supported procurement processes, from ordering to the delivery of goods. Implementation of ERP would ensure that all municipal systems were integrated and were able to facilitate timeous communications within the organisation.

Participant 5 was of the view that NMBM systems were facilitating tender processes to be conducted in an open, transparent and accountable manner. However, human interference was the main cause of irregular tender processes, and the system might be seen as ineffective.

#### **4.3.5. Role of governance in implementing the Supply Chain Management Policy Framework**

Participant 2 highlighted that the NMBM had policies in place to ensure that governance was improved, and also to promote transparency in awarding tenders. He further suggested that the NMBM leadership, compared to the past, was committed to ensuring that the SCM Unit received the required support in terms of training SCM personnel, the appointment of a permanent director and employing more qualified personnel. In contrast, Participant 4 claimed that SCM role-players were not formally delegated, hence there were many errors and irregular SCM processes. He further stressed that training to SCM role-players was virtually non-existent.

According to Participant 5, the NMBM had several oversight structures in place to promote good governance. The Internal Audit Division was one of the oversight structures responsible for playing a lead role in creating an SCM risk-free environment and providing guidance on proper control measures. However, Participant 5 argued that this office was lacking in providing meaningful guidance that added value to the effective implementation of the SCMPF and service delivery. According to this participant, that unit only reacted when matters were queried. The same participant confirmed that the NMBM had an SCM compliance office, which was responsible for monitoring and evaluating SCM processes. This office performed supplier database related functions that added no value in ensuring the proper implementation of SCMPF to enhance service delivery.

Participant 6 felt that the NMBM had not done much to promote good governance. For instance, the SCM Policy was last reviewed in 2013. Additionally, employees had not yet been allowed to submit their inputs to assist in the formulation of a policy that would accommodate the needs of service departments. However, it was encouraging to learn that the NMBM had tender evaluation criteria that are in line with the PPPFA and other legislation (Participant 6). For example, the NMBM tenders always considered occupational safety and health issues and price. However, the price did not matter much, as long as the organisation received value-for-money.

According to three of the eight participants (Participants 4, 7 and 8), the NMBM had no system of delegation in place, and clear instructions were not given to NMBM SCM role-players. Participants 6 and 7 also pointed out that the Code of Conduct of the NMBM was poorly communicated and that there was no-one to raise awareness or to educate SCM role-players. Participant 6 further added that the ethical conduct of NMBM SCM employees was purely dependent on individual values and principles since the municipality did not seem to be committed to support and promote ethical conduct. Participant 4 suggested that it would be better if the SCM Code of Conduct were introduced at the entry level when the Human Resources Department is conducting induction. However, Participant 8 disagreed with this view, as he suggested that the Code of Conduct of the NMBM was well communicated through its circulation to all SCM role-players, who were required to acknowledge receipt and returned it to the SCM Compliance Office.

Participant 8 noted that the NMBM had no ethics committee or office in place responsible for ensuring and promoting ethical behaviour within procurement processes. The NMBM had oversight structures, which included bid evaluation committees and the Municipal Public Accounts Committee (MPAC). These committees played an important role in promoting good governance within the municipality.

#### **4.3.6. Role of sustainability considerations in implementing the Supply Chain Management Policy Framework**

All eight participants unanimously agreed that the NMBM had no CSR statement aligned to SCM processes to support sustainability. Participant 2 was of the opinion that the municipality was evaluating its SCM processes and that the CSR statement was one of the areas that were being developed to be included in the SCMP. However, three of the participants (Participants 3, 4 and 5) indicated that although the municipality had a Green Procurement Policy, they were not sure if it was being communicated to all stakeholders.

Participant 4 stated that the Public Health Directorate within the municipality had policies in place that dealt with environmental and health issues. These policies were taken into consideration when bid specifications were developed. He further hinted that there was a general lack of integration of policies, as each directorate was doing its own thing and not sharing any information with other directorates. Communication was still a problem that had to be addressed to promote unity and to work together to provide quality services to the residents of the metro.

#### **4.3.7. Role of performance considerations in implementing Supply Chain Management Policy Framework**

Most of the participants felt that the municipality had developed an organisational structure, which had not been implemented and that most vacant positions had been frozen. This was negatively affecting service delivery, as the municipality suffered from staff capacity inadequacies to meet expectations. Participant 4 bemoaned the fact that municipal employees were generally overworked and demotivated. As a result,

there was a very high rate of absenteeism, stimulated by the stressful environment at the workplace. This had a negative impact on service delivery, with many backlogs yet to be addressed. In support of this view, Participant 3 stated that the NMBM was placing emphasis on cost-cutting, neglecting priorities and strategic areas that were key to service delivery.

According to Participants 2, 5, 6 and 7, performance management was lacking in the municipality. The performance of service providers was not measured, and service level agreements were generally not signed with suppliers. Participant 5 further reported that the performance management system in place was not accurate in measuring the performance of the SCM function. The key performance indicators for SCM were being measured based on the number of tenders awarded to companies owned by historically disadvantaged individuals; this was not in line with the amended PPPFA. Contrary to this view, Participant 3 indicated that the NMBM had clear performance indicators aligned to the products and services. In addition, Participant 5 and Participant 8 were of the view that the NMBM was not properly monitoring and evaluating the performance of the SCM function.

According to Participants 6, 7 and 8, the lack of service delivery and community protests were the results of a lack of leadership support to the SCM Unit. Leadership lacked a commitment to provide financial resources and human capital to support the SCM Unit. Leadership was also not committed to implementing strategies to improve SCM processes in order to enhance service delivery in the city.

#### **4.3.8. Risk management considerations in implementing the Supply Chain Management Policy Framework**

According to four of the participants (Participants 1, 6, 7 and 8), the NMBM has no SCM risk management strategy, and there was no office responsible for risk management. Leadership was showing no commitment to introducing strategies to curb and mitigate SCM risks, and adverse results were being recorded as a result of this. However, according to Participant 4, there was a risk register in a place, populated and submitted to the Risk Office under the Office of the Chief Operating Officer, in which strategies and policies to minimise and reduce risk were developed. Furthermore, the NMBM used the Internal Audit Section to assist in the process of identifying risks, control weaknesses and to promote the ethical conduct of SCM role-players. According to Participant 8, the NMBM leadership had recently introduced a corporate culture demonstrating a commitment to curb and mitigate SCM risk. The strategies put in place failed to address the municipal challenges but were instead costing the municipality and yielding no positive outcomes.

Participants 2 and 3 reported that although the NMBM had not yet established an SCM risk management office, risk management was dealt with at a centralised point within the Internal Audit Section of the organisation. Their view was that the NMBM had an SCM risk strategy, and all role-players were afforded an opportunity to participate in the process of reviewing it.

Participant 7 was of the opinion that NMBM was faced with a challenge of implementing the SCM elements to comply with the SCMPF. Furthermore, demand management, performance and risk management elements were not yet established, although they were crucial elements for risk management that could support effect service delivery to meet the expectations of communities.

## **5. CONCLUSION AND MANAGERIAL IMPLICATIONS**

This study aimed to qualitatively explore the factors influencing the implementation of SCM at the NMBM. The findings of the study are based on a sample of eight senior managers of the municipality. They confirm that the NMBM has SCM systems in place and that the role-players are familiar with SCM goals and objectives. The study further confirmed that the SCM framework that was developed and is used by the NMBM is consistent with the SCMPF as well as Section 217 of the constitution. However, the municipality falls short in reviewing its SCM policy on an annual basis, contrary to the injunctions of the National Treasury SCM regulations. The study also indicates that the NMBM is failing to meet its service delivery imperatives because its internal tender processes are unreliable. Factors such as corruption, fraud and bias towards certain suppliers continue to hinder the execution of tender processes.

Although the municipality has a well-designed organisational structure in which the roles of stakeholders are well defined, poor human resources practices tend to stifle progress in achieving excellence in SCM because they lead to low employee morale in addition to the lack of skills and capacity. Moreover, the

ability to offer acceptable service delivery was stifled by some process-based inconsistencies, such as bureaucracy and red tape, ineffective communication, as well as delays in reviewing the SCM policy and procedures manual. It further emerged that NMBM technological systems were aligned to SCM processes, were user-friendly and easily accessible, and could facilitate tendering processes transparently. However, the systems were outdated and subject to human interference, which led to corruption and fraud. Governance emerged as a major problem as the study revealed that the Code of Conduct of the municipality was not being properly communicated and that the SCM Unit needed to educate and raise awareness on all SCM related matters to capacitate role-players. Of concern was the fact that departments were operating in silos, leading to numerous SCM irregularities. Hence the NMBM had obtained qualified audit results in three consecutive years. Other areas where notable shortfalls existed included leadership, sustainability risk management and the measurement of supplier performance.

Based on the findings of this study, some managerial implications can be put forward. The municipality should establish an SCM ombudsman, who could resolve all SCM disputes and other payment related queries. Tender processes should be redesigned and improved to support service delivery. All SCM staff, managers and role players should undergo periodic training and development to improve their skills and competencies. This could assist in keeping abreast with technological changes and develop innovative human resources that can deliver quality service to local communities. To improve their effectiveness, bid committees should have diverse representation and should also include people with ICT skills. Ad hoc bid committee members should be appointed that should avail themselves when other committee members were absent. An institutional supplier, performance management system, be introduced and implemented within the SCM Unit. The unit should further strengthen its monitoring and evaluating of SCM processes to deal with the existing conflicts of interests that exist. The SCM policy and code of conduct should be included in the induction programme for new employees. Additionally, investments in technology should be enhanced and expedited to facilitate innovation amongst employees.

Leaders and SCM managers should possess the required qualifications and skills and consequence management should be applied whenever officials fail to either comply with or implement the SCM regulations. The municipality should, at most, revisit its corporate governance practices and consider applying consequence management wherever possible. The latter will ensure that SCM role players who are implicated in any corrupt activities would face disciplinary action and possible imprisonment.

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## CONTINUOUS REFLECTION AMONG CONSULTANTS AT THE WRITING CENTRE OF A UNIVERSITY OF TECHNOLOGY IN SOUTH AFRICA

**Innocentia M Shube**

Vaal University of Technology, South Africa

Email: [innocentias@vut.ac.za](mailto:innocentias@vut.ac.za)

Orcid ID: 0000-0001-6170-9142

**Kholeka Constance Moloji**

Vaal University of Technology, South Africa

Email: [conniem@vut.ac.za](mailto:conniem@vut.ac.za)

Orcid ID: 0000-0003-1923-1206

### ~Abstract~

*The aim of this study was to explore how continuous reflection by academic writing consultants in one university of technology enabled them to cope with the challenges of advising students on their negotiated projects. Research indicates that writing centres are rhetorical spaces in which academic writing consultants and students attempt to negotiate academic projects assigned by and evaluated by individuals who are not directly associated with the centre's daily activities. The qualitative research method was chosen for this study with the aim to explore, describe and explain the selected participants' experiences, behaviours, and interactions for a better understanding of reflective practice among consultants at a writing centre of one UoT. Seven writing consultants reflected on their practice over a period of one semester, each consultant wrote a reflection on their reflective practice after term one and term two. Thematic content analysis was used to analyse qualitative data. Two themes emerged, namely writing centre practice and student support and development. The study found that continuous guided reflection has two main positive benefits, (i) it encourages good facilitation practice and professionalism, and (ii) it improves the personal growth and development of writing consultants. It was also revealed that on reflection, some of the participants reported that because student consultation sessions are controlled, these consultations were steered by students' concerns and not the advice given to them by the consultants. This study concludes that guided reflective practice should be introduced in most programmes within the UoT, especially in the post-graduate programmes, that are offered at the institution. The study further recommends that reflective practice should be taken seriously because it plays a role in the formation of the knowledge base for the writing centre and could be an important part of the research process for individuals and teams in academic development contexts.*

**Keywords:** Academic writing consultants, reflection in and on practice, writing centre

**JEL:** 12 – Education JEL: 123 – Higher Education Research Institutions

### 1. INTRODUCTION

According to Ganobcsik-Williams (2017) academic writing development is a strong and growing area in South African higher education. Academic writing consultants at the university of technology studied, are senior students who have completed their three-year national diploma qualification, the B-Tech degree and are registered for the M-Tech and D-Tech degrees. The remit of the writing centre at the institution is student focused. Ganobcsik-Williams (2017) explains that writing centres establish long-term writing support collaborations with lecturers in the disciplines; research the rhetoric of multimodal assignments and train academic writing consultants to work with students on multimodal coursework that involves writing and rhetorical choices; use technology to work with students on their writing at the same time that their module lecturers are working with them on their writing; and they move writing tutoring into disciplinary modules within disciplinary contexts. Within the writing centre, at the university of technology studied, the authors noticed that writing consultants were not prepared for the academic rigor and facilitation of writing consultation sessions as aptly explained by Ganobcsik-Williams (2017). When the writing centre opened in 2012, M-Tech level students at the institution, had no prior experience of a writing centre. This necessitated intensive training and development of consultants in the discipline of academic writing within and across the curriculum. Dison and Clarence (2017) argue that writing centres are rhetorical spaces in

which academic writing consultants and students attempt to negotiate academic projects assigned by and evaluated by individuals who are not directly associated with the centre's daily activities. This kind of situation has the potential to create tension between the academic writing consultants, the students they advise and their lecturers.

The roles of the academic writing consultants are multi-faceted and include advising students in structuring their assignments so that they can develop logical and coherent ideas (Dison & Clarence, 2017). The consultants also help students with strengthening of arguments in their assignments by providing different types and layers of writing support (Ganobcsik-Williams, 2017). Research indicates that consultations are collaborative conversations between the writer and consultant about the project (Emmerson College, 2019). Consultants help students think about how they might revise their writing (Fred Meijer Center for Writing & Michigan Authors, 2019). The University of Puget Sound (2019), indicates that peer academic consultants are specially trained to help students improve their time management skills, organisation, study skills and test-taking strategies. Writing consultants consequently, work with students to help them become better writers (Ganobcsik-Williams, 2017).

Substantial research has been conducted on reflection and its role in various contexts of human learning and practice (Kolb, 1984). Although literature shows that reflection is beneficial in learning environments, there are few studies that focus on reflection within a Writing centre at a South African UoT. Studies have focused on initial orientation training (Archer, 2010), reading development (Kane, 2012), writing within disciplines (McKay & Simpson, 2013) and on reading and writing across the curriculum (Mgqwashu, 2011). Thus, there is a gap in the literature on the practices of writing consultants in general and, specifically, there is a dearth of knowledge on the topic of reflection experiences among writing consultants in new writing centres at South African universities of technology (UoT's). Besides a focus on the development programmes, previous studies had homogeneous participants and were situated within the context of traditional universities with established writing centres. The aim of this study was to explore how continuous reflection by academic writing consultants in one university of technology enabled them to cope with the challenge of advising students on their negotiated academic projects. Ganobcsik-Williams (2017) suggests that writing centre spaces are constantly being shifted, negotiated and contested because practitioners make spaces, claim spaces that are not wholly theirs.

## **2. PROBLEM STATEMENT**

Inadequate knowledge and experience regarding writing centre practice of which guided reflection is a central component at the UoT, prompted this study. The study is further prompted by the claim made by Dison and Clarence (2017) who suggest that there is a need for theorised research within and from writing centres, and for enhancing lecturers' awareness of educational theories that underpin approaches to curriculum development, teaching and assessment. For the UoT studied, this claim is critical because the institution has neither a faculty of education nor a faculty of social sciences, where educational theories would form part of the curricula. Whilst, in most traditional universities each faculty has its own academic writing consultants, the situation is different at UoT. In 2013 seven writing academic consultants dealt with a student population of 20 000 students. This number has been reduced to four consultants in 2019. What exacerbates the challenge at the UoT is that a great majority of students admitted come from disadvantaged socio-economic backgrounds and from schools that have not prepared them sufficiently to participate in the academic literacies of the institution (Dison & Clarence, 2017).

## **3. ESTABLISHMENT OF WRITING CENTRES IN SOUTH AFRICA**

A brief history of the development of academic writing centres in South Africa is provided. Dison and Clarence (2017) trace the establishment of academic centres in South Africa to the mid 90s, located largely within academic development units, such as the former Academic Development Centre (ADC) at the University of the Western Cape (UWC), and the Academic Support Programme at Wits University. These scholars argue that the writing centres were closely aligned with academic student development work that was focused on disadvantaged, underprepared, and predominantly black students coming into higher education during the transition from apartheid to democracy in the early to mid-1990s. Dison and Clarence (2017) point out that the standard way of thinking about academic writing and literacy development work at that time employed a deficit model because the remit was remediation of the effects of poor educational provision in schools, which resulted in black students not having a sound background to participate

effectively in higher education compared to their white counterparts. Briefly, Dison and Clarence (2017) point out that the development of current thinking about writing centres went through a series of changes to the point where working within a paradigm of writing as different forms of social practice and writing centres as spaces that work with students and lecturers to unpack, demystify, and even contest elements of these practices, writing centre consultants have a challenging role to play.

#### 4. REFLECTION AMONG CONSULTANTS AT THE WRITING CENTRE

Our interest is more on how continuous reflection at the UoT writing centre is enabling consultants to deal with a myriad of challenges in their negotiate spaces. Slemming (2017) suggests that writing centres are alternate pedagogic spaces to build a body of knowledge about writing centres in South Africa. Reflection amongst academic writing consultants is critical to inform this body of knowledge. Archer and Parker (2016) argue that the writing centre is an important site in which postgraduate student consultants are able to explore facets of their academic identities through collaborative learning that encourages transition and transformation. Active learning is learning which is engaged, 'student-centred' and involves cognitive as well as interactive sensory-motor engagement. Its vital aspect is relevance; the point is that what is learnt can and must be practiced or applied in real world situations. Reflection or reflective learning and observation is one of the tenets of the experiential learning theory of Kolb (1984), who is one of the pioneers of studies of reflection in learning and practice. This study uses Kolb's (1984) lens in the active learning and engaged environment of the writing centre at a UoT.

There are various ways in which reflection can be practiced in different settings, there are two basic approaches to doing reflection and these are *reflection in action* and *reflection on action*. *Reflection in action* is a prevalent method of practice in medical fields and some social sciences; and can also be understood as mindfulness practice, where an individual is fully aware and observant of the present moment (Niemic, 2012). An example of this at the writing centre is that writing consultants, during sessions, must constantly think of ways to collaborate and discuss with students while responding to queries. Consultants have to be attentive in the moment while having to think about what to do next, what aspect of writing should take precedence, whether assignment guidelines are followed and still be able to conclude the session with an accurate feedback reflection on the session to the student.

Guided reflection is structured, it can include set reflection questions or prompts and a reflection schedule. There are conditions that must exist for effective guided reflection (Creasap, Peters & Uline, 2005), these are: (1) more than one person must be involved, there were seven writing consultants and they all participated; (2) there must be an environment for reflective conversation, all consultant meetings and seminars allow for a reflection on the week at the writing centre; (3) an environment that allows for and encourages reflection and; (4) opportunities for action from what arises in the reflection, encouragement and opportunity comes in the form of prompt responses to what consultants reflect upon and allowing them to be involved (Salas, Tannenbaum, Kraiger & Smith-Jentsch, 2012).

O'Neil, Harrington and Bakhshi (2009) emphasized the importance of supporting writing consultants in order to develop student writing. In their study they used reflection on action done by writing peer tutors to reveal what comprises a successful writing tutorial session. The context of this study then becomes important here, historically UoTs have been more technically inclined with a focus on trade learning. Thus, reading and writing have been secondary objectives, the writing centre in this context can also be conceptualised as an advocate for the depth reading and writing needed at a university. Archer (2010) provides some insights on the positioning of writing centres at universities and what role they play. Understanding the role of reflection at a writing centre is an important basis for a good writing centre program and it supports the growing evidence of the effectiveness of peer learning and support. From their research O'Neil *et al.* (2009) found that it is important for an interpersonal relationship to be developed between writing consultants and students. Secondly, writing consultants must be sensitive and objective when working through student writing. Thirdly, writing consultants must be flexible and act as guides in the writing consultation session; this may include brainstorming ideas and giving students a chance to free-write within the session. Lastly, writing consultants need to be self-reflective as this encourages and improves the likelihood of them creating better consultation sessions for students (O'Neil *et al.*, 2009). The preceding four points must be used as reflection points which can be beneficial in creating a better peer

learning environment as well as encouraging ways in which writing consultants can have better consultation sessions.

The creation of better consultation sessions is promoted by reflection because consultant reflections provide feedback and insight into writing centre practice and research projects. In Kane's (2012) study, writing consultants were asked to reflect on reading and writing barriers which they observed in students. The reflections were used to inform and further develop a newly established reading project. Student reflections were used as data in order to understand the intricate negotiation of epistemological access between writing consultants and a scientific discourse. These reflections can also inform on the various ways in which writing centres can improve their positioning within academic institutions (McKay & Simpson, 2013). This shows that reflection should be prioritized (Caldwell, & Grobbel, 2013) and that enough time should be dedicated, at times reflection may require a lot of time in environments that have inadequate resources.

One of the major criticisms of reflective practice is that it is time intensive, any reflective practice needs time and environments that allow for it because there is a lot of documentation to be done. In some instances, reflective practice may slow the pace of the work being done, it may even create uneven supply and demand situations. For example, writing centres in the UoT context have busy seasons (terms 1 and 3) and slow seasons (terms 2 and 4) so reflection may be difficult to carry out during the busy times of term because consultants, facilitators and coordinators are busy.

## **5. RESEARCH AND METHODOLOGY**

The qualitative, interpretive research method was chosen for this study with the aim to explore, describe and explain the selected participants' experiences, behaviours, and interactions for a better understanding of guided reflective practice among consultants at a writing centre of one UoT (Newman, 2013). The rationale for the choice of the qualitative approach is its usefulness in helping the researchers to find out what it means to be a reflective practitioner at the writing centre. This process is carried out without the use of statistical procedures or quantification but rather through textual data or words because in qualitative research all human beings are engaged in the process of making sense of their (life) worlds (Babbie & Mouton, 2012). This is an attempt to understand people's perceptions, perspectives and understandings of a situation by focusing on people's subjective experiences and interpretations of the world Interpretivism implies that there is no one single reality that exists but, individuals make sense of their own subjective reality and attach meaning to it (Babbie & Mouton, 2012). In this case taking an interpretive stance assisted in providing an in-depth insight into the complex world of lived experiences from the point of view of consultants in the UoT's writing centre.

### **5.1 Data collection**

Qualitative data was collected from the term reports of seven registered graduate writing consultants with whom we had several contact sessions during their training. Term reports include a section where consultants are probed to reflect every term. The purpose of the training was to prepare them for assisting students and facilitating academic writing consultations. Of the seven consultants, five were registered for a M-Tech degree and two were registered for the D-Tech degree at the UoT. Of the seven, three were male and four were female. The sample comprised the total population for this study (Babbie & Mouton, 2012). Initially writing consultants were asked to verbally reflect on and share their experiences and perceptions of reflection. This sampling method is best for this research as the individuals were chosen based on their knowledge of the writing centre, the period they have worked there, and the problem stated in this study (Babbie & Mouton 2012). Each consultant submitted two reflections, one reflection at the end of each semester. Reflection questions were open ended with a specific focus on consultants' experiences and perceptions of reflecting continuously.

### **5.2 Data analysis**

Data obtained from the reflections was analysed qualitatively using a thematic content analysis (Creswell, 2013) to derive themes and sub-themes generated from the term report reflections submitted by participants. After the submission of written reflections, axial coding was used to determine emergent ideas which were organised into categories and sub-categories to ensure the capturing of data on the experiences of consultants about reflection in and on practice. This process was followed by selective

coding to further enhance the researchers' understanding of the classified data so that they would be able to develop an interpretation of the reflective practice of consultants (Maree, 2014).

## 6. ETHICAL CONSIDERATIONS

The researchers adhered to the ethical considerations of the UoT. For the researchers, ethical practice meant that we respect and protect the participants for actively consenting to be part of the study (Babbie & Mouton, 2012). Ethics included confidentiality of data to issues of anonymity and permission to access individuals or subjects of the proposed research (Msweli, 2011). The selected participants were informed fully about the purpose, methods and intended possible uses of the research, what their participation in the research entails and what risks, if any, are involved (Babbie & Mouton, 2012). The confidentiality of information supplied by research subjects and the anonymity of respondents was respected. We explained to participants that they would not be coerced and that their reflections would be used for research. Harm to research participants was avoided at all costs. The independence and impartiality of the researchers was made clear, and any conflicts of interest or partiality was made explicit (Babbie & Mouton, 2012).

## 7. CREDIBILITY

To ensure credibility of the research, a clear and sensible link connecting each step of the research from data collection to reporting of findings was provided. Information was not only presented systematically but was also interpreted based on empirical findings. Any personal assumptions and pre-conceived notions about guided reflection were acknowledged to the participants prior to data collection to avoid tainting data and research findings (Creswell, 2013)

## 8. FINDINGS

Reflections are normally done in all four terms of the university, covering the year. Of the four term reflections that were submitted by five consultants, the first semester reflections are used in this study. This constitutes 14 reflections which were returned via email. In this section consultants will be referred to as participants e.g. for example, Participant 1 (P1), Participant 2 (P2), Participant 3 (P3) and so on. The researchers found that the consultants' experience of reflection was generally positive, and consultants perceived it to be valuable in helping them generally improve their practice as consultants and as writers. It became easier for them to reflect because in the guided reflection space (Plymouth University, 2010) they felt safe because they could share in the presence of colleagues during weekly seminars and write in-depth in the written reflections for the term report. Although most of the findings from the data were found useful, the findings and discussion that follow will focus on two themes, namely writing centre practice and student development. The informants are labeled P1, P2, P3, P4, P5, P6 and P7.

### Theme 1: Writing centre practice

Most of the consultants found reflection to be a constant reminder of their roles and responsibilities as writing consultants. Some of the consultants retrospectively expressed what they could have otherwise done and how they could change their current practice. The following are some extracts from the consultants' reflections. For example, P3 said: *"Before, I used to write for the sake of getting marks. Since I started doing the reflection, I am now able to reflect and jot the reflection down in writing. Things are easy to analyse logically [and] provide information."* P1 affirmed P3 and said: *"Yes, it had. I am more and more cautious and mindful of what I write, how it sounds etc... I try not to use the same words several time[s] more than ever before, among other things."* P4 added: *"I have learned that reflection is part of knowledge processing"* P5 said: *"Yes, reflections added a positive effect on my writing because my writing skill have improved compared to the way I use to write before I became a writing consultant."* P7 indicated: *"Reflection as had a positive effect on my writing since I can easily write, and I like writing now more than before."*

In reflecting the participants reiterated the importance of being student centred (Zeki & Güneşli, 2014) during student consultation sessions. Some of the participants mentioned having to constantly ensure that the student consultation session is controlled and steered by students' concerns and not their "advice". For example, P1 indicated: *"I was unable to correct the slight grammar, language and reference errors I discovered."* P6 wrote: *"I had ... a group consultation with [...] students... gave them opportunity to assist one another before I interact."* P4 said: *"I try not to lose my patience with students, even when they don't*

want to listen to me. I listen to them more, so I can understand where they are coming from.” P7 indicated: “You must bear in mind that you cannot know everything.”

Although it is not mentioned explicitly by name, one of the negative elements of the feedback that the data provided was on consultant knowledge of the writing process. It emerged from the data that consultants seem to have had the feeling that they should have been better orientated prior to their work at the writing centre on the nature of academic writing specifically on ‘the writing process’ for themselves as well as the students they assist. The participants expressed that the overall message was that coming to an understanding of the writing process in theory and in practice is important because it has helped them improve their reading and writing practice with the positive consequence of decreased writing anxiety.

## **Theme 2: Student Support and Development**

From the data, the researchers found that regarding the development of writing consultants, the participants experienced several professional and personal benefits from reflecting continuously. There are comprehensive benefits of reflection on thought and practice. Reflection was a way to develop themselves, a kind of psychological tool kit that encouraged confidence in their own academic writing voice, vocabulary, critical thinking and self-probing. Some of the extracts from the consultants’ reflections: P2 pointed out: “*Reflection had made me or enhance[ed] my analytical skills, ... I make sure that I utilize my [skills] where I assess my creative part in writing whatever that I want to write about.*” P7 mentioned: “*My vocabulary is always [improving] and I am improving my [own] writing by the day.*” P3 indicated: “*It has helped me to analyse my thoughts logically with support from different experiences. It has also helped me to try to use my own words where necessary and refrain from copy and paste.*” P2 wrote: “*Reflection had [given me the] ability to be a coherent thinker or analyser [in all] avenues.*” Most of the consultants expressed that guided reflection allowed them to positively evaluate their experience at the writing centre which led to an increased openness to collaborative peer interaction, learning and creating “non-anxious” learning environments with their peers.

## **9. DISCUSSION**

Reflection on action is both a mediator of learning and a moderator of behaviour. This gives writing centres, academic development practitioners and course lecturers who work with graduate students (Ezati, Ocheng, Ssentamu & Sikoyo, 2010) vast opportunities for exploring the positive potential of this approach (Archer, 2010). Literature seems to suggest that writing centres can play a role in engaging students as well as creating spaces for non-evaluative participation within individuals (Dison & Clarence, 2017) and across disciplines (McKay & Simpson, 2013). Although writing centres allow writing consultants surface level epistemological access into different discourse communities, which can be negative because writing consultants generally work across disciplines (McKay & Simpson, 2013), most students at UoT’s still do not have intersection spaces for such access. Yes, such access should be continuously managed through reflective practice nevertheless it’s also a positive contribution to writing consultants’ academic general knowledge which is required for facilitation.

In any learning environment, the facilitator is important because he or she initially sets the tone and pace of learning (Clarence, 2016). Continuous consultant professional and personal development are important because their consequences, whether negative or positive, have a direct impact on the work of writing centres. When writing, consultants are empowered and developed, they are more open to participating and creating meaningful sessions with students (Clarence, 2016), this is where the writing centre claims its position within the academic institution (Archer, 2010).

From the data, it emerged that most of the consultants experienced the academic environment as lonely and siloed. This specific UoT, postgraduate units and the academic development units like writing centres could collaboratively do more to support graduate students. There needs to be deliberate and intentional analysis of the needs of graduate students. From the findings in this study it was clear that writing consultants were oftentimes not aware of what they do not, but should, know. This points clearly to a lack of the intersectional spaces in between (McKay & Simpson, 2013) which are important in providing students, in general, with a broad scope while keeping within their disciplines.

## **10. RECOMMENDATIONS AND FUTURE RESEARCH**

This study recommends that guided reflective practice should be introduced in most programmes, especially post-graduate programs, that are offered at the institution under study. The practice of reflection enables the transformation of the writing centre into a space of learning writing practice for most of the students admitted to the university. The study further recommends that reflective practice should be taken seriously because it plays a role in the formation of the knowledge base for the writing centre and could be an important part of the research process for individuals and teams in academic development contexts. We further suggest that for guided reflection to be significant the writing centre should embed reflective practice as foundational part of facilitation training. Thus, there must be an intuitive understanding of the way in which reflection happens and its potential benefits. This kind of understanding could lead to writing centre programs that seek to improve writing centre practice and to deepen consultant development programmes.

## 11. CONCLUSION

In overview, theory and models of reflection fit academic environments like the writing centre because they already have reflection either as a method of collecting data or a method of practice. The approach and use of reflection may differ but the fundamental tenets remain the same, guided reflection offers a structured approach to reflecting amongst small groups of people and makes the creation of spaces for reflection manageable. Although reflective practice is time consuming, studies done at writing centres or in disciplinary courses show that reflection has a positive impact on learning and practice. In this study reflection was a positive, developmental and enriching experience for writing consultants, also providing important feedback for the writing centre.

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## THE RELATIONSHIP BETWEEN CORRUPTION AND ECONOMIC DEVELOPMENT: LESSONS FROM ZIMBABWE'S PUBLIC ENTERPRISES

### J. Tinarwo

PhD Candidate: School of Public Management, Governance and Public Policy  
College of Business and Economics, University of Johannesburg  
Email: josetinarwo@gmail.com

### V. Mzizi

Julius Nyerere School of Social Sciences, Great Zimbabwe University P O Box 1235 Masvingo, Email:  
Email: lvmzizi2@gmail.com

### DE Uwizeyimana

School of Public Management, Governance and Public Policy  
College of Business and Economics, University of Johannesburg  
Email: dominiqueu@uj.ac.za  
Orcid ID: <https://orcid.org/0000-0001-8062-5075>

### F. Zimano

Julius Nyerere School of Social Sciences  
Great Zimbabwe University  
Email: zimanof941@gmail.com

### ~Abstract~

*This research sought to understand the lessons that can be drawn from Zimbabwe's public enterprises on the relationship between corruption and economic development. The researchers adopted a qualitative design based on purposively sampled state enterprises. Data were collected using focus group discussions (FGDs) and key informant interviews from the various stakeholders that included the government, civil society, academia and the private sector in Zimbabwe. Four FGDs were conducted while 14 key informant interviews were done face-to-face with the respondents. Data obtained from interviews and FGDs were analysed thematically. The paper affirms that, indeed, corruption does not only disadvantage the poor but strangles economic development, reduces social services and diverts investments in organisations important to the survival of the nation. In addition, the paper makes a valuable and unique contribution to the different stakeholders' understanding of how their different concerns and interests are represented and negotiated for the sustainable economic transformation of any given country.*

**Keywords:** corruption, economic development, state enterprises, Zimbabwe

## 1. INTRODUCTION

Corruption is generally perceived as a global and complex challenge that demands urgent attention (Rose, 2018). At the domestic level, it predominantly inhibits economic development, wastes resources, and buttresses social inequalities (Rose, 2018). In essence, the abuse of power for personal gain evidently destabilises government performance, holds back per-capita income, reduces employment and corrodes public administration, among other things (Dang, 2016). Corruption impacts every aspect of the economy and has a negative impact on economic growth (Piplica & Čovo, 2011). Fundamentally, corruption is a serious global threat and a barrier to economic development in developing countries (Chiminya & Mudzingiri, 2015). Corruption stifles economic development as it diverts resources into unproductive directions and encourages distortions in the economy (Scheifer & Vishny, 1993). As such, corruption is shown as counter-productive and hurting to the national revenue resources and that it stifles a country's economic potential. Corruption inhibits both foreign and domestic investment, drives firms underground and cuts the state's capacity to raise revenues (Gray & Kaufmann, 1998). Accordingly, scholars allege that Africa has been lagging behind economically due to the negative impact of corruption and in most countries resources are being plundered on non-developmental initiatives (Sandbrook, 1993). For example, in 1991 Kenya suffered the withdrawal of donors due to corruption and maladministration (Sandbrook, 1993). Corruption endangers the growth and development of any given country by exerting

a negative impact on public and private investment, by the misuse of scarce resources and by demoralising people's confidence (Pulok, 2012).

Corruption is rife in most African countries and is regarded as a major obstacle to economic development (Rose-Ackerman & Palifka, 2016). The 2017 Corruption Perceptions Index by Transparency International ranked Zimbabwe number 157 out of 175 countries. The Corruption Perception Index is a globally respected corruption measurement strategy to determine the level of corruption among countries, done by Transparency International, which is an international organisation that fights corruption. The harmful effects of corruption have also been felt by Zimbabwe's public enterprises, as corruption has caused revenue leakages culminating in reduced levels of public confidence in state-owned institutions (Madhekeni & Zhou, 2012). Since the 1980s, Zimbabwe's public enterprises have been rocked by corruption scandals involving various government officials and politicians and both print and electronic media report issues involving corruption each and every day (Nyoni, 2017). The once progressive and admirable southern African nation is now economically stagnant due to the destructive nature of corruption on economic development, as funds have disappeared without accountability and have also been diverted for personal gain (Cheeseman & Tendi, 2010). Corruption has caused a decline in the number of investors coming to Zimbabwe due to the difficulties and expense in setting up a business (Nyoni, 2017). Furthermore, corruption is the main reason behind Zimbabwe's slow economic development, due to the scandals that are milking the country of millions of dollars (Choruma, 2017).

## **2. CONCEPTUAL FRAMEWORK AND METHODOLOGICAL APPROACH**

Addressing corruption in public enterprises involves, most profoundly, paying attention to governance issues and also appropriately recognising all of the stakeholders and actors that are involved, or could be involved, in the policy sector of interest (Resnick et al., 2015). In fact, an efficient policy system to fight corruption does not only constitute the policy makers and government entities but extends to include the private sector, civil society organisations, the media, policy committees, academia, development partners, and the international community, among other players. Figure 1 shows the pathways that are crucial to moving from a corrupt exposed institution to a capacitated and corruption-free organisation that is essential for economic development. The authors found that dealing with corruption is imperative to achieving economic development and ultimately the Sustainable Development Goals.

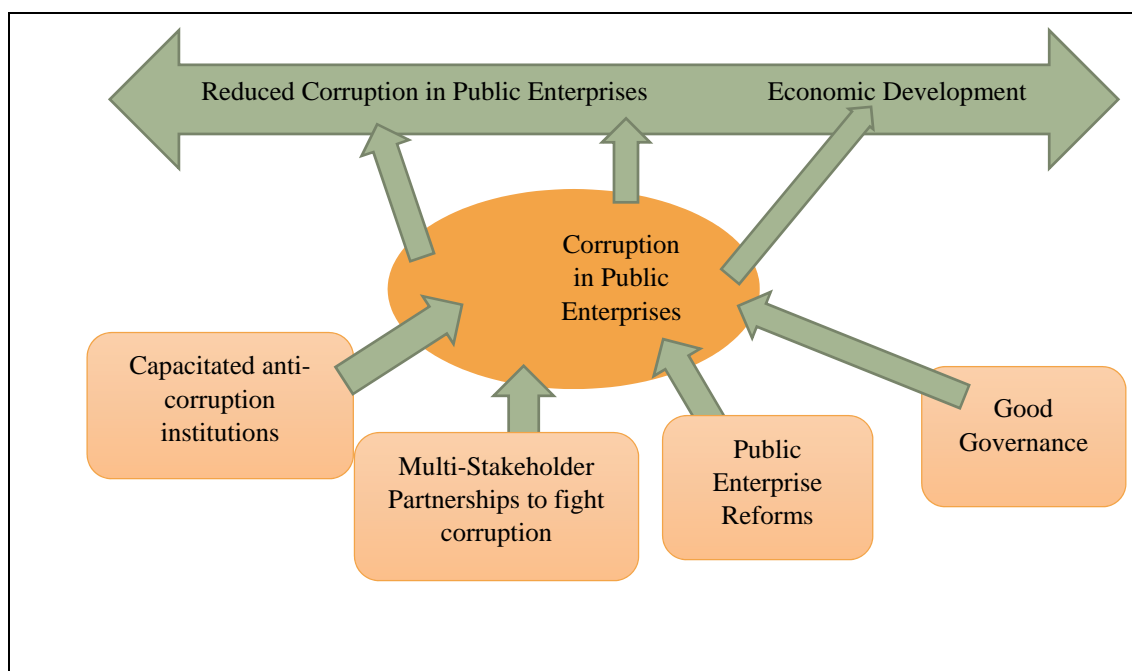
The authors suggest that the realisation of economic development is dependent on the practice of good governance in public enterprises. Ideally, governance issues have become a major impediment to the design and implementation of public programmes and policies in developing countries (Tinarwo, Babu & Iyappan, 2018). The governance of public institutions decides on the outcomes due to the political economy that surrounds the policy process, especially at the policy design stage (Resnick et al., 2017). Herein, the paper argues that good governance, through the effective implementation of public sector reforms, multi-stakeholder partnerships to fight corruption and capacitated anti-corruption commissions, will result in reduced corruption in public institutions. The reduction of corruption will ultimately lead to economic development. Figure 1 shows the pathways necessary for reducing corruption for improved economic development at the national level by improving possible governance mechanisms. Governance mechanisms, depending on the country context, can benefit the way in which the policy process operates, through improving the institutional and human capacity for better coordination of policy and programme implementation and also improving the human capacity to deal with the issues and challenges in a more participatory and transparent manner (Tinarwo et al., 2018). Within the context of this paper, we focus on the factors that are critical to attaining corruption-free public enterprises which will result in economic development.

## **3. METHODOLOGICAL APPROACH.**

The methodology used in this article primarily follows a qualitative approach in order to appreciate the effects of corruption on economic development. The research paper endeavours to trace the effects of corruption as a global issue, as well as the need for vibrant legal and institutional frameworks, which are essential for realising economic development. It is axiomatic that the subject of corruption has entered the policy domain of many countries and institutions (Rose-Ackerman & Palifka, 2016). It is also globally accepted to the extent that the methodological study of this body of knowledge is possible through systematic analysis and critique (Candel, 2014). This systematic analysis and critique principally take the

form of a document and literature review. In doing this key, informant interviews (KIIs) and focus group discussions (FGDs) were purposively sampled and conducted with government, academia, civil society and the private sector to the effects of corruption on economic development.

Figure 1: Pathway for Addressing Public Enterprise Corruption to achieve Economic Development



Source: Authors' compilation

#### 4. LITERATURE REVIEW: MEANING AND TYPOLOGIES OF CORRUPTION IN ZIMBABWE

Defining and conceptualising the nature and context of corruption has proven to be a difficult task (Rose 2018:2). Transparency International (2007) defined corruption is the abuse of entrusted power for private gain. In fact, corruption is the misuse of a public or private resource for direct or indirect personal gain (Wagenaar, 2007). Implied in the above definitions is that corruption is the determination to get wealth or power through illegal means at the expense of the public. Some of the major typologies of corruption manifesting in public enterprises are discussed below.

##### 4.1 Systematic Corruption

Systematic corruption is an institutionalised endemic manipulation of a system by individuals taking advantage of weaknesses in processes and systems for personal or private gain. (Johnston, 1998). This type of corruption is detrimental for the country, as corrupt activities may end up being regarded as a way of doing business while distorting the image of the public sector and robbing the nation of precious scarce resources that could have been used for economic development initiatives. This means the corrupt tendencies become so much ingrained that people begin to accept them as the norm. Systematic corruption ensures that key organisations and processes of the government are characteristically dominated and used by corrupt persons and individuals which ultimately makes it difficult for investors to consider setting up their businesses in a given country (Johnston, 1998). Such a scenario can culminate in increased costs of doing business, as the few players available may manipulate the crisis for personal benefits. Most state enterprises in Zimbabwe are rocked by this type of corruption and diversion of public resources for personal use. Thus, practice is so ingrained that most accept and identify it as the way of doing business. For example, the Vehicle Inspection Department (VID) is one of the institutions where corruption is regarded as a norm. VID inspectors and the public in need of driving competency certification wantonly engage in corrupt transactions before such is awarded. In the light of this, a governmental portfolio committee on Transport and Infrastructural Development established that the VID fired 62 VID officers countrywide for issuing a certificate of fitness to non-roadworthy vehicles and also learner licences to failed applicants (Mashaya, 2018).

## **4.2 Grand Corruption**

Grand corruption takes place at the policy formulation end of politics (Maharaj & Karodia, 2013). It refers not so much to the amount of money involved as to the level at which it takes place: grand corruption is at the top levels of the public sphere, where policies and rules are formulated in the first place. Grand corruption takes place at the high levels of the political system, when politicians and state agents entitled to make and enforce the laws in the name of the people, are using this authority to sustain their power, status and wealth (Johnston, 1998). This definition makes grand corruption to be the most damaging type of corruption, as policies are designed and implemented to benefit the top corrupt officials at the expense of the public. For instance, top public officials, like members of parliament and councillors, may make high-value economic decisions that have the potential to benefit them, like awarding tenders to corrupt bidders at the expense of service delivery. For example, four former Ministry of Energy and Power Development ministers, who served under Zimbabwe's former president Robert Mugabe's government between 2013 and 2017, are being investigated for allegedly turning the Zimbabwe Power Company (ZPC) into their feeding trough, where they flouted tender procedures for personal enrichment (Langa, 2018a:1). The ZPC board has since appeared before the Mines and Energy Parliamentary Portfolio Committee and implicated former energy ministers for having played different roles in the awarding of shady energy supply deals to businessman Wicknell Chivayo's Intratek and subsequently paying him US\$5,6 million without a bank guarantee in the \$200 million Gwanda Solar Project. Similarly, the Zimbabwean public enterprises in the mining sector have failed to account for US\$15 billion which disappeared during former president Robert Mugabe's, tenure (Langa, 2018b).

## **4.3 Petty Corruption**

Small scale, bureaucratic or petty corruption is the everyday corruption that takes place at the implementation end of politics, where the public officials meet the public. Petty corruption (or small corruption) is bribery committed in connection with the implementation of existing laws, rules and regulations, and thus different from grand or large-scale systematic corruption (Transparency International, TI, 2017). Petty corruption refers to the modest sums of money usually involved, and has also been regarded low-level and street-level to name the kind of corruption that people can experience more or less daily, in their encounter with public administration and services like hospitals, schools, local licensing authorities, police, tax authorities, and so on (Maharaj & Karodia, 2013). This kind of corruption makes it difficult for individuals to get normal or daily services without being forced into corruption activities. This type of corruption maybe be seen to be small-scale but it affects ultimately the manner of doing business in the country and in the public's confidence of public institutions, which in the end negatively impacts the economic development of the country. In Zimbabwe, this type of corruption is allegedly common in the Zimbabwe Revenue Authority (ZIMRA), where the country has lost millions of dollars through tax evasion and tax avoidance. As a consequence, the revenue authority suspended 80 senior managers, while two were sent home, in connection with an attempted \$2, 3 million fraud case (Chidza, 2018).

## **4.4 Political Corruption**

Political corruption is any transaction between private- and public-sector actors through which collective goods are illegitimately converted into private-regarding payoffs (Maharaj & Karodia, 2013). Political corruption is when the laws and regulations are abused by the rulers, side-stepped, ignored, or even tailored to fit their interests. It is when the legal bases, against which corrupt practices are usually evaluated and judged, are weak and furthermore subject to downright encroachment by the rulers (Byrne, 2007). Political corruption perpetuates the poor allocation and distribution of resources in return for political mirage and support. This type of corruption distorts the credibility of outcomes in events like public elections and this has a negative bearing on economic development.

## **5. LEGAL AND INSTITUTIONAL ARCHITECTURE UNDERPINNING CORRUPTION IN ZIMBABWE**

The Constitution is the highest law of the country and forms the basis of the creation of most institutions that deal with corruption in Zimbabwe. The Zimbabwean Constitution empowers, among others, the Zimbabwean Anti-Corruption Commission to address corruption (Section 254 of the Zimbabwean Constitution). Bryan (2009) views the constitution as fundamental in running the state and the basis of everything. Section 298 of the Zimbabwean Constitution provides the principles that guide all aspects of public finance in Zimbabwe, such as transparency and accountability. This is pivotal in fighting corruption

and its negative impact on economic development, as it shows the manner in which public funds are to be handled. Section 303 further states that funds withdrawn from the Consolidated Revenue Fund should only be used for the purpose they are meant for. This is key, as it ensures or tries to limit diversion of public funds. Section 299 and 300 limit the powers of the Minister of Finance and Economic Development and also make the minister accountable to the parliament. For instance, Section 305 of the Constitution states that the Minister of Finance and Economic Development presentation of revenue and expenditure of the government to the parliament. This ensures safeguarding of public resources which is critical in combating corruption.

### **5.1 Public Finance Management Act [Chapter 22:19]**

Section 10 of the Public Finance Management Act [Chapter 22:19] provides for the control and management of public resources and expenditure of the government. The Act provides for and limits the number of people or offices that must be involved in the control and management of public resources and tries to ensure that the Treasury is accountable and responsible for the Consolidated Revenue Fund (Section 17). This ensures that public resources are safeguarded, thus minimising the level of corruption. Section 17 further stipulates the specific manner in which funds can be withdrawn from the Consolidated Revenue Fund and also who has the mandate to withdraw the funds. Furthermore, Section 15 ensures that parliament must be kept informed of the financial activities of every ministry and other public entities. All this is critical in dealing with corruption and ultimately achieving economic development.

### **5.2 Prevention of Corruption Act [Chapter 9:16]**

The Prevention of Corruption Act [Chapter 9:16] provides for the prevention of corruption and the investigation of claims arising from dishonesty and any matter that is related to corruption. Section 3 of the Prevention of Corruption Act gives meaning to what is regarded as corruption and the strict punishment methods to those found guilty of corrupt activities. This aims to curb individuals and entities from promoting corruption in the country. Furthermore, the Act protects the government from being manipulated by public officials. Part 3 (Section 6 and 7) empowers the minister to investigate any dealing or any person who is suspected of abusing given power or of corrupt activities. Hence, this legal framework is critical in combating corruption and its negative impact on economic development.

### **5.3 Audit Office Act [Chapter 22:18]**

The Audit Office Act [Chapter 22:18] seeks to strengthen the position of the Auditor General in the fight against corruption. Section 8 (a) of the Audit Office Act provides that the Auditor General can call upon any person of interest to provide information that may help accomplish his or her duties without delay. Furthermore, Section 9 empowers the Auditor General to outsource auditors for the examination of any books of accounts on his or her behalf in order to ensure transparency and accountability. The Auditor-General is required by Section 12 of the Act to submit his or her annual audit report to the Minister of Finance and Economic Development no later than 30 June annually. The same Act compels the minister to lay the same report before Parliament in any one of the first seven days that the Parliament sits next, after the Minister has received the report from the Auditor-General. Section 11 of the Audit Office Act states that the Auditor General can prepare a special report to draw attention the of the Public Accounts Committee of Parliament on any matter relating to public funds. This depicts the pivotal role of the Audit Office Act in curbing corruption in Zimbabwe.

### **5.4 The Zimbabwe Public Entities Corporate Governance Act [10:31]**

The Zimbabwe Public Entities Corporate Governance Act [10:31] seeks to improve the internal management structure of public entities and to curb corruption. Section 17 of the Zimbabwe Public Entities Corporate Governance Act states that the chief executive officers of state enterprises and parastatals will serve for a maximum of ten years so as to allow a flow of new ideas and avoid the monopoly of state entities by a few individuals, which usually brews corruption. Section 37(d) of the Act obliges all senior officials in state enterprises and parastatals to declare assets and business interests exceeding \$100 000, so as to aid the state during audits (lifestyle audit). According to the Act, permanent secretaries of ministries are no longer allowed to sit on public entities boards to avoid the use of public offices to push personal interests. Section 14 ensures that board members of public entities are not allowed to access

loans or any credit facilities from public entities, so as to avoid abuse of public funds. The Act is pivotal in curbing corruption and in ensuring an increase in transparency and credibility in public entities.

## **6. INSTITUTIONAL FRAMEWORKS**

Scully (1988) suggests that institutional frameworks are formally set organisations with a clear mandate and structure. In this instance institutional frameworks include the parliament of Zimbabwe, the Office of the Auditor-General and the Zimbabwe Anti-Corruption Commission. All these are formal organisations with a clear mandate and play a crucial role in curbing corruption and reducing its negative impact on economic development in Zimbabwe.

### **6.1 The Parliament of Zimbabwe**

The parliament of Zimbabwe plays a pivotal role in trying to curb corruption (Moyo, 2014) and also reduce its impact on economic development. Zimbabwe's parliament (2018) states that Zimbabwean parliament is responsible for supervision by scrutinising public policies, programmes, and spending plans to ensure they are consistent with parliamentary purposes and regulated by documented policies and processes. For example, through the parliamentary portfolio committee and question and answer sessions, government authorities are made to answer for their actions. This ensures that all the state resources are accounted for and all abnormalities curbed, including corruption. Stapenhurst, Johnston and Pellizo (2006) purport that the parliament is at the apex of accountability instruments in the country as the ombudsmen and anti-corruption agencies report to the parliament and hold the government accountable for its actions. However, despite these important tasks in curbing corruption, the parliament has less enforcing powers, which renders this institution ineffective in curbing corruption in public enterprises. In 2018, the Zimbabwean parliament summoned the former president of the country, Robert Mugabe, in light of the missing US\$15 billion and he refused to appear before the parliamentary portfolio committee on mines and nothing was done. In the same vein, when the former Minister of Mines, Obert Mpofu, was summoned by parliament to account for the same missing US\$15 billion by the parliament, he refused to answer certain questions and nothing was done to him.

### **6.2 Auditor General**

The Auditor-General is a key player in efforts to reduce corruption and its negative impact on economic development in Zimbabwe. Section 106 of the Zimbabwean Constitution in conjunction with the Audit Office Act (Chapter 22:18) states that the role of the Auditor-General in auditing the accounts and financial management of all public departments, agencies, parastatals, and all local authorities is to conduct special audits of the accounts of any legislative body or government-controlled entity at the request of the government; and to order steps to rectify the accounts of any statutory body or government-controlled entity.

### **6.3 Zimbabwe Anti-Corruption Commission**

The Zimbabwe Anti-Corruption Commission (ZACC) is an independent commission created to combat corruption and crime in Zimbabwe. Section 255 of the Zimbabwean Constitution stipulates that ZACC has a mandate to investigate instances of corruption in the public and private sectors; to fight corruption, theft, misappropriation, abuse of power and other unsuitable conduct in the public and personal sectors; to promote honesty, economic discipline and transparency in the public and private sectors; and to receive and maintain in mind complaints from the general public. Heilbrunn (2004) states that strong anti-corruption commissions are the pillars in the fight against corruption in any country and reduce the negative impact of corruption on economic development.

### **6.4 Transparency International-Zimbabwe**

Transparency International is a non-profit and non-partisan organisation aimed at curbing corruption (Galtung & Pope, 1999). Transparency International-Zimbabwe is the localised chapter of the international movement against corruption. Zimbabwe Human Rights NGO Forum (2018) alludes that Transparency International-Zimbabwe works with key stakeholders from the state, civil society, private sector and the media to promote openness in the conduct of elections, in public management and governance, in procurement and in business. Transparency International's global network of chapters and contacts also use advocacy campaigns to lobby governments to implement anti-corruption reforms. This shows that

Transparency International is an important watchdog in the fight against corruption and reducing its negative impact on economic development.

## **6.5 Impact of Corruption on Economic Development**

Corruption has a multi-faceted impact on a country's economic development, which includes diverting of resources from intended projects to private initiatives or, in other terms, misusing funds and resources, distorts the allocation of resources, decreases investment levels, increases the cost of doing businesses, reduces donor spending and commitments and decreases public confidence in the government's state enterprises. Corruption can have a negative impact on economic development by lowering the human capital of the nation. Jain (2001) purports that corruption causes lower human capital that could have contributed immensely to economic development, since funds are diverted from pivotal and essential initiatives or sectors like health, infrastructural development and education, to personal initiatives and this causes poor service delivery in these sectors and in the process affects or determines the kind of population the country has. A poorly educated and unhealthy population contributes less to the economic development endeavours of the country.

Shleifer and Vishny (1993) argue that corruption is distortionary and detrimental to economic development because resources diverted from intended projects and supports private initiatives at the expense of national development (Rose-Ackerman, 1999). Choruma (2017) purports that corruption is the main reason behind Zimbabwe's slow and poor economic growth. In essence, state enterprises are the most affected institutions with corruption rife in these institutions, costing the country millions of dollars. Jain (2001) put forward that corruption affects the pattern of resource allocation because resources are channelled to fund projects that are bound to profit the corrupt government officials to the detriment of the economic development of the country. Furthermore, the misdirection of resources causes a decline in the quality of infrastructure, goods and services produced (Tanzi & Davoodi, 1998). Corruption in public enterprises lowers the amount of profit the country was supposed to gain from the goods and services produced.

Rose (2018) postulates that corruption affects investment levels coming to the country as no investor is willing to invest in a highly corrupt state. Nyoni (2017) concurs, adding that corruption has a negative impact on Zimbabwe and has caused a decline in the number of investors in the country due to the difficulties and expenses corruption causes in setting up and running a business. Gelos and Wei (2002) argue that investors tend to favour the least corrupt nations. Corruption not only affects the potential investors negatively in the country but it also affects the existing industries and the industrial mechanisms already at play. Ades and Di Tella (1997) argue that industrial policies become less effective in the presence of cost-escalating corruption. Thus, corruption decreases the growth and the productiveness of the industries that are already in the country and this impacts negatively the country's economic development.

Corruption impacts negatively the economic development initiative of the country, as it decreases public confidence. Kraay and Zoido-Lobaton (1999) concur that corruption is a hindrance to economic development and diminishes the quality of governance. Economic development is dependent upon public support and confidence and a history of corruption diminishes the public's support and confidence in economic developmental initiatives. According to Olken and Pande (2012) corruption increases the cost of government goods and services while decreasing quality, this in turn affects the confidence of the public on the government.

## **7. RESULTS OF THE KEY INFORMANT INTERVIEWS (KIIS) AND FOCUS GROUP DISCUSSIONS (FGDS) ON THE EFFECTS OF CORRUPTION ON ECONOMIC DEVELOPMENT**

This research was primarily based on a qualitative methodology and 14 KIIs were conducted with purposively and carefully sampled key individuals from the government, academia, civil society organisations, and the private sector. This was reinforced by four FGDS: one with government officials, a second with civil society, a third with academia and a fourth with the private sector. Responses from both the KIIs (96%) and the FGDS (98%) revealed that corruption is rife in most state enterprises in Zimbabwe. One key informant from civil society argued that corruption in Zimbabwe's public enterprises has reached alarming levels and has infiltrated several public institutions. He further highlighted that corruption in the country had become a cancerous scourge that left the economy crippled while leaving the majority in



subject poverty. This was reinforced by a key informant from academia who echoed that public enterprises divert resources from the intended purpose and award high salaries and packages to their employees, thus resulting in very few funds reach their intended use. The salary gate scandal in 2014 at the Zimbabwe Broadcasting Corporation (ZBC) and the Premier Service Medical Aid Society (PSMAS), where executives awarded themselves excessive salaries and benefits, were cited as examples.

Key informant interviews with government official found that corruption affects the form of resource allocation, as resources are channelled to fund projects that are bound to profit the corrupt government officials to the detriment of the economic development of the country. She stated that misdirection of resources in public enterprises causes a decline in the quality of infrastructure and also goods and services produced, which lowers the amount of profit the country was supposed to gain. A focus group discussion with academia found that corruption in most of the country's state organisations reduces foreign direct investment and also cause domestic capital to leave the country. It was noted in this FDG that corruption is rampant at the Zimbabwe Investment Authority, where investment permits are processed making the ease of doing business difficult. It was repeatedly said in this FDG that corruption in public enterprises has made it impossible for the country to attract new foreign direct investment, as investors redirect their investments to other friendly destinations.

### **7.1 Lessons Learnt**

The Zimbabwean case study offers a number of lessons into the understanding of the effects of corruption on economic development. KII and FDG responses revealed that corruption has devastating effects on economic development of any given nation, as public resources are diverted for private gain. The Zimbabwean government has shown a commitment to fight corruption by instituting both legal and institutional frameworks. However, there are challenges that are faced by the institutions that have the mandate to fight corruption, as they have difficulties in containing the corruption in the country. It is imperative to capacitate these institutions in order to improve transparency, accountability and openness in the use of public resources. For example, the Zimbabwe Anti-Corruption Commission, which is the primary institution to fight corruption in the country, lacks both financial and human resources to fight corruption. There is also a need for a concerted effort by the different stakeholders to ensure the full implementation of the legal frameworks in order to fight corruption in public enterprises. In fact, it is vital to review the legislative frameworks in order to include elements of stiff penalties to the perpetrators of corruption in these state enterprises.

Moreover, there is a need to review the remuneration of employees in state enterprises in order to reduce the level of corruption. The level of remuneration is directly related to the level of corruption in state enterprises (African Capacity Building Foundation, ACBF, 2007). The less people are paid, the more corrupt they become, in order to compensate themselves for their meagre salaries. Policy makers should offer their employees high wages to reduce corruption, thus creating favourable conditions for economic development.

It is important on the part of the government to educate the general public on the negative impact of corruption, as this can play a crucial role in reducing corruption in state enterprises (Rose, 2018). Ensuring that the public is part of the grand machinery in the fight against corruption is proving to be helpful. In essence, multi-stakeholder partnerships in public education and awareness campaigns by government, civil society, the private sector, research organisations and the media serve as watchdogs against corruption in these state enterprises.

It is imperative for the government to invest in smart technology in revenue collection, border posts customs controls, monitoring of public entities financial spending, public procurement and tendering, as this might limit the occurrence of corruption on these state-owned organisations.

Finally, there is a need to cut down bureaucratic red tape in the public enterprises and government departments. In fact, enabling the ease of doing business in these state enterprises will plug the loopholes of corruption, thus fostering economic development. Doing away with unnecessary procedures in state enterprises proves to be a viable solution in ending corruption, thus achieving economic development (ACBF, 2007).

## 8. CONCLUSION

In this article, we use the case study of state enterprises in Zimbabwe to gain an appreciation of the effects of corruption on economic development. With the state enterprises as a context, we conduct key informant interviews and focus group discussions and the results indicate that confronting corruption in public enterprises is a complex and serious challenge that requires a cocktail of strategies and tools to address it. In fact, corruption negatively impacts economic development by depriving the nation of much-needed resources that could have been used to develop the nation. Findings further indicate corruption creates inequalities as the officials in strategic positions tend to benefit at the expense of the public. Policy makers should institute measures on issues that affect state enterprises, such as improving good governance, transparency, and accountability and enhance mechanisms for detecting and punishing corruption. Using Zimbabwe's state enterprises as a case study, we draw specific lessons for other developing countries to address the effects of corruption on economic development. Further research is needed. Additional research is needed to understand how public enterprises can be capacitated and strengthened to overcome corruption.

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## THE ROLE OF COMMUNITIES OF PRACTICE (COPS) IN ADDRESSING RESEARCH DEVELOPMENT OF STAFF AT ONE SOUTH AFRICAN UNIVERSITY OF TECHNOLOGY

### Prof KC Moloi

Vaal University of Technology  
Faculty of Human Sciences  
Vanderbijlpark, South Africa  
Email: [conniem@vut.ac.za](mailto:conniem@vut.ac.za)  
Orcid ID: 0000-0003-1913-1206

### Dr CC Chitumwa

Faculty of Human Sciences  
Email: [chrisc@vut.ac.za](mailto:chrisc@vut.ac.za)  
Orcid ID: 0000-0002-9084

### Mr VI Zwane

Vaal University of Technology  
Email: [vusiz@vut.ac.za](mailto:vusiz@vut.ac.za)  
Orcid ID: 0000-0003-4889-275X

### ~Abstract~

*The present study explores the roles of communities of practice (CoP) to identify effective staff professional development strategies that could be adopted to build research capacity in one South African university of technology. Communities of practice are a versatile and dynamic professional group of people who come together to learn and practice what they have learned. They form an institution's knowledge resource and the basis of its ability to know, learn and apply new skills and capabilities. A qualitative, interpretive research method was chosen to carry out this study. The researchers opted for the case study design because we were interested in examining how the short research course had contributed to the research capacity of the participants and how the acquired knowledge would assist them in their master's and PhD studies. Data was collected from the reflections of 14 participants in which they expressed their learning experiences during the short course Braun and Clarke (2006) thematic analysis was used to analyse data. Six themes emerged from the participants' reflections. Many of the participants' responses were closely related to each other regarding the value of the short course. The study found that participative learning, facilitators' approach to learning, commitment and motivation were essential ingredients for the success of the short course in research methods. The study further found that engagement with course content determined the extent of the benefit from the course. The evidence from the reflections suggest that the short course in research methods was a valuable and much needed professional development initiative. This study recommends that more short courses on research methods should be established within the institution. The dire need for continuous professional development initiatives can demystify the perceptions that research is too complex and a difficult endeavour.*

**Key words:** Research capacity development; communities of practice; university of technology; collaborative learning; support

JEL: Higher Education Research

## 1. INTRODUCTION

The present study explores the role of communities of practice (CoP) to identify effective staff professional development strategies that could be adopted to build research capacity in one South African university of technology. Goncalves (2019) views CoPs as an organised group of professional people who share the same interests in resolving an issue, improving skills and learning from each other's experiences. These CoPs move through various stages of development whilst engaged in various productive activities of knowing and learning (Wenger, 2018). Salach (2014:1) defines a CoP as a community of professionals from the same field of work who connect regularly to solve problems, share ideas and knowledge. Wenger (2014) suggests that communities of practice rely on face-to-face meetings as well as web-based collaborative

environments to communicate, connect and conduct community activities. For Hoadley (2012) that there are two broad classifications of CoPs, the feature-based and process-based. The feature based definition views CoP as a community that shares practice, an anthropological perspective on technology adaptation, knowledge management and learning. Learning is viewed as a relational property of individuals in context and in interaction with one another (the situated view) (Hoadley, 2012). The process-based definition describes CoPs as the process of knowledge generation, application and reproduction in which a constant process of legitimate peripheral participation takes place (Hoadley, 2012). Thus, communities of practice, according to Wenger (2018) are a joint enterprise with mutual engagement and a shared repertoire of communal resources developed over time. Although much has been written regarding research development of academics in universities globally, there is a gap in literature regarding academic research development of staff through communities of practice, in the South African universities of technology.

In today's complex educational environment one of the ways of survival is continuous learning, development and change. In the global economy, the ensuing Fourth Industrial Revolution, the imperatives of neo-liberal policies and the globalisation of higher education, it is imperative that creation of new knowledge in our faculties becomes an integral part of the teaching and learning processes. For example, Corso and Giacobbe (2005) argue that knowledge is critical to organisational success and therefore must be managed. Managing this knowledge, they purport enables organisational conditions in which individuals are stimulated to assimilate, transfer and apply knowledge to achieve departmental, faculty and institutional goals and research productivity.

Frantz (2012:118) indicates that research capacity development is about producing ability through creating the necessary infrastructure, environment, culture and credibility to enable individuals and departments to undertake these activities. In order to build research capacity, the Centre for Leadership in Research Development (CLRD) (2012:3) suggests that a positive research culture, exemplified by "common understandings of the values, norms, motivations, work habits, expectations and sanctions of life as a university researcher; positive engagement with a discipline/field/profession; its connections with other disciplines; its theories, methodologies, methods and techniques" should be established. However, Hodges (2012:79) argues that, "there is a significant challenge in advancing scholarship and research in many institutions of higher education, nationally and globally." In light of this, Evans (2007:1) makes the point that "the disparity found in research activity and output – both in terms of quantity and quality – suggests that much research leadership is failing to achieve its purpose."

Notwithstanding this, critical to the initiative to build research capacity within the faculty is the notion of communities of practice (CoPs) and how these, if established, could assist us in achieving this goal. According to Wenger-Trayner, O'Crevy, Hutchinson and Wenger-Trayner (2014), communities of practice are formed by people who engage in a process of collective learning in a shared domain of human endeavour. For Cambridge, Kaplan and Suter (2005:1), CoPs provide a new model for connecting in the spirit of learning, knowledge sharing and collaboration as well as individual, group and organisational development. A useful explanation of CoPs for our study and our endeavour is provided by Karner, Rohracher, Bock, Hoekstra and Moschitz (2011:7) through what they term, "Knowledge Brokerage." According to these authors, Knowledge Brokerage is "an answer to foster the utilisation of research findings". They go on to say that "Knowledge Brokerage has been identified as a promising strategy in terms of promoting the interaction between researchers, policy makers and civil society by developing a mutual understanding of goals and cultures of participating actors to identify issues and problems for which decisions or solutions shall be developed". Thus, Lave and Wenger (1998) refer to a CoP as an active system in which its participants share knowledge based on their daily tasks and they share the meaning of this knowledge in their life within the community. The participants of the community are united in the community's practice and its meaning, both at the community level and at broader levels. Thus, the purpose of this article is to explore how the role of CoPs can enhance research capacity development of staff in one UoT in South Africa.

## **2. PROBLEM STATEMENT**

The university under study is one of the 26 higher education institutions in South Africa. The university has grown phenomenally since its inception 51 years ago when it started as a technical college, became a technikon and 11 years ago attained the status of a university, thus becoming one of the six UoTs in the

country. Although the staff numbers have over the years increased, the research output remains unsatisfactory in comparison to the other five UoTs in the country. It is this unsatisfactory research output that urged the researchers to initiate an in-house professional development of staff in research methods, particularly the novice researchers who are busy with their master's and PhD studies. Furthermore, the National Development Plan (NDP) of the country, Vision 2030, sets targets for change and economic development. To achieve this vision, amongst others, the increase in the number of PhD qualified staff in higher education institutions is crucial in order to improve research and innovation in the country (NDP, 2011:290).

### 3. LITERATURE REVIEW

According to Team (2011), the term CoP was coined to refer to the community that acts as a living curriculum for the apprentice. For Poggenpohl (2015:46), the community is a living curriculum. It "approaches knowledge in terms of an organism that adapts and interacts with its environment; uses ideas as instruments or plans of action; and retains ideas that practically work, discarding those that do not. It moves from primary experience through refined reflection to explanation; moving from the tacit to the explicit." Coined by Lave and Wenger (1998), CoPs, are ways of promoting innovation, developing social capital, facilitating and spreading knowledge within a group, and spreading existing tacit knowledge and skills. Learning, in these CoPs, is seen by Poggenpohl (2015: 47) "as an embedded social practice in which knowledge is gained through increasing levels of participation." Bates (2012:1) suggests that most CoPs have no formal design and tend to be self-organising systems, having a natural life cycle, and come to an end when they no longer serve the needs of the community. In line with Bates' assertion, Salach (2014:10), suggests that "CoPs have life-cycles that emerge and grow through different stages of development, described as: potential, coalesce, mature and stewardship but some groups may not progress and some may spend longer times at one stage or another. Thus, each stage requires different kinds of design, facilitation and support strategies."

In these CoPs, according to Poggenpohl (2015:44), research, theory, and practice become interrelated design elements, which are not isolated. Together they form the basis for developing more useful and specific CoPs, where related research traditions or domains of interest provide scaffolding, criticism, and clear communication for such communities. Considering this, **Karner et al. (2011:7)**, assert that Knowledge Brokering becomes the human force behind knowledge transfer: a dynamic activity that goes well beyond the standard notion of transfer as a collection of activities that helps move information from a source to a recipient. Brokering, according to these authors, "focuses on identifying and bringing together people interested in an issue, people who can help each other develop evidence-based solutions. It helps build relationships and networks for sharing existing research and ideas and stimulates new work." In line with this thought, **Harvard University (2015) suggests that learning communities** provide a space and a structure for people to align around a shared goal. According to **Tylus (2013), this culture, in general,** comprises an important factor of social development, because it creates intellectual potential within the institution, builds human capital, through the popularisation of cultural diversity, creates an aware university guided by ethical norms, open, resistant to xenophobia and prevents social pathologies.

Salach (2014:7) asserts that successful CoPs are characterised by three elements that function together to support innovation and learning. These elements are: a community of people who voluntarily come together to build relationships, exchange knowledge and learn from one another in an environment of trust and shared sense of purpose, and domain of interest on which the CoP members focus; provides an incentive for them to come together to share ideas, knowledge and stories; and where practice or shared repertoire of common knowledge, tools and resources is shared and built. For Lave and Wenger (1998), it is the combination of these three elements that constitute a CoP; and it is by developing these that such a community is cultivated. This kind of informal and formal learning, according to Lave and Wenger (1998:8), is an issue of sustaining the interconnected CoPs through which an organisation knows what it knows and thus becomes effective and valuable as an organisation and, in the case of this study, develops research capacity.

Evans (2007:2), however, argues that developing a research culture is not simple, straightforward or formulaic. If it were, she indicates, every university in the country would be applying the winning formula. In the same vein, the CLRD (2012:2) suggests that building a serious research profile does not happen

without the deliberate action of executive leaders. Freeman (2014:276) found that top-ranked programmes incorporated research by every student into each course that could be used for future publications. Freeman (2014:275) identified ten distinguishing programmatic characteristics for establishing scholarship and research: (i) organisational culture; (ii) emphasis on preparing students as researchers; (iii) more external funding opportunities; (iv) “brand” and reputation; (v) history of collegiality with top programmes; (vi) nationally recognised scholars; (vii) better access to global, cross-cultural, international perspectives; (viii) more opportunities for the socialisation of students towards the professoriate; (ix) more pressure to produce scholarship and maintain high research productivity; and (x) larger number of full-time faculty members on the staff. This is the gap that exists within our department and faculty. For Poggenpohl (2015:55), communities form around ideas, key people, institutions, programmes, books and journals. “They provide the context and glue from which we can build without having to begin from scratch.” Cambridge *et al.* (2005) indicate that CoPs are important, because they provide a shared context for people to communicate and share information, stories and personal experiences in a way that builds understanding and insight, and enables dialogue between people who come together to explore new possibilities, solve challenging problems, and create new, mutually beneficial opportunities.

#### **4. RESEARCH DESIGN AND METHODOLOGY**

A qualitative, interpretive research method was chosen to carry out this study. Interpretivism implies that there is no one single reality that exists, but individuals make sense of their own subjective reality and attach meaning to it (Jansen, 2009:21). The aim was to explore, describe and explain the selected participants’ experiences, behaviours, and interactions during the short course in research methods (Ballad & Bawalan, 2014:10; Newman & Hitchcock, 2011:383). The researchers opted for the case study design because we were interested in examining how the short research course had contributed to the research capacity of the participants and how the acquired knowledge would assist them in their master’s and PhD studies (Morse & Niehaus, 2009). For Yin (2014:18), a case study is an empirical enquiry about a contemporary phenomenon set within its real-world context, a phenomenon of some sort occurring in a bounded context. The focus of a case study design, according to Nieuwenhuis (2007:75), is to develop an in-depth understanding of a single case or multiple cases. The advantage of using a case study design enabled collaboration between the researchers and the participants selected for this study (Maree, 2014:33).

##### **4.1 Entrée and establishing researcher roles**

The researchers’ involvement and immersion in the capacity development of the participants in a real-world situation was essential in order to record the changes in research capacity development through CoPs (Maree, 2014:79). Our role in the study was indispensable, and the relationship we established with the participants, was crucial for data collection (Babbie & Mouton, 2010:249).

##### **4.2 Strategies employed to ensure quality data**

Trustworthiness is a fundamental element in qualitative research. The quality of the study is dependent on its credibility and its finding (Maree, 2009:37). Credibility, which is considered one of the most important aspects in establishing trustworthiness, concerns itself with the internal validity of a study (Maree, 2009: 37). The researchers ensured that internal validity applied in this study and that the views of the participants, written in their reflections, were correctly portrayed. To ensure transferability, detailed descriptions and sufficient information was provided to allow the reader to define whether the data and the results could be applied to other similar contexts (Maree, 2009:38). Dependability in this study was addressed directly by ensuring that the process within it is reported in detail, in so doing would enable future researchers to repeat the work, if not necessarily gain the same results (DeVault, 2017:1).

##### **4.3 Ethical considerations**

We conformed to the ethics of the Vaal University of Technology for conducting research. For qualitative researchers, ethical practice is usually defined as a moral stance that involves respect and protection for the people actively consenting to be part of the study, which range from issues of confidentiality of data to issues of anonymity and permission to access individuals or subjects of the proposed research (Babbie & Mouton, 2010:520).

##### **4.4 Participant selection**



The participant population comprised 35 academics who were registered for the short course in research methods at the institution. From this population, only 14 participants submitted their reflections at the end of the short course in research methods, although all participants had been requested to submit the same. All 14 reflections were thus used as samples for this study.

#### 4.5 Data collection methods

Data was collected from the reflections of 14 participants in which they expressed their learning experiences during the short course. These reflections were guided by five questions:

- When you enrolled, what were you hoping to achieve?
- What have you learned?
- What has been useful in the attendance of this course?
- What have you achieved so far?
- What are your recommendations for future improvement of the short course?

These reflections were important to show similar or divergent views and observations regarding the content and presentation of the short course. We hope that the reflections will assist in further improvement of the course delivery and the hours allocated to training for research professional development.

#### 4.6 Thematic data analysis

Thematic analysis was found to be relevant for this study, because it focuses on the participants' experience of the short course in research methods. Thematic analysis is an inductive process through which the themes identified are strongly linked to the data, because assumptions are data-driven (Bogdan & Biklen, 1992). This means that the process of coding occurs without trying to fit the data into a pre-existing model or frame (Dey, Schatz, Rosenberg & Coleman 2000:102). This was important for us because the participants' perceptions, feelings and experiences of the short course are the paramount object of this study and the rationale to understand what it meant for them, as a way of in-house professional development within the institution. The emphasis was on the organisation and rich description of the data set, because thematic analysis goes beyond simply counting phrases or words in a text and moves on to identifying implicit and explicit ideas within the data (Silverman, 2013). Through thematic analysis, the researchers focused on examining themes within data. The textual data was organised, broken into meaningful units, synthesised to search for patterns so that the researchers could discover what was important, what was to be learned and to decide what to report (Bogdan & Biklen, 1992:15). *In defining themes, we were both attentive and tentative: [attentive to the data](#), and tentative in our conceptualisations of it* (Dey, et al. 2000:102). Considering this, we attempted to understand, rather than explain, the perceptions of participants from their perspective as people who engaged intellectually, emotionally and physically in the research methods course (Holliday, 2002:5). Six themes emerged from the participants' reflections and these are discussed in the following section.

##### Theme 1: Difficulties in engaging with course content

This theme encapsulates each of the participants' experience in engaging with the research methods content: a combination of feelings encompasses useful learning experiences, great benefit, being taught everything and learning new skills. In the beginning of the course, some participants felt that they did not have the confidence to undertake research. For example, one of the participants wrote in her reflection:

*I was unsure of myself at first, but I quickly became used to using research jargon for example, epistemology, ontology, and axiology.*

This participant had indicated in her reflection that this course has equipped him or her with all the relevant skills he or she needed in the research process.

One participant wrote:

*I found it difficult to come up with a research problem.*

According to Kerlinger and Lee (2000:15), the identification of the research problem is “the most difficult and important part of the whole research process”.

One participant wrote:

*For example, one of the main challenges for most novice researchers, is to be able to identify a theoretical frame, or even the basic meaning of theory in a research context.*

Poggenpohl (2015:45) suggests that research skills need to be taught, and like design skills, they need to be staged so that students grow into an understanding of what various forms of inquiry can do to provide better design performance or in a larger sense to help build a body of design knowledge. To develop research skills, the CLRD (2012:2), suggests that it is essential that all executive and senior staff actively support research development and that it be led by a member of the executive within the institution.

## **Theme 2: Appropriate learning facilitation**

The essential point is that most of the participants felt that the learning facilitation was effective. For example, one participant wrote:

*Much effort, time and preparation by the presenters went into the success of this course, and I felt sorry that so many attendees left at an early stage of the course, not continuing and finishing what was to me a very insightful and enriching experience.*

Another participant had this to say:

*Highly knowledgeable personalities in their areas of expertise but had amazing teaching skills as well.*

One participant commented:

*Great teachers are able to simplify even the most difficult concepts.*

Another participant wrote:

*For example, one of the main challenges for most novice researchers, is to be able to identify a theoretical frame, or even the basic meaning of theory in a research context.*

From the reflections of the participants it seems that because of the effective learning facilitation strategies, the majority of the participants were able to overcome the impasse in undertaking research. Poggenpohl (2015:46) suggests that “teaching is also a variety of research if engaged in experimentally; when pedagogical procedures are reflected upon, examined, improved, and monitored.”

## **Theme 3: Participative learning**

Many participants felt that the use of participative learning strategies were beneficial. One participant explained that she has a sense of achievement of learning in the short course. She was just concerned that some of the participants dropped out of the course before its end. She wrote:

*I enjoyed the interaction between course goers very much.*

Another participant wrote:

*The sessions were interactive in nature and every question was responded.*

There was a sense that some of the participants enjoyed listening to their colleagues' stories. For example, one participant wrote:

*The way in which sessions are presented allowed us to learn from each other's experiences, failures, similar issues, mistakes and success stories.*

Indeed, Chamel and Hartl (2011) assert that a community of practice provides space for informal learning to take place.” Another participant wrote:

*Colleagues in the group and the course leader's suggestions assisted presenters to immediately correct and edit their work on their laptops. This was a valuable exercise as we not only learnt*

*about each other's research topics/areas, but we also learnt how to identify the mistakes in the work of others even before the course leader's input.*

Increasingly, designers work in collaborative, cross-disciplinary teams and participating in a team is different than performing as a solo practitioner or as a sub-contractor to someone who has delineated the extent of one's work. Cross-disciplinary team participation requires an ability to negotiate the team process and participate in decision-making. Such participation calls into question the context behind one's participation: disciplinary research and knowledge, or what is known and how it is known, particular skills and perspectives, all go beyond one's individual experience to depend on the contribution of others in the form of discussion and knowledge in order to form a productive collaboration" (Poggenpohl, 2015:44).

#### **Theme 4: Positive learning experiences**

Feelings of satisfaction and positive learning experiences were prevalent across the group of participants. One participant wrote:

*I can now use various research terminology appropriately and with confidence.*

Another participant said:

*Initially, I was confused by research concepts such as, among others, research philosophy, paradigm, as well as the difference between methodology and methods.*

In addition, another participant added in this regard:

*I am more inclined towards qualitative research, but through this course, I now understand quantitative research too.*

Research by the CLRD (2012:2) suggests that universities need to develop strategies, policies and practices that ensure that the great majority of academic staff appointments have strong research track records that are, or can be, aligned to widely known areas of research strength. Failure to use these chances to enhance the research capability of research groups, centres or institutes and the university as a whole, is a major drag on the institutional research agenda (CLRD, 2012:2). Poggenpohl (2015: 47) asserts that "students and faculty need to read research reports related to their project. This exposes them to how various kinds of research are constructed and results that may be useful for their project."

#### **Theme 5: Goal achievement**

Participants expressed the accomplishment of the goals they had set when they joined the short course. One participant wrote:

*Since the programme my research proposal was approved and my Chapter One. I also wrote one research article which I have submitted for possible publication.*

Another one indicated:

*I have always been goal-oriented and have usually known what I want out of life. I also wanted to fit in with a group. I feel that I have accomplished this with this class.*

One participant wrote:

*The facilitators helped me in developing refined research topic and objectives which all my supervisors were impressed with.*

Another one stated:

*I can easily grasp things when engaging with my supervisors and everything seems to be simplified since I am familiar with the process and concepts.*

One participant said:

*The facilitators helped me in developing refined research topic and objectives which all my supervisors were impressed with.*

Frantz (2012:118), indicates that the promotion of research productivity among academics requires departments to have an overall approach that is translated into clear strategies which are well managed

and evaluated. Frantz goes on to say that research capacity building has been identified as important for enhancing the quality of professional education and professionals, which ultimately affects teaching. Poggenpohl (2015:44) suggests that the need for collaboration, working on large, complex projects goes beyond the knowledge of one person to require the knowledge and skills of people from different disciplines. They need to coordinate their activities and synthesise their knowledge. In line with this thought, the CLRD (2012:2) indicates that collaborating with practitioners in different fields enables research to have an effect on both the literature and the CoP.

### **Theme 6: Weakness in the course**

This theme captured three participants' feelings of discontentedness about the course. For example, one participant wrote:

*I can easily grasp things when engaging with my supervisors and everything seems to be simplified since I am familiar with the process and concepts.*

Another said:

*In terms of the challenges I came across during the programme, I think the presenters did not give us enough time to be hands-on, for example, to do presentations, and to understand and analysis our understanding in terms of research.*

One participant said:

*I think that the presenters should have included some research concepts from Visual Arts.*

The last participant's view is supported by Poggenpohl (2015:44) who asserts that as more collaborative work is undertaken, researchers need to understand other disciplinary approaches to research: their internal presumptions, accepted processes, assessments of validity, and limitations. Overall, the participants were happy with the content and facilitation of the short course. They suggested that more time should be allocated to the course, some suggesting that it should be a year-long intervention. Following this initiative, some of the participants were able to use the skills obtained in various activities relating to their research, and a few of them were successful in submitting articles to academic journals for peer review.

## **5. FINDINGS AND DISCUSSION**

Seven themes directly linked to the data emerged. From the participants' reflections, for example, one of them expressed participative learning in the following manner: *I really appreciated the constant opportunities to talk about our individual progress of the research articles/research proposals that we were working on.* The learning experiences of the participants corroborate Pyrko, Dorfler and Eden's (2016:1) view which is that in CoPs, the process of thinking together is a key part of meaningful interaction where people guide each other through their understandings of the same problems in the area of mutual interest. Poggenpohl (2015:45) suggests that "members of high-performance teams in collaborative settings learn from each other and this continuous learning is a competitive advantage because perspectives broaden, new information is accessed, even creativity benefits." In support of this view, Ranmuthugala, Plumb, Cunningham, Georgiou, Westbrook and Braithwaite (2011:1) point out that CoPs are characterised by a shared domain of interest and they pursue a shared interest and practice. One of the participants mentioned that the way in which sessions were presented allowed them to learn from each other's experiences, failures, similar issues, mistakes and success stories. she went on to say that the experience opened an avenue for discussion and presentation and for her that was the best way people learn since it gave them responsibilities.

Some of the participants indicated that before attending the short learning course in research methods, they found it difficult to conceptualise a problem for their research. As a result, they pointed out, that they had to spend a longer time in developing their research proposals than their other counterparts who seemed to understand what they were doing. Johnson (2019:45) points out that problems such as those experienced by some of the participants in our short course could be reduced through good facilitation techniques and adequate scaffolding by the facilitators. One of the participants indicated that she was confused by research concepts such as research philosophy, paradigm and the difference between methodology and methods. Another participant mentioned that one of the main challenges for most the

novice researchers, was to be able to identify a theoretical frame, or even the basic meaning of theory in a research context. For example, Strauss and Corbin (1998:134) state that the interactions among individuals acting in groups may or may not be in alignment, that is, coordinated, giving meaning to these actions.

Despite positive reflections by the most of the participants, there were those who did not think the presenters did a good job in facilitating the lectures. One of the participants lamented that the facilitators did not give participants enough time to be hands-on, for example, to do presentations so that they could assess their own understanding of research. In line with this reasoning Johnson (2019:45) asserts that CoP support concepts, include aspects of constructivism, collaborative learning and negotiated goals as well as an environment of safety and trust. The lamentation of this particular participant points to the lack of or insufficient opportunity for participants to co-construct knowledge in the teaching and learning process. The reflections were an eye-opener to us because from the interaction with the participants we began to see that building a CoP is not an easy process because in the process we deal with individuals who have different dispositions. We were however, encouraged by some of the participants who experienced the short learning course positively.

The results of this study portray the experiences of the short course research participants at the UoT. Seven themes were chosen for this study, because firstly, they emerged from the data and secondly, they were directly linked to how the course was facilitated, and learning experiences, according to the participants' views. Many of the participants' responses were closely related to each other regarding the value of the short course. For example, Strauss and Corbin (1998:134) state that the interactions among individuals acting in groups may or may not be in alignment, that is, coordinated, giving meaning to these actions. From the participants' reflections, for example, one participant would describe participative learning as "*sessions were interactive in nature and every question was responded to by both facilitators and attendees.*" Another participant expressed participative learning in the following manner: "*I really appreciated the constant opportunities to talk about our individual progress of the research articles/research proposals that we were working on.*" Our findings are evidenced by the assertions made by participants, quoting them directly. Poggenpohl (2015:45) suggests that "members of high-performance teams in collaborative settings learn from each other and this continuous learning is a competitive advantage: perspectives broaden, new information is accessed, even creativity benefits."

## **6. RECOMMENDATION**

This study recommends that more short courses on research methods should be established within the institution. Participants should be encouraged to play an active role as researchers so that together we can address the current state of poor research outputs in departments, faculty and institution-wide positively. The participants' reflections indicate a dire need for such professional development initiatives that can demystify and simplify the complexity of research methods.

## **7. CONCLUSION**

The paper documents the reflections and experiences of academics who attended a short course in research methods in one UoT in South Africa. The evidence from the reflections suggests that the short course in research methods was a valuable and much-needed professional development initiative. The study has shown that the integration of discovery, integration, application, and teaching, provide a broad intellectual space for research capacity building. Many participants saw the short course as an enabling strategy and thus suggested that the length of the programme could continue for a year rather than six months. Individuals expressed how their fear for research had been removed and how much they progressed with their master's and PhD proposals. Participants indicated that they could now understand the differences between research methods and designs, methodological paradigms and theoretical perspectives, for example. Many participants felt they had experienced support and reassurance from participative learning. They expressed joy in listening to other colleagues' stories about their research projects. While most participants expressed a positive experience regarding the short course, a few felt that their needs were not completely cared for. Ongoing research by the authors, is examining in detail how we can improve research capacity through these short courses in order to provide a platform for more academics and senior students to participate and be able to see the nexus between teaching and research.

The implication of this exercise would be better research outputs and better throughput rates in the master's and PhD studies.

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**EXPLORING TRAINING AND SKILLS DEVELOPMENT IN SMALL AND MEDIUM SIZE ENTERPRISES (SMES): A FRESH SOUTH AFRICAN MANUFACTURING PERSPECTIVE**

**Ms Shamantha Devi Rajaram**

Institution/Affiliation: University of South Africa (UNISA)

E-mail: rajarsd@unisa.ac.za

Orcid ID: <https://orcid.org/0000-0001-7828-9412>

**Professor Melanie Bushney**

Institution/Affiliation: University of South Africa (UNISA)

E-mail: mbushney@unisa.ac.za

Orcid ID: <http://orchid.org/0000-0002-4139-2472>

**~Abstract~**

*This article explores the current training and skills development climate in South African SMEs, with a view to establish the evolving training and skills development practices in such businesses and the influence of training and skills development on their sustainability. The study was conducted in the manufacturing sector, in the Durban and East London urban regions of the country. A qualitative research design, with semi-structured face-to-face interviews was used to gather data from 15 SME owners. Most participants agreed that a well-structured and effective training and skills development policy and an HRD strategy, in conjunction with a progressive learning culture and positive attitudes, are essential for sustainability.*

**Key Words:** Small and medium size business (SMEs), Training, skills development

**JEL Classification:** L26, O14, O15

**1. Introduction**

The International Finance Corporation (2017) states, that a large portion of the economy of the developing world is comprised of small and medium size enterprises (SMEs), and that these entities are the only realistic growth and employment opportunity for millions of people around the globe. From an African perspective, Henning and Akoob (2017) argue that regardless of the robust growth of the African economy over the past decade, many Africans continue to live in poverty and that small businesses remain the only alternative to survival on the continent. A report by the Competition Commission (2016) reveals that South Africa has 2 251 821 SMEs in total and that 90% of South African businesses are SMEs. These enterprises, comprise 50% of Gross Domestic Product (GDP), provide employment for more than 60% of the workforce and assist in easing the skills burden through the provision of learnerships and apprenticeships (Abor, 2017). Despite the importance of SMEs in the South African economy, the irony is that many SMEs are unable to endure the long term and transform their businesses into sustainable offerings. Fatoki (2014) reports that 75% of SMEs fail after two years of inception. In addition, the South African Institute of Race Relations (2017) confirms that SMEs within the manufacturing industry are experiencing a steady decline, coupled with significant job losses. In 2016, the manufacturing sector shed almost 50% of its jobs, posing a serious challenge for the South African economy (Tselepis, Mastamey-Mason & Antonites, 2016).

Over the years, management scholars have attempted to rationalise SME failure in South Africa and have reported that the unsustainability of these enterprises can be attributed to inadequate access to funding, ineffective management and leadership practices and unsuccessful strategies and complicated legislation. Training and skills development strategies, an ineffective learning culture and negative attitudes as the reasons for SME unsustainability, were limitedly explored, especially within the South African context. These aspects can be influential in SME sustainability, in that creating a favourable training and skills development climate can contribute to better skilled employees, who are proficient in their jobs. Whilst studies have been undertaken with the aim to uncover the current training and skills development climate in SMEs, a research gap still existed in that these studies were largely quantitative, hence a qualitative study was deemed necessary. This became the impetus for this study. This article first provides the literature on SMEs and training and skills development. Second, a discussion on the qualitative methodology that was applied in the study, is presented. Third, the research findings and a discussion on

these findings, are delivered. The article concludes with recommendations that may assist SMEs in embedding and managing a training policy and HRD strategy, a learning culture and positive attitudes that can ensure their sustainability.

## **2. Literature review**

The literature related to this study is subsequently presented.

### **The definition of SMEs, training and skills development**

Peprah, Mensah and Akosah (2016) note that an SME is an enterprise that employs fewer than 250 employees. Lose (2016) adds that SMEs employ more people than micro and very small businesses and tend to be managed by a single individual. Hong and Lu (2016) do not consider the criterion of employee numbers for an enterprise to be categorised as an SME, but the size of the financial investment. Within the South African context, the Small Enterprise Development Agency (Seda) mentions that, for an enterprise to register as an SME, it should comprise 20 to 250 employees and have developed entrepreneurial skills and partnership networks (Seda, 2017). The Small Business Act 26 of 2003, places South African SMEs into categories separate from survivalists, micro, very small and medium to macro enterprises, which require a host of resources including effective training and skills development, to be successful.

Training is an organisational intervention intended to equip employees with the necessary knowledge, skills and attitudes (KSAs) to perform their jobs (Hickey, 2017; Kucherov & Monokhina, 2017). Bradford, Rutherford and Friend (2017) argue that training is a systematic method used to build individual, team and organisational effectiveness. Training focuses on skills development, achieved through on-the-job and off-the-job methods (Ogunyomi & Bruning, 2016). In addition, training forms part of the architecture of human resource development (HRD). According to Swanson and Holton (2001), HRD is a process that enables human capability to be unleashed through training and development, for the purposes of improving performance. Ncube (2016) adds that HRD involves activities that improve the quality of work delivered by employees.

Skills development on the other hand, represents knowledge or ability or both which are acquired through education, training and experience (Rozhkov, Cheung & Tsui, 2017). Hickey (2017) further notes that skills development is a requirement of a job, which is best seen as a component of the task. Additionally, when applied to professions, skills symbolise prestige or social status, which may be linked to some extent to the practitioner's capacity or the tasks that he or she performs. Moreover, Kotey (2017) contends that skills are the abilities that individuals possess in order to perform a task with which they are entrusted. Majama and Magang (2017) add that an individual who does not have such skills is unlikely to perform the task and will therefore be less effective than an individual who has the essential skills (Majama & Magang, 2017).

### **HRD strategy, learning culture and attitudes in South African manufacturing SMEs**

The manufacturing sector in South Africa is the third main contributor to the nation's GDP and is a catalyst for job creation and poverty alleviation (Statistics South Africa, 2016b). Despite the renewed optimism in the South African economy, the manufacturing sector remains in deep crisis, with its contribution to GDP falling from 18% in 1997 to below 11% in 2017 (Merseta, 2017). Additionally, the sector has recorded a loss of 105 000 jobs in the last quarter of 2017 alone. Besides the strain put on the manufacturing sector by the worsening economy, the persistent skills shortage in South Africa has also placed constraints on the sector.

The South African government has worked tirelessly in providing support to manufacturing SMEs in the form of workshops through the Seda. These workshops are geared towards assisting SMEs formulate and implement training and skills development strategies, policies and to embrace learning and cultivate positive attitudes towards training and development. Nolan and Garavan (2016) explain that an HRD strategy, which is a strategy that considers the entire learning process and involves an overall approach to training within the organisation. It is also recommended, that an HRD strategy be comprehensive and linked to the goals of the organisation (Nolan & Garavan, 2016). Ncube (2016) agrees with Nolan and Garavan (2016) on the mechanics of an HRD policy and further contribute that an effective HRD strategy gives rise to a positive learning culture and cultivates favourable attitudes among employees towards

learning. Literature defines a learning culture as that which comprises of seven interrelated dimensions, namely “opportunities for learning, dialogue, systems thinking, collaborative learning, knowledge management systems, empowerment and leadership” (Froehlich, Segers & Van den Bossch, 2014, p.34). Marsick (2013) posits that the learning culture present within an organisation influences informal workplace learning and learning outcomes to a large extent. Research notes that attitude is the most commonly used concept to explain behaviour over time (Fishbein & Ajzen, 2010). Allport (1935, p.810) contributes that an attitude is a mental and neural state of readiness, organized through experience, exerting a directive or dynamic influence upon the individual’s response to all objects and situations with which it is related.” However, Thurstone (1931) simplistically refer to attitudes as the affect for or against a psychological object. When attitudes are favourable, it is more likely that an individual will exhibit positive behaviour.

In South Africa, SMEs are realising that inculcating an HRD policy and strategy is crucial for the effective completion of tasks and for sustainability, however there is no conclusive evidence that SMEs embed such a strategy in their structure (Rabie et al., 2016). On the point of learning culture, Saunders, Gray and Goregaokar (2014) reveals that most SMEs have a strong dedication to learning and a collective vision. It was observed that SMEs that use technology to enhance production and skills, are more committed to learning than those who are less innovative (Saunders et al., 2014). The study of Mamabolo, Kerrin and Kele (2017) also notes that SMEs attempt to encourage a positive learning culture but are often met with challenges in the form of unwilling employees and inadequate time to engage in training and development activities. With regard to learning attitudes Brink and Madsen (2015, p. 653) note, that there is a degree of open-mindedness about learning and this results in positive attitudes, which influences the “absorption of knowledge for application in the organisation expected to affect innovation and growth in SMEs”. Rabie, Cant and Wiid (2016) confirm that some SME employees are keen to learn to perform better at their jobs and to advance their careers within the enterprise and that this enthusiasm results in positive attitudes towards learning and development, however there is no irrefutable evidence from other South Africa studies that this is indeed the case. To date research done on the presence of an HRD strategy, learning culture and attitudes towards training and development in the manufacturing sector in South Africa, has revealed that such SMEs are profit focused and lack a robust learning and development framework. This in turn creates the impression that South African manufacturing SMEs are engage in training on ad-hoc basis.

### 3. Methodology

In view of the qualitative nature of this study and in order to understand the presence of a training and skills development strategy, learning culture and positive attitudes in SMEs, an exploratory, descriptive and contextual research design embedded a qualitative framework was used to carry out the research. The sample consisted of SME owners in the manufacturing sector in the Durban and East London urban regions of South Africa. An initial list of 25 possible participants was extracted from a database. From these 25 participants, 20 were purposively identified as likely to contribute rich information to the study, in accordance with the inclusion criteria. The inclusion criteria considered aspects such as age of the participants, year’s ownership of the SME, location, type of product manufactured, owner educational level and knowledge of training and skills development. A total of 15 participants eventually participated in the study. This number was deemed acceptable in terms of Creswell’s (2015) proposition that five to 25 interviews be conducted. The profile of the participants appears in Table 1.

Table 1: Profile of participants

Code name	Geographical area	Type of SME	Gender	Age	Population group	Years of ownership	Qualifications
DBNP1	Durban	Packaging	Male	40	Indian	12 years	Master’s degree in Commerce
DBNP2	Durban	Shoe	Male	45	Indian	20 years	Master’s degree in Commerce

<b>DBNP3</b>	Durban	Furniture	Male	47	White	10 years	Matric
<b>DBNP4</b>	Durban	Packaging	Female	50	Coloured	15 years	Diploma in Commerce
<b>DBNP5</b>	Durban	Shoes	Female	55	White	9 years	Matric
<b>DBNP6</b>	Durban	Furniture	Female	42	White	4 years	Diploma in Commerce
<b>DBNP7</b>	Durban	Shoes	Male	41	Indian	10 years	Matric
<b>ELP1</b>	East London	Furniture	Male	35	Black	10 years	Diploma in Entrepreneurship
<b>ELP2</b>	East London	Packaging	Female	45	Black	5 years	Matric
<b>ELP3</b>	East London	Shoes	Female	36	Indian	8 years	Diploma in Entrepreneurship
<b>ELP4</b>	East London	Packaging	Male	47	Coloured	10 years	Matric
<b>ELP5</b>	East London	Shoes	Male	56	Coloured	15 years	Matric
<b>ELP6</b>	East London	Furniture	Male	47	Black	20 years	Diploma in Marketing
<b>ELP7</b>	East London	Shoes	Female	33	White	5 years	Matric
<b>ELP8</b>	East London	Packaging	Female	39	Black	15 years	Matric

A semi-structured interview, by means of an interview guide containing a list of pre-determined questions, was used to collect the data for this study. Probing was used where the need arose. In addition, a document analysis was performed to examine the training and skills development documents (HRD strategy, training needs analysis and minutes of training committee meetings) kept by the SMEs. The researcher also maintained a Facebook page to unearth the perceptions of other SME on the training and skills development in their enterprises. The interviews, literature and Facebook page served as means to triangulate the data for this study. Following the semi-structured interviews, the data was transcribed verbatim and then analysed through content analysis. In this study, the use of content analysis enabled the researcher to condense the data, draw themes and sub-themes and to offer fresh insights into the training climate in South African manufacturing SMEs. Furthermore, care was also taken to ensure that this study was embarked on ethically in that consent was obtained from the SMEs to be included in study and the University of South Africa's (UNISA) Research Ethics Policy was adhered to. An ethical clearance certificate was obtained in this regard. Additionally, issues of anonymity and confidentiality were also considered.

#### **4. Research results**

It was established that the participants from Durban and East London, develop and implement training and skills development policies and strategies. Their passion and positive attitudes about learning and development became evident in the interviews. The following findings emerged.

##### **1. The existence of a training and skills development policy and an HRD strategy in SMEs**

Most participants agreed that a training and skills development policy and an HRD strategy would safeguard the availability of relevant skills and competencies for the sustainability of their SMEs. However, some participants were of the opposite view that the emphasis of the manufacturing industry on production negates the necessity of such a policy and strategy: *“... no paperised strategies or policies ... just a focus on production ...”* (DBNP5). Participants that indicated the existence of a training and skills development policy and an HRD strategy in their SMEs are: *“... our HRD strategy is integrated in our vision and mission statements. It’s aligned with our strategic intent of how we plan to grow our employees ... our training policy emphasises who will be trained and which skills to upgrade ...”* (DBNP1). The lack of knowledge to formulate a policy and strategy is clear in *“... we don’t have a strategy per se, but we are mindful that we need to have one in place to grow and develop our employees. So right now, not a clearly defined strategy on paper but in our minds ... we have considered putting a training and skills development policy in place, but we need additional knowledge on how to ...”* (DBNP7). Other SMEs had not developed a policy and strategy as in: *“... we are a manufacturing SME. It’s simple. We need people who can work on the shop floor ... employees who are production orientated ... we don’t need strategies and policies and the like ... strategies and policies don’t make a business, in fact too much of this causes confusion ... it’s a waste of time ...”* (ELP6). Another quotation in this regard is: *“... now seriously ... we are a SME, what’s the need for fancy strategies and policies ... employees have a job and they should thank their lucky stars for that ... their growth is not my problem ...”* (ELP3).

## **2. The presence of a learning culture in SMEs**

Although SME owners in both regions recognised that a conducive learning culture as a motivator was vital for successful performance and sustainability, some owners believed that the prominence of creating a learning culture shifted to profitability. Most participants corroborated the presence of a learning culture in their organisations *“... we pride ourselves in creating a learning culture ... we invest in training and skills development activities to steer our employees to better performance ...”* (ELP1) and *“... I do believe we have a good learning culture in place; there is a sense of understanding that learning equals growth and professional advancement ...”* (ELP4). A few participants contended that some employees were keen in learning while others were unresponsive as in: *“... some of our employees are enthusiastic ... other employees don’t seem to appreciate the value of learning ... older employees are less interested ... because of age and being close to retirement ... the youngsters are upbeat about it ...”* (DBNP4). Another supportive quote is: *“... it’s clear that some of our employees are excited about learning and this encourages such a culture ... but not all employees are as keen ... older employees are not as passionate as the younger ones ...”* (ELP5). Others reiterated the non-existence of a learning culture in their organisations since their conviction was that training and skills development are not indispensable for success or to correct weak financial performance. Verbatim quotes in the regard include *“... a learning culture is fairly non-existent because we are not active in training and development ... we are production orientated ... production equals profits ...”* (DBP6).

## **3. Attitudes towards training and skills development in SMEs**

The views of the owners varied from a positive inclination towards training and skills development as crucial to achieve job competence to regarding it as spending money unwisely since this does not promise Return on Investment (ROI) which makes fostering positive attitudes pointless. Majority of the participants approved training and development which would assist them to gain competencies and advance their careers. Supportive quotes in this regard are *“... we are encouraging, supportive and proactive ... employees see training and skills development as a means to unleash their potential ...”* (ELP5) and *“... I am passionate about training and skills development ... I had a good experience with it myself ... in my day my employer encouraged it ... my employees have positive attitudes ... they want to improve their skills base...there is a definite willingness ...”* (DBNP1). Less participants referred to the unimportance of training and skills development in the belief that attention to production would deliver profitability. Their views were presented as the following: *“... manufacturing does not require enthusiastic attitudes towards training and skills development ... it’s a highly practical industry, on-the-job environment ... it’s rough ... it requires hard-working production focused employees ...”* (ELP6) and *“... a learning culture is fairly non-existent because we are not active in training and development ... we are production orientated ... what’s the return on investment from this ... we have not seen it ...”* (DBNP6).

## **Discussion**

The interviews revealed that participants in Durban and East London developed and implemented a training and skills development policy and an HRD strategy aligned with the business strategy consequently they could attain an understanding about the purpose of training and development at the different levels of their SMEs.

The owners believed that an HRD policy and strategy served as a way to enhance the motivation of the employees and to demonstrate that the organisation was passionate and interested in their development and career path. The participants believed that a positive learning culture and instilling positive attitudes in their organisations, affected career advancement and career management subsequently the employees took on challenges and rose to higher levels to become supervisors in the future. They were mindful that training and skills development had a bearing on their job positions and standing in their organisations. Only one participant mentioned that they did not have the knowledge and capability to develop a training policy and HRD strategy. These findings are in contrast with the literature. Garavan, Neeliah, Auckloo and Ragaven (2016) found that SMEs in Mauritius did not formulate or implement a training and skills development policy or HRD strategy. They ascribed the lack of a formulated and implemented training and skills development policy or HRD strategy due to not applying foresightedness of the importance thereof and therefore a strategic plan and a proper needs analysis process were absent.

Several participants contended that having an effective training and skills development policy in place promoted a positive learning culture. They agreed on the need to uphold a culture that nurtured learning although there was no clarity how this culture infused the levels in their SMEs

Additionally, the owners concluded that a positive learning culture fostered promising attitudes and in the absence of pre-emptive owners, supervisors and employee attitudes their SMEs were liable to collapse. However, they did not offer any understanding into the mentoring role and responsibilities of management to build a learning culture. Other participants disputed the necessity for a positive learning culture and positive attitudes as not in harmony with the production emphasis and turnover pace in their industry. Further impetus for their reasoning in this regard was their experience of seeing employees taking up employment with their rivals after being trained although they could not provide verification of this opinion. These participants viewed training and skills development as inappropriate since ROI could not be warranted unless the ROI in terms of profits could be established upfront before investing in the training function. This would be impossible to achieve if they do not avail themselves to apply learning and development. They asserted that the government should develop the employees instead of SMEs which encountered serious challenges. The findings of the current study are in agreement with the literature. For instance, Bamberry, Sabri-Matanagh and Duncan (2015), Tam and Gray (2016) and Mamabolo, Kerrin and Kele (2017) revealed that various SMEs cultivated a positive learning culture and encouraged employee progression through training and skills development.

An analysis of the training and skills development policy and an HRD strategy, training committee reports and learning intervention feedback forms corroborated the presence of the relevant policy and strategy as well as a learning culture and favourable learning attitudes of the SMEs in Durban and East London. Nevertheless, the training and skills development policy and an HRD strategy reflected a poorly-designed framework and structure without alluding to the training process and a thorough description of the strategies to promote a learning culture. Furthermore, it was impossible to gauge employee attitudes before, during and after interventions in the learning feedback or evaluation forms which made it an unreliable benchmark. The documents were sketchy and not re-examined regularly, only two years before. Notwithstanding this, training and development fulfilled a strategic role in the SMEs of the two regions.

## **Conclusions**

Most SME owners in Durban and East London experienced a positive learning culture and displayed a positive training and skills development climate. The latter includes taking steps to develop and implement a training and skills development policy and an HRD strategy which were insufficiently aligned with the goals of the organisations due to a lack of applying appropriate criteria. The owners in both regions did not always portray the knowledge of and practice in formulating and implementing a training and skills development policy and an HRD strategy. Furthermore, younger employees in both urban regions were more enthusiastic about learning in comparison to their older peers. However, no comprehensive

strategies were available in either urban region to indicate how the SMEs encouraged learning and or how they fostered favourable attitudes towards training and skills development. SMEs owners in both Durban and East London did not regularly update their documents (training and skills development policy, HRD strategy, training committee reports and learning evaluation feedback forms).

In a nutshell this study offers the following recommendations for training and skills development in SMEs in general:

- HRD and training activities, a positive a learning culture and favourable attitudes to learning should continue to be prioritised;
- A comprehensive training and skills development policy and HRD strategy should be formulated and implemented. This policy and strategy should be linked with the overall goals of the SME as well as to the strategic plans and growth strategies. It should not only be a guiding tool but should also facilitate learning and build skills. SMEs should seek advice from academics and universities, as well as recognised skills bodies in this regard;
- SMEs should form Communities of Practice (CoPs) to network and support each other with resources and suggestions on how to approach training and skills development;
- Owners and supervisors ought to be actively involved in encouraging maintaining and monitoring a positive learning culture and favourable attitudes towards learning through selecting training interventions and holding regular meetings on skills development with their employees;
- Older employees should be incorporated into a mentorship role, developing younger employees to take on managerial and supervisory roles in the future and to acquire specific skills; and
- The training and skills development policy, HRD strategy, training committee reports and learning evaluation feedback forms, should be periodically revised and updated.

This study makes a contribution to the sub-field of HRD by adding to the limited body of knowledge that exists on the subject. In addition, knowledge is provided to SME owners on the importance of implementing an HRD strategy and on inculcating a positive learning culture and attitudes. This study is also pertinent to skills development bodies, who have a key role to play in ensuring the sustainability of SMEs as pillars of a nation's economy.

However, despite the significance of the study, certain limitations, accompanied the study. The study was carried out using qualitative methodology. In view of this, only a snapshot of the role and contribution in training and skills development in SMEs was provided. The study cannot be generalised to the broader population. There is much debate that surrounds the generalisability of qualitative studies with small sample sizes. These studies are deemed to be subjective in nature and therefore not applicable to the wider population. The study made use of a purposive sampling method, with a small sample size, which may not be characteristic of SMEs. Only SMEs in the manufacturing sector, in Durban and East London formed part of the sample of this study. Other types of businesses, sectors and urban regions were not considered. Only SME owners formed part of the sample of this study. The perceptions and experiences of employees were not taken into account. It is recommended that future studies engage in a quantitative or mixed methods research study on the topic, to enable a broader analysis of training and skills development in SMEs. Furthermore, other sampling methods and a larger sample size should be used to allow similarities and differences to be drawn which could be beneficial for all learning and development stakeholders. Other types of businesses, sectors and urban regions should be included to provide a comprehensive understanding of the topic. Finally, the perceptions and experiences of employees should also be incorporated to enhance the credibility of the study.

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## A CRITICAL ANALYSIS OF THE COMPLIANCE TO THE FINANCIAL MANAGEMENT REQUIREMENTS BY SOUTH AFRICAN NATIONAL, PROVINCIAL DEPARTMENTS AND STATE OWNED ENTITIES

**J.J. Swart**

North-West University

E-mail: andre.swart@nwu.ac.za

Orcid ID: 0000-0002-8416-834X

**M.J. Swanepoel**

North-West University

E-mail: 10544100@nwu.ac.za

Orcid ID: 0000-0002-7891-6938

### ~Abstract~

*South Africa is currently experiencing high levels of corruption and state capture in the public sector. The public sector is governed by the Public Finance Management Act (PFMA), however; the Auditor General South Africa (AGSA) reports indicate that only a third of the national departments received clean audits during the 2017/18 fiscal year. The main objective of financial management is to maximise value, create sustainability and focus on their core business. The PFMA deals with public officials' responsibilities and duties relevant to the compliance with the financial requirements. Prior research focuses on numerous topics but not on the compliance to the PFMA. Limited research is available on any compliance by South African Government with the requirements of the PFMA. The purpose of this study is to critically analyse compliance by the South African national departments with the focus on financial management requirements set out by the PFMA. A qualitative research approach performing a document analysis of the AGSA reports for the total of 768 South African national-, provincial departments and public entities were used. Comparison between the AGSA reports on national departments financial management and PFMA requirements were performed. The results of the analysis revealed that a significant number of the South African national-, provincial departments and public entities did not receive clean audit reports and also did not comply with the financial management requirements set out by the PFMA. As a result of inadequate compliance to the financial management requirements by the South African national-, provincial departments and public entities, billions of rands are not distributed to the intended incumbents. This non-compliance to the financial management requirements by national-, provincial departments and public entities influences South Africa's development potential negatively. This study could direct research performed by public finance scholars to explore the public sector financial management. Furthermore, the study offers suggestions for future research on the impact of non-compliance to the financial management requirements in the public sector.*

**Keywords:** Accountability, AGSA, compliance, financial management, non-compliance, PFMA

**JEL Classification:** H11

### 1. INTRODUCTION

National Treasury in South Africa allocates the budget to national, provincial and local authorities through the promulgation of the Division of Revenue Bill every fiscal year (DORA 2018 Schedule 1) and the total amounts allocated are R1 512 billion (bn), R1 633 bn and R1 757 bn for 2018/19, 2019/20 and 2020/21 fiscal year, respectively. The allocation represents 65% for national departments, 31% for provincial departments and four percent (4%) to local governments of the respective total annual amounts. The largest portion of the budget is allocated to the national departments that are also responsible for the funding of State Owned Entities (SOE) as defined in the Public Management Finance Act (PFMA, 2009: Section (48) (1)(a) to (d)). Significant amounts are spent that need to be collected from taxpayers.

The South African Consulate General New York City (SACGNYC) (2019) outlines that there are currently 41 national departments. Auditor General South Africa (AGSA, 2018) highlights the fact that only 14 of the 41 national departments representing 34% of the national departments received clean audit opinions for the 2017/2018 fiscal year. The report further demonstrates that unauthorised expenditure amounted to

R51 bn compared to R51.3 bn for the 2017/2018 and 2016/2017 fiscal years. The AGSA (2017) and AGSA (2018) reports indicate that there are 41 national and 128 provincial departments and 599 public entities. National Treasury (2019) indicates that the number of entities per PFMA schedules 1, 2, 3A, 3B, 3C and 3D are as follows [1] Constitutional institutions (9), [2] Major Public Entities (20) and [3] Other Public Entities (249) excluding subsidiaries per Schedule 1, 2 and 3 respectively amounts to 278 entities in total. The number of subsidiaries are not listed on the National Treasury site and are thus not comparable to the AGSA (2018) data. This number of departments and entities place a major responsibility and pressure on the AGSA to complete the audits effectively and efficiently.

Mitchell and Mohr (2019) argue that the Public Administration is under pressure to deliver more and better services with fewer funds and assistance. They further argue that the cost is a major concern for government to achieve accountability. Mitchell and Mohr (2019) explain that accountability is an individual's responsibility to report on their actions and behavior to a body or in this instance upwards to the government and also the citizens and taxpayers of a country. The same principle is applied in the PFMA (1999) requirements for accounting officers to manage the money on the taxpayers' behalf. Mitchell and Mohr (2019) recommend that the departments and public entities should have cost-sharing centres that they all have control over to reduce the costs of double administration.

National Treasury (2018) indicates that most government departments financial year-end is 31 March of each year and the respective ministers through their accounting officers are responsible to submit the annual financial statements and an annual budget to National Treasury. National treasury prepares an overall budget which is then allocated to the various national departments and provincial and local authorities. PFMA (1999) Section 1 differentiate between the national departments and provincial departments the national departments as listed by Schedule 1 and 2 to the Public Service Act, 1994 respectively. The PFMA Section 3 (1) further list the entities that are governed by the act as "(a) departments; (b) public entities listed in Schedule 2 or 3; (c) constitutional institutions; and (d) the provincial legislatures". Public entities are further elaborated upon in Section 48 (1) to include (a) national government business enterprises; (b) provincial government business enterprises; (c) national public entities; and (d) provincial public entities.

As listed in the previous paragraph the PFMA (1999) is applicable to at least 768 different entities within the government sector. AGSA (2019) reports that the occurrence of irregular, unauthorised, fruitless and wasteful expenditure since 2016 are increasing in all of the government levels. The result was that a Commission of Enquiry into state capture was established in 2018 to investigate the possibility of fraud and financial management that were reported on South African National media. South Africa is currently experiencing high levels of corruption and state capture in the public sector. Research on this phenomenon is rife, however, limited research is available on the compliance with the PFMA (1999).

Swart, Swanepoel and Surujal's (2014) research was the only recent publication that analysed the financial management of one South African national department. The 8<sup>th</sup> International Conference on Social Sciences ICSS (2017) is one of the conference publications that included research on government expenditure, financial and risk management on provincial departments and municipalities. The research by authors in ICSS (2017) proceedings such as Ebenezer and Oluwabunmi, Jacobs and Moolman, Nel, Subban and Zondi and Viljoen and Cockeran did not include a critical analysis and impact of non-compliance with the PFMA.

Except for the proceedings discussed above, literature is limited on investigating or reporting on how the misconduct and accountability are dealt with. There is a gap in literature that should be investigated and reported on further.

The purpose of this study is to critically analyse compliance by the South African national-, provincial departments and public entities with the focus on financial management requirements set out by the PFMA. The critical analysis will be highlighting the investigations into the hearings, length of these hearings to indicate the period as well as major issues and entities being investigated. The following paragraphs discusses the investigation and summary to highlight the issues under investigation.

### **1.1. State entities**

The Commission of Inquiry into state capture (2019) indicates on their website (called the Judicial Commission of Inquiry into allegations of State Capture, Corruption and Fraud in the Public Sector including Organs of State) that hearings started on 21 August 2018. The hearings up to 20 May 2019 was in their 96<sup>th</sup> day of hearings. The full name of the website indicates that there are allegations of irregularities in certain of the State Owned Entities. The AGSA (2019) discusses the Audit Act Amendment and argues that the enhancements to the act are there to “foster clean governance in the public sector”. The researchers are of the opinion that accountability will be enhanced by this amendment and could potentially lead to the curbing of non-compliance by the South African national-, provincial departments and public entities.

AGSA (2019) report that the growth in non-compliance with budgetary and expenditure guidelines contrary to the requirements of the PFMA (1999) indicates that since 2016 the irregular, unauthorised, fruitless and wasteful expenditure and supply chain management manipulation are risk areas that should be addressed. The origin of this research is based on media reports implicating various national, provincial and public entities. All of these entities are governed by the PFMA (1999). The objective of this study is to critically analyse the effectiveness and compliance of the South African national-, provincial departments and public entities to the PFMA (1999) requirements and National Treasury 2014 to 2018 annual budgets. The following serve as examples of the hearings and the relevant cases specifically referred to the entities as per the website on state capture hearings. The information summarised in Table 1 below illustrates the current cases being investigated and the duration of the hearing so far.

Table 1 exemplifies that there are numerous instances of financial misconduct and non-compliance of the PFMA (1999) being committed by various state entities and these instances have been reported in the past by the office of the AGSA (2018) from 2014 to 2017 and the instances are still continuing.

**Table 1: Number of days state capture hearings continued per case**

<b>Entity under investigation</b>	<b>Day from</b>	<b>Day to</b>	<b>Number of days</b>
ESCOM – Guptas	3	4	2
Government Communication Information System(GCIS)	9	9	1
South African Airways (SAA)	33		1
Bosasa - Correctional services	34	44	11
ESCOM – Glencore	52	66	15
Denel	69	70	2
Bosasa - Correctional services	73	78	6
Independent Police Investigation Directorate	81	84	5
KwaZulu-Natal Head of Hawks	85	88	4
Transnet	89	96	8

Source: Commission of Enquiry into state capture website (2019)

The AGSA is required by the Public Audit Act (PAA) (2004) Section 3(a) to act as the superior auditing institution of all government departments but did not have enough power until the promulgation of the Audit

Amendments Act (2018). This act which will only be enforced for the 2018/2019 fiscal years and would not impact on any historical financial misconduct.

### **1.2. Auditor responsibility**

PAA (2004) Section 4(1)(a) imposes the duties for the audit, reporting on financial statements and financial management of the national and provincial state departments to the office of the AGSA. Section (10) of the PAA also imposes the duty on the AGSA to submit annual accountability reports to national assembly on their duties performed. Section 14(1) states that the auditee is responsible for the submission of the Annual financial statements to the AGSA in accordance with the PFMA (1999).

The audit reports should also include compliance with laws and regulations PAA (2004) Section (20) (2). Regulations such as the PFMA and National Treasury guidelines (2019) require that the various South African national-, provincial departments and public entities must comply with the relevant requirements. AGSA (2004) also requires the AGSA to report on performance management as part of their duties. AGSA (2018) report further indicates poor compliance of performance management and financial reporting. The accounting officers and authorities are responsible for compliance with the financial management requirements (PFMA, 2009).

### **1.3. Accounting officers and authorities**

The accounting officers are responsible for the management, prevention of illegal expenditure and reporting of their management of the budget of their entities in compliance with various requirements of the PFMA (1999). It is the AGSA's responsibility to perform an independent audit on each and every entity and as part of their procedures needs to confirm compliance with the compliance to the budget and expenditure and other legal responsibilities placed on the accounting officer or authorities of the relevant entity.

The PFMA (1999) Section 1 and 51 stipulate that the purpose and the general responsibilities of accounting officers and accounting authorities PFMA (1999) Section 51 (b)(ii) is to prevent "irregular expenditure, fruitless and wasteful expenditure, losses resulting from criminal conduct, and expenditure not complying with the operational policies of the public entity disciplinary action (1) contravenes (ii) commits an act (iii) makes or permits an irregular expenditure or a fruitless and wasteful expenditure". These non-compliances are highlighted in the AGSA (2018) and AGSA (2017) consolidated report which raise concern about the management of the South African government's finances and compliance with the relevant legislation.

### **1.4. Aim of the study**

This study aims to explore the compliance of the PFMA (1999) and the impact all non-compliance may have on the economy based on financial results published for South Africa by the AGSA. The actual figures for the fiscal periods 2013/2014 to 2017/2018 compared to the actions taken for non-compliance against the responsible officials whether it be ministers or accounting officers of the respective public entity responsible for service delivery indicate major deficiencies as indicated by the AGSA reports.

The study concentrates on the compliance of the PFMA. AGSA's consolidated PFMA reports are used as a basis and the information is reliable as it served before parliament and the oversight board and were thoroughly scrutinised.

## **2. METHODOLOGY**

A qualitative research approach was used to investigate the compliance to the financial management requirements by South African national departments. Compliance is currently a contemporary issue within the South African national departments. In order to critically analyse this contemporary issue qualitative research is appropriate. Gray (2009) argues that qualitative research is an investigative method that can be used to collect, analyse and interpret data about a contemporary issue.

McNulty, Zattoni, and Douglas (2013) conclude that qualitative research provides a basis for reconsidering or challenging the status quo about the dominant assumptions and meanings of contemporary issues. Flick (2011) explains that in order to study contemporary issues in their natural surroundings accurate information must be attained. Greener (2011) and Kumar (2014) propose document analysis as an

appropriate data collection method. Based on the conclusions of Greener (2011) and Kumar (2014) the researchers perform a document analysis. Document analysis necessitates a methodical process, reviewing or appraising documents, which contribute to the aim of the study (Bowen, 2009).

By critically analysing the the compliance to the financial management requirements by South African national departments, the researchers require authentic, credible, accurate and reprehensive documents. The documents that were analysed are the PFMA (1999), Audit Amendments Act (2018), PAA (2004) and AGSA reports.

The PFMA (1999), Audit Amendments Act (2018), and PAA (2004) are policy documents that provide the legislation relevant to the national department and public entities in South Africa. Berg (2001) demonstrates that policy documents help researchers in providing them structural meaning, interpretation and analysis of various policies. Béland and Howlett (2016) argue that methods analysing policies and comparing its compliance within government departments, should be done where a crisis occurs. Currently the financial management of South African public and private entities are under the spotlight. Some of the investigated crises currently in South Africa are; ESCOM, SAA, Denel and Bosasa to name a few.

The AGSA reports provide authentic and reliable information of the South African national departments and were compiled by experts. Swart, Swanepoel and Surujal (2014) successfully used information provided by various documents provided by different government departments. The research analysed the data as published in the AGSA (2017) and AGSA (2018) consolidated PFMA reports on the fiscal years ended 2013/2014 to 2017/2018. This was done in order to determine how the AGSA reports comply with the policies and legislation relevant to financial management requirements of South African national departments which is also referred to as a multiple stream approach in policy analysis. This research can also be classified as such as the policies and acts are used and compared to an analysis done by the AGSA. The methodology will include the analysis of policies, and reports with secondary data and the intersection with compliance requirements based on published information.

### **3. RESULTS/DISCUSSION**

AGSA (2017) and AGSA (2018) highlight the following significant deficiencies relevant to the PFMA (1999), which are discussed after Table 2.

AGSA (2017) and AGSA (2018) listed the following deficiencies that were used to compile Table 2 [1] clean audit opinions, [2] compliance findings', [3] irregular, fruitless and wasteful expenditure, [4] unauthorised expenditure, [5] supply chain management and misconduct relevant to [5.1] unfair procurement' [5.2] employees and officers awarded contracts and [5.3] missing information for submission for audit purposes and [6] consequences of financial misconduct by accounting officers and employees. AGSA (2018) further reports that the steps required on misconduct as stipulated in the PFMA (1999) Section 81 are not enforced as 14% (49 auditees) and 10% (35 auditees) did not implement disciplinary action against employees that made or did not prevent irregular expenditure and fruitless and wasteful expenditure respectively. This indicates that compliance to Section 81 is not adhered to and officials are not held accountable.

#### **Table 2: Reporting frequencies and percentages of non-compliance with PFMA by the AGSA for national, provincial and public entities**

<b>Construct of the PFMA</b>	<b>2017/2018</b>	<b>2016/2017</b>	<b>2015/2016</b>	<b>2014/2015</b>	<b>2013/2014</b>
Clean audit opinions	23%	30%	29%	27%	24%
Other than clean opinions	77%	70%	71%	73%	76%
<b>Non-compliance</b>					
Compliance findings including the following most common areas	72%	64%	67%	71%	75%
Quality of financial statements	54%	45%		45%	
	213	176		174	
Supply chain management	43%	36%		35%	
	169	139		127	
Status of supply management with findings		64%	64%	62%	58%
		282	240	223	224
Prevention of unauthorised, irregular, and fruitless and wasteful expenditure	42%	38%		36%	
	167	150		140	
Irregular, fruitless and wasteful expenditure	R45.6 bn +R5.4bn for audits done later	R45.6bn +R6.4bn for audits done later	R29.4bn	R23.1bn	R29.9bn
Number of auditees		67%	72%	70%	76%
Accounting officers' and authorities' lack of assurance services		71%	60%	63%	65%
		241	220	220	223

Source: AGSA (2017) and AGSA (2018)

Table 2 indicates the frequency, percentage of compliance or non-compliance and monetary values where possible as analysed and summarised from the AGSA consolidated general reports. Table 2 summarises the specific constructs highlighted in the previous discussion.

The conclusion that can be drawn from Table 2 is that there are numerous instances of non-compliance with significant monetary implications that places the economy under severe pressure. The table also illustrates that the supply chain management of the entities included in the reporting for the AGSA for the relevant years is also an area of concern. Chang, Chen and Lu (2019) investigated the literature on new technologies and developments in supply chain management.

With the numerous transactions being processed in the government departments, if new technologies and developments are implemented, such systems can secure, track social responsibility and financing supply chain transactions. Suspicious transactions may be identified earlier rather than being identified during the audit, which might be between one to fifteen months after the transaction occurred.



**Table 3: Analysis of AGSA reports and PFMA requirements**

PFMA Section	Topic	2017/2018	2016/2017	2015/2016	2014/2015	2013/2014
1	“fruitless and wasteful expenditure”	<input checked="" type="checkbox"/>	<input checked="" type="checkbox"/>	<input checked="" type="checkbox"/>	<input checked="" type="checkbox"/>	<input checked="" type="checkbox"/>
	“irregular expenditure”	<input checked="" type="checkbox"/>	<input checked="" type="checkbox"/>	<input checked="" type="checkbox"/>	<input checked="" type="checkbox"/>	<input checked="" type="checkbox"/>
	“unauthorised expenditure”	<input checked="" type="checkbox"/>	<input checked="" type="checkbox"/>	<input checked="" type="checkbox"/>	<input checked="" type="checkbox"/>	<input checked="" type="checkbox"/>
8	Annual consolidated financial statements	<input checked="" type="checkbox"/>	<input checked="" type="checkbox"/>	<input type="checkbox"/>	<input checked="" type="checkbox"/>	<input type="checkbox"/>
34	Unauthorised expenditure	<input checked="" type="checkbox"/>	<input checked="" type="checkbox"/>	<input checked="" type="checkbox"/>	<input checked="" type="checkbox"/>	<input checked="" type="checkbox"/>
36	Accounting officers	<input checked="" type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
38	General responsibilities of accounting officers	<input checked="" type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
39	Accounting officers’ responsibilities relating to budgetary control	<input checked="" type="checkbox"/>	<input checked="" type="checkbox"/>	<input checked="" type="checkbox"/>	<input checked="" type="checkbox"/>	<input checked="" type="checkbox"/>
40	Accounting officers’ reporting responsibilities	<input checked="" type="checkbox"/>	<input checked="" type="checkbox"/>	<input checked="" type="checkbox"/>	<input checked="" type="checkbox"/>	<input checked="" type="checkbox"/>
50	Fiduciary duties of accounting authorities	<input checked="" type="checkbox"/>	<input checked="" type="checkbox"/>	<input checked="" type="checkbox"/>	<input checked="" type="checkbox"/>	<input checked="" type="checkbox"/>
81	Financial misconduct by officials in departments and constitutional institutions	<input checked="" type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
	Total occurrences per year	11/11	8/11	7/11	8/11	7/11

Source: AGSA (2017), AGSA (2018), PFMA (1999)

The above-mentioned constructs are important for understanding the requirements of the PFMA and the AGSA’s reports on financial deficiencies and non-compliance issues reported on and the resulting effect of these deficiencies on the South African economy. The following is a summary and abridged quote of the relevant sections of the PFMA (1999).

The relevant sections of the PFMA (1999) are summarised in Table 3 and a comparison between the regulations and the reporting requirements are summarised. The AGSA reports included the secondary data for the years ended 2013/2014 to 2017/2018 and were analysed and summarised from the specific reports.

The reporting between the years were differently constructed and where applicable the following legends in Table 3 were used:  Non-compliance reported the same, and  Non-compliance differently aggregated in the relevant AGSA reports.

Table 3 illustrates that the AGSA reports only included the Non-compliance of PFMA (1999) Sections 36, 38 and 81 regarding the accounting officers, their general responsibilities and misconduct since 2017/2018 year but thus indicating non-compliance with the act as the reporting on “fruitless and wasteful expenditure”, “irregular expenditure” and “unauthorised expenditure” are reported on for the past five years and are linked to the accounting officers’ duties and misconduct as specifically addressed in Section 81 of the Act.

#### 4. CONCLUSION/RECOMMENDATIONS

Table 2 and 3 indicate that billions of rands collected from taxpayers are not distributed to intended recipients and are distributed to unauthorised recipients. This result in poor service delivery and the destruction of infrastructure by dissatisfied communities, which does not receive the benefits intended for them. Community protest actions cost taxpayers additional money to repair it, which could have been better served if the budgets and performance targets were met.

The requirements of the PFMA (1999) is not adhered to and this is supported by the AGSA (2018), AGSA (2017) and prior year reports. The PFMA (1999) requires accountability from accounting officers and stipulate steps for dealing with misconduct. Future research is required into the root cause of the non-compliance of the PFMA and the public should also educate them on the spending of their taxation money paid over. The investigation into Public Management Networks should be investigated especially in these economic circumstances. The AGSA Consolidated PFMA reports should also be investigated and analysed as secondary financial management data are available.

This study contributes to making the public and taxpayers aware of the non-compliance of the national, provincial and public entities to the PFMA (1999) requirements. Further, the study creates awareness for the ministers and accountable officials to enhance their financial management exposure and achievement. The study highlights the deficiencies and challenges for proper public finance management to improve South Africa’s economic development.

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## PAROLE SYSTEM OF SOUTH AFRICA: PERCEPTIONS OF THE GENERAL PUBLIC

**Adewale A. Olutola**

Tshwane University of Technology

E-mail: olutolaaa@tut.ac.za

Orcid ID: 0000-0001-5844-8797

**Puleng Motlalekgosi**

Tshwane University of Technology

E-mail: motlalekgosid@tut.ac.za

Orcid ID: 0000-0003-1290-9732

### ~Abstract~

*This article explores the belief of the community on the parole system of South Africa. Parole is the placement of offenders in a programme, following a rigorous decision-making process that allows the offender to finish part of their sentence, as imposed by the court of law, within the community, to facilitate a successful restorative justice process, thereby ensuring successful reintegration. Statistical analysis was done, using the 2014/2015 South African Victims of Crime Survey. Sample size was 24,701 HHs (n=24,024 individuals). By means of interviewer-administered questionnaire, information obtained included socio-demographic data, experience of household crime, perception about the prison system. Data analysis included descriptive statistics. Of the households surveyed, 56.7% (n=12,964) agreed that prisoners get parole too easily. A higher population of those who agreed that prisons were just colleges for crooks agreed that prisoners get parole too easily than those who did not agree (73.3% vs. 37.1%;  $p<0.001$ ). The percentage of those who agreed that prisoners get parole too easily was lower among those willing to welcome a former prisoner back into their community than those who were not willing to welcome them (51.6% vs. 65.5%;  $p<0.001$ ).*

*The findings show that most South Africans believe that prisoners get parole easily.*

**Key Words:** Parole, South Africa, prisoners, incarceration, prison.

**JEL Classification:** H11

### 1. INTRODUCTION

The purpose of the correctional system in many countries across the world is, *inter alia*, the rehabilitation and successful reintegration of prisoners into the society from which they originate. This usually happens after the parole process has unfolded. This process would ordinarily take pertinent parole law into consideration and sometimes after extensive litigation. Ultimately, parole is therefore an integral and important part of the penal system and must be undertaken with much caution and diligence, with consideration of the views of the general public. This paper explores the observations of the general public regarding the parole system of South Africa. As a point of departure, it presents the theoretical background on parole practice in South Africa, followed by the parole legislative framework, and ends with a presentation of the methodology and results representing the beliefs of the community regarding the parole system of South Africa.

### 2. REVIEW OF LITERATURE ON PAROLE PRACTICE

Many scholars have over the years attached a meaning to the concept of parole without any substantial change. Stated differently, the definition of this concept remains the same with some minimal expansions. For instance, Gibbons and Rosecrance (2005:47) define parole as the conditional release of inmates from prison after they have served a portion of their imposed sentence. Taxman (2011:307) defines it as the process of releasing prisoners from prison and jail and is also called supervised release. Bayens and Smykla (2013:219) refer to it as a period of conditional supervised release into the community following a prison term and may be either discretionary or mandatory.

It is important to note from the foregoing that reference is made to "after serving part of an imposed sentence" in the definitions. This draws a clear distinction between parole and correctional supervision,

with the latter meaning a sentencing option exercised by the court and served within the community. In South Africa, these two concepts are alternatives to imprisonment and classified as Community Corrections (Department of Correctional Services [DCS], 2018).

We submit that the definition of this concept should include the role played by restorative justice programmes during the pre- and post-release phases. Therefore, we define parole as the placement of offenders in a programme, following a rigorous decision-making process that allows for the offender to finish part of their sentence, as imposed by the court of law, within the community, to facilitate a successful restorative justice process, thereby ensuring successful reintegration.

A closer examination of the foregoing definitions of the concept of parole is a representation of the development in respect of this concept over time. Clearly, parole has historical significance, but this will not be discussed in this paper. It is, however, important to mention that, in South Africa, this concept was first introduced in the early 1900s with the promulgation of the Prisons and Reformatories Act, No. 13 of 1911. It was during this period that the penal system allowed for the remission of a part of a prison sentence subject to good behaviour on the part of the inmates and the system of probation that allowed for early release of inmates, either directly into the community or through an interim period in a work colony or similar institution (DCS, 2005).

South Africa's parole system has since been continuously revised, until recently when the DCS was in the process of finalising a position document for redrafting the country's parole system. Reasons provided by the then acting Minister of Correctional Services, Honourable Faith Muthambi, included that the system was outdated (De Villiers, 2017). A continuous revision of the parole system is important and highly welcomed, particularly if it serves the interest of society at large. The revision of the parole system would not make sense if the reasons to do so are far from serving the purpose or functions of the parole system.

It is therefore important that such revision is informed by the organisational environment, including changes in the environment within which the correctional system functions, as opposed to political influence only. Factually, parole is implemented in many countries around the world for various reasons. For instance, in the United States of America, it is implemented for reasons including support from key criminal justice actors; release procedures, which make parole more accessible; and release practices mandate its use and necessitate the mitigation of sentence severity, particularly for unpopular offenses (Gibbons & Rosecrance, 2005:70).

The implementation of parole is necessary because it is a tool to manage correctional institutions; it has the potential to ease offenders through a difficult transition and can assist in establishing ties to a law-abiding lifestyle to prevent recidivism, re-arrest, and re-incarceration (Bayens & Smykla, 2013:247). In the South African context, the following reasons for the implementation of parole are cited:

- It is an alternative to imprisonment (Bruyns & Cilliers, 2009:88).
- It is rewarding for offenders who comply with their sentence plan and participate in rehabilitation programmes.
- It combats recidivism by ensuring the gradual reintegration of offenders into society (Cilliers, 2006: ii).

The functions or reasons to implement a parole system in any country could be as fancy as it reads but that does not mean a termination or an end to an imposed sentence, but rather the continuation of a sentence within a community setup. The correctional system would still have the responsibility of monitoring parolees until the term of parole ends. What is being monitored is compliance with the conditions of parole. In South Africa, the following conditions are normally set for offenders who are released on parole, depending on the type of parole an offender is placed on:

- Staying under the supervision and control of the DCS until the expiration of the sentence of imprisonment.
- Restriction to changing place of residence/employer without prior approval by the head of Community Corrections.
- That the offender may not commit any offence while under parole supervision.

- Reporting to the Community Corrections Office at set intervals and engaging in certain programmes if deemed necessary.
- Home confinement and any other conditions that the commissioner or his or her delegate may deem fit (DCS, 2018).

The foregoing parole conditions are basically an extract of provision section 52 of the Correctional Services Act, No. 111 of 1998 as amended. These conditions may be imposed concurrently and/or selectively. Should an offender seriously or persistently contravene one or more conditions as predetermined, the case may be referred to the court that imposed the sentence for consideration of an alternative sentence. This is applicable where a sentence of correctional supervision was directly imposed by a court. Probationers whose sentence of imprisonment has been converted into correctional supervision by the commissioner or his or her delegate may be detained in prison in accordance with their original sentence of imprisonment to serve the remainder of the sentence of imprisonment. Regarding parolees, the commissioner or his or her delegate may order that such a person's placement on parole be withdrawn partially or completely and that the parolee be detained to serve the remainder of the sentence of imprisonment (DCS, 2018). It therefore follows that the practice of parole must follow a certain procedure and must be in accordance with the provisions of the relevant legislation of the Republic.

## 2.1. The parole legislative framework of South Africa

Parole is naturally an administrative function of correctional authorities and must be conducted according to the provisions of the law. Currently, the South African correctional system is strategically guided by the Correctional Services Act of 1998 as amended and pertinent policies. In terms of section 51(1)(d) of the Correctional Services Act, persons subject to community corrections are those placed on parole in terms of section 73 of the Act (DCS, 1998:48).

The practice of parole is often criticised due to the public belief that it is a lenient approach to incarceration and lets dangerous criminals out of prison early (Seiter, 2011:196). This phenomenon proves to be true in South Africa, particularly in respect of parole consideration for those offenders who are either rich or have a proximate relationship with political leadership of the country. Ideally, parole decisions must be guided by section 73 of the Correctional Services Act, as alluded to earlier.

Section 73(1)(3)(4) of this Act raises three interesting aspects regarding the length of a sentence that offenders must serve. Firstly, a sentenced offender remains in a correctional centre for the full period of sentence; and an offender sentenced to life incarceration remains in a correctional centre for the rest of his or her life. Secondly, a sentenced prisoner must be released from prison and from any form of community corrections imposed in lieu of part of a sentence of imprisonment when the term of imprisonment imposed has expired. Lastly, in accordance with the provisions of this Act, a prisoner may be placed under correctional supervision, or on day parole, or on parole before the expiration of his or her term of imprisonment (DCS, 1998:60).

A simple interpretation of the first and second aspects would mean that the total period of an imposed sentence by the courts must be served by an offender in a correctional centre, including life imprisonment. An important sentiment in respect of this provision is that it does not mention any period before the expiry of an imposed sentence. This would then appear to mean that correctional authorities must ensure that a full period of an imposed sentence must be completed before release from prison.

In support of the foregoing, the third aspect appears to give correctional authorities discretionary powers to consider offenders for parole before the expiry of their imposed sentence. This discretion must be exercised in line with section 49 of the Correctional Services Amendment Act, No. 25 of 2008, which makes provision for an "incarceration framework", which states that the National Council must, in consultation with the National Commissioner, determine minimum periods for which offenders must be incarcerated before being considered for placement in community corrections.

It must be noted that the foregoing provisions are not an obligation on the part of the authorities as it succinctly states that an offender *may* be placed under correctional supervision, on day parole, or on parole before the expiration of his or her sentence. On the contrary, section 5(a)(i) appears to impose

some form of obligation on the part of the authorities that offenders must be placed under correctional supervision, on day parole, or on parole.

The foregoing provisions of the Correctional Services Act and the Correctional Services Amendment Act raise interesting questions as to whether offenders have a right to parole or whether parole is a privilege. There have been debates in the academic circles with some scholars arguing that parole is a right and not a privilege.

Moses' (2012:155) argument that parole is a right is based on the provisions of section 33 of the Constitution of the Republic of South Africa of 1996 and section 6 of the Promotion of Administrative Justice Act, No. 3 of 2000. It is premised on the submission that the Correctional Services Act of 1998 as amended read with the Constitution and the Promotion of Administrative Justice Act creates both a substantive and procedural legitimate expectation in the context of parole to be assessed and considered for release on parole fairly, reasonably, and lawfully. This legitimate expectation is also based on a long-standing practice of early release of offenders from the correctional system (Moses, 2012:3), as alluded to in the opening remarks of this section.

This argument stands to reason, as also attested by the court in the case of *Combrink v Minister of Correctional Services* (2001) in which the court concluded that the applicants' right to fair administration procedurally fair and reasonable administration, was violated. This is in relation to section 33 of the Constitution. The same court was quick to point out, however, that a prisoner has no right to be paroled and that parole is a privilege (*Combrink v Minister of Correctional Services*, 2001:342).

Mujuzi's (2011:221) interpretation of the court assertion is that it did not mean that prisoners were entitled to be placed on parole and that placing a prisoner on parole is an administrative decision that lies within the powers and discretion of the parole board. Curlewis (2016:36) also acknowledges the foregoing contestation that offenders have no right to be paroled but can be considered on the condition that there is evidence that the offender has been rehabilitated and is unlikely to be a danger to society.

The guiding statutory tools and court precedents to the practice of parole in South Africa would appear to be vexing due to the foregoing submissions. This creates a situation that makes it easy for the public to criticise this practice, particularly in the cases of those who have political backgrounds. A case in point are the two prominent cases of the release of Mr Jackie Selebi and Mr Shabir Shaik on parole. Both cases were handled in terms of section 79 of the Correctional Matters Amendment Act, No. 5 of 2011, subsequent to the substitution of section 79 of the Correctional Services Act of 1998. This substitution has to a greater extent improved the latter Act in respect of medical parole.

What is immediately distinctive in the amended section 79 are three conditions that an offender must meet to be considered for medical parole. Firstly, an offender must be suffering from a terminal disease or condition, or if such offender is rendered physically incapacitated as a result of injury, disease, or illness so as to severely limit daily activity or inmate self-care; secondly, if the risk of re-offending is low; and lastly, if there are appropriate arrangements for the inmate's supervision, care, and treatment within the community to which the inmate is to be released. Another important improvement is that it makes provision for the establishment of the Medical Parole Advisory Board to make available an independent medical report to the National Commissioner, Correctional Supervision and Parole Board, and/or the Minister (DCS, 2011:22).

Distinctive improvements to the parole legislative framework are acknowledged, but questions ought to be asked regarding whether these improvements are yielding the desired outcomes or objectives. A yardstick to be used to determine that could be a comparative analysis of the sentenced offender population and the parole rate.

## **2.2. Sentenced offender population vs parole rate**

Although there are no official statistics on successful parole placement, Lukas Muntingh, the project co-ordinator of the Civil Society Prison Reform Initiative at the University of the Western Cape, said during a radio interview that within an average of 1000 and 1200 applicants, roughly 10% of applicants are successfully granted parole (Qukula, 2015). The South African DCS has a strategic performance plan that is measured by five programmes, namely Administration, Incarceration, Rehabilitation, Care, and Social

Reintegration. Parole Administration, as per the focus of this study, is a sub-programme of the Social Reintegration programme.

The purpose of the Parole Administration sub-programme is to provide services related to the consideration of placement of offenders into community corrections by Correctional Supervision and Parole Boards and Heads of Correctional Centres (DCS, 2015:57). It must be noted that the purpose of this sub-programme is not to place, but to consider for placement. Table 1 below is a demonstration of the sentenced offender population *vis-à-vis* the rate of parole consideration between the 2014/2015 and 2015/2016 financial years.

**Table 1: Sentenced offender population vs parole considerations**

Financial Year	Sentenced offender population	Parole applications	Parole considerations	%
2014/2015	115 064	44 367	41 519	94%
2015/2016	117 455	43 454	41 942	96.52%

Source: DCS Annual Reports (2017:26; 2016:70; 2015:58)

In terms of Table 1: 44 367 parole applications, 41,519 were under consideration by the Correctional Supervision and Parole Board during the 2014/2015 financial year and 43 454 parole applications during the 2015/2016 financial year. This is a representation of decreased applications for parole considerations against an increasing offender population. This is certainly not in the interest of an effective parole system and this could mean a deficiency in the administration of parole in South Africa; nevertheless, parole is still being administered and offenders are released on parole notwithstanding the lower rate of applications.

According to the DCS (2017:27), there were 51 963 parolees in 2015 and 52 453 in 2016 (see Table 2). This means that in 2016, only 490 offenders were successfully placed on parole. It can therefore be concluded from the foregoing statistical considerations that the DCS's successful parole placement rate is at approximately 32.40%. This is a representation of 22.40% difference of Lukas Muntingh's assertion of an average of 10% during a radio interview in 2015.

**Table 2: Offenders released on parole**

Year	Sentenced offender population	Parolees
2015	115 064	51 963
2016	117 455	52 453

Source: DCS (2017)

### 3. METHODS

For the purpose of this paper, the 2014/2015 Victims of Crime Survey, the multi-stage stratified samples were drawn from Statistics South Africa's (Stats SA) master samples from the enumeration areas established during the 2001 census. The target population of the survey consisted of all private households in all nine provinces of South Africa and residents in workers' hostels. Altogether approximately 3 080 Population Size Units (PSUs) were selected. In each selected PSU, a systematic sample of ten dwelling units was drawn, thus resulting in an approximate sample size of 30 000 dwelling units, with a response rate of 94.9%.

The Victims of Crime Survey used an interviewer-administered questionnaire to obtain the demographic characteristics of the population. The respondents were asked whether they agreed that prisoners were paroled too easily. Socio-demographic data such as race and gender were obtained. Questions on



whether prisons are colleges for crooks, welcoming a former prisoner into the community, and types of crime that occurred mostly in the respondents' area were also asked.

Data were analysed using Stata 12. Group differences were tested using Chi-square. Statistical significance was set at  $p < 0.05$ .

#### 4. RESULTS

Of the households surveyed, 56.7% ( $n=12,964$ ) agreed that prisoners get parole too easily. In areas where violent crimes such as murder and sexual assault occurring mostly, people agreed that parole were given too easily. However, violent crimes such as street robbery and mob justice occurring these areas did not have any effect on people agreeing or disagreeing that prisoners get parole too easily.

More people who agreed that prisons were just colleges for crooks reported that prisoners get parole too easily than those who did not agree (73.3% vs. 37.1%;  $p < 0.001$ ). Among the different racial groups, white South Africans had the highest percentage of people who agreed that prisoners were paroled too easily, which was followed by coloured South Africans. A higher percentage of those who said they would not welcome former prisoners back into the community agreed that prisoners were paroled too easily, than those who said they would welcome them back in the community (see Table 3).

**Table 3: Percentage of respondents who agreed that prisoners were paroled too easily**

Characteristics	Prevalence % (n)	p-value
<b>Gender</b>		0.137
Male	56.9 (5814)	
Female	57.4 (6848)	
<b>Race/Ethnicity</b>		<0.001
Black African	52.5 (9335)	
Coloured	74.6 (1784)	
Indian/Asian	61.8 (308)	
White	75.5 (1537)	
<b>Prisons are just colleges for crooks</b>		<0.001
No	37.1 (3644)	
Yes	73.3 (8810)	
<b>Welcome a former prisoner into the community</b>		<0.001
No	65.5 (5585)	
Yes	51.6 (7306)	
<b>Murder is the violent crime that occurs mostly in the respondent's area</b>		<0.001
No	55.2 (10315)	

## 5. DISCUSSION

The above Table 3 confirmed the objective of this paper that majority of South African populace (represented in this study) perceived that prisoners get parole easily in the country. Although parole can be revoked, and the offender sends back to prison if any of the conditions for the parole is breached by the offender. The fact remained that South Africans belief that parole is too easily granted.

As revealed in the 2014/2015, 2015/2016 financial year reports of the Department of Correctional Services (indicated in the Table 1 above) out of one hundred fifteen thousand and sixty-four sentenced offenders, there was about forty-four thousand applications for parole and more than forty-one thousand of the applications were considered. In terms of per centage, it stood about ninety-four and the following financial year about ninety-seven percent of offenders qualified for parole considerations.

Table 3 indicated no significant difference between male and female in terms of the belief whether parole is easily granted or not in South Africa (56.9 and 57.4 respectively). However, there was a noteworthy difference in terms race. The White population held the belief (75.5%) that parole is easily granted, compared to the Black community (52.5%). The case of Oscar Pretorius and Reeva is a test case. Where Oscar (the Para-Olympic) was convicted of murdering his girlfriend, but to the amazement of Reeva's family, the North Gauteng High Court in Pretoria in 2014, Judge Thokozile Masipa initially convicted Pistorius of culpable homicide. He was later sentenced to five years in prison. Pistorius served 10 months of the five-year sentence before he was released and placed under house arrest. Not until the State appealed the culpable homicide conviction. In 2016 the Supreme Court of Appeal changed the conviction to one of murder.

Important to state that this is a prevalence study to explore the credence of South Africans that Prisoners were paroled easily. From Table 3 above, it was evident that those who agreed to the question that prison are just colleges for crooks (73.3%) will not welcome prisoners to the community (65.5%). Those that disagreed with the question that prisons are just colleges for the crooks will welcome former prisoners into the community (51.6%). Therefore, it is not surprising to note from Table 3 above that those that believe murder is the most violent crime in the area were in the majority 63.5% they also asserted that prisoners are paroled cheaply compared with 55.2% that said no to the question.

As noted elsewhere in this paper, this is a prevalence study, it will now be necessary to conduct a qualitative study based on these results to know different reasons for different opinions expressed by the respondents in this survey.

One cannot but be persuaded by public belief that granting parole is somewhat lenient in South Africa in view of the cases of Mr Selebi and Mr Shaik. Mr Jackie Selebi, a former national police commissioner, was convicted of corruption in 2010 and handed a 15-year prison sentence. He was subsequently placed on medical parole after serving a mere two months of the imposed sentence. Mr Shabir Shaik was former president Jacob Zuma's financial advisor and was convicted of corruption and fraud in 2005. He was also given a 15-year prison sentence but served only two years and four months following his placement on medical parole.

These cases caused a fair stir of media hype and public outcry, which is basically a stern criticism of the parole system of the country. Hopkins (2012:9) believes that the release of Mr Selebi on parole was as a result of the newly improved Correctional Services Act of 1998 that instituted an independent Medical Parole Advisory Board. Perhaps such substitution in the Correctional Services Act of 1998 was a deliberate move to cater for this specific case or perhaps the generosity of obtaining parole.

It is not the aim of this paper to determine why certain parole applications are granted with or without litigations, nor is its aim to determine the length of a sentence to be served before being considered and placed on parole. What is within the frame of our knowledge is that parole forms an integral part of the criminal justice system, and the correctional system. It has a historical connotation and its importance cannot be overemphasised as it facilitates the achievement of the objectives of, *inter alia*, the rehabilitation of offenders. It is of the utmost importance that the practice of parole complies with the laws of the country.

This would mean a comprehensive interpretation and application of pertinent law by those charged with this responsibility. It can easily become a political issue, thereby denting the credibility of not only the correctional system but also the entire criminal justice system if it is not administered consistently.

### **Study limitations**

The findings of this study nevertheless need to be interpreted within the limitations of the study designs. The study is a prevalence study to explore the perceptions of South Africans with regards to parole of prisoners but not to establish the reason for the response. However, this study will be useful as a baseline study for a qualitative study. Also, the use of this nationally representative data shows a rough estimate of the perception of South Africans in all the nine provinces.

## **6. CONCLUSION**

This paper explored public perceptions of the South African parole system. What can be learned from the results of this study is that the public believes that prisoners are paroled too easily. Public perceptions not only of parole matters but other government services as well are important and must be taken into consideration because of their role in shaping and ensuring effective government systems.

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## THE THREAT OF TRANSNATIONAL ORGANISED CRIME IN SOUTHERN AFRICA AND THE ROLE OF INTERPOL

**Ishmael Mugari**

Department of Intelligence and Security Studies

Bindura University of Science Education

Email: imugari@buse.ac.zw

Orcid ID: 000-0003-3534-8966

**Adewale A. Olutola**

Department of Safety and Security Management

Tshwane University of Technology

Email: olutolaaa@tut.ac.za

Orcid ID: 0000-0001-5844-8797

### ~Abstract~

*The thrust towards a global village and advancements in technology witnessed in the past two decades have created an enabling environment for the scourge of transnational organised crime to flourish. This has seen the proliferation of various organised crime syndicates across the globe. The organised criminal syndicates thrive on the ability to flow around physical and virtual barriers, as well as juridical boundaries. The consequences of globalisation resulted in nations seeking and exploring ways to effectively deal with transnational crime. This paper, which is based on literature and documentary survey, explores the scourge of transnational crime, as well as evaluating the role of INTERPOL on policing transnational crime, with Zimbabwe as the main referral country. Zimbabwe as a nation is currently being affected by three major transnational organised crimes namely theft of motor vehicles, human trafficking and drug trafficking. Most of the stolen motor vehicles are stolen from South Africa, either for sale in Zimbabwe, or in transit to other countries. Cases of human trafficking mainly involve the trafficking of would be house maids to countries like Kuwait, where they would be exploited through forced labour and sexual slavery. Zimbabweans are also being used as mules by drug cartels outside Zimbabwe to transport drugs to different parts of the world. In an effort to deal with TOC, INTERPOL offers the following services: secure global police communications services; operational data services and databases for police; operational police support services; and training and development. Despite the presence of a regional INTERPOL office in Harare, resource constraints, rapid technological advancement, inadequate legislation and corruption militate against the measures to curb transnational organised crime. Governments need to take a leading role in the fight against transnational organised crime through: capacitating law enforcement organisations with resources; enacting enabling legislation; and addressing corruption and governance issues.*

**Key Words:** Transnational organised crime, human trafficking, drug trafficking, vehicle theft

**JEL Classification:** K42, O19

### 1. INTRODUCTION

The world is now a global village, with advances made in technology leading to the facilitation of trade and movement of persons, goods and services. Similarly, organised transnational criminal activity has immensely benefited from such advances. The complexity and magnitude of transnational organized crime (TOC), and its negative ramifications to the socio-economic wellbeing of nations make regional cooperation imperative to effectively combat the scourge. The stakes are huge, as organised crime groups jeopardise the trend towards global peace and freedom, sap the strength from developing nations and threaten all endeavours to build a safe and prosperous world. The socio-economic, political, and security frameworks of several nations have been seriously weakened, undermined and corrupted by the criminal activities of organised criminal syndicates operating through sophisticated impregnable networks (Gardeazabal and Sandler, 2013).

The effects of TOC on economic development and human security are huge. The UN Office on Drugs and Crime, as cited by Bakowski (2015) noted that transnational organised crime generated a US\$870 billion profit in 2009. Human trafficking is estimated to be generating US\$152 billion in profits each year, while the global drug trafficking market is estimated to be generating over US\$600 billion annually (May, 2017). Similarly, small arms and light weapons trafficking is valued at between US\$1.7 billion to US\$3.5 billion annually (May, 2017). In addition to the financial implications of TOC, there are also social implications for crimes such as drug trafficking and human trafficking.

Conceptualised as a non-traditional or soft security threat, TOC needs to be analysed at three levels namely individual, national and international (Picarelli, 2005). Though TOC does not directly jeopardise the sovereignty and territorial integrity of a nation; nevertheless it poses a significant threat to national, regional and international security, with serious implications for economic stability, democratic processes, public health and public safety across the globe. As a non-traditional security threat, TOC jeopardises the state's identity, which includes its governance system, policies and its perception by other states in the international relations sphere (Dordevic, 2008).

TOC penetration is fairly high in nations with weak rule of law. The deepening nature of TOC has further weakened the governance structures in some nations, whilst cases of co-option have also been noted for some nations. Moreover, the growing link in some nations, between organised crime groups and security apparatus of the state pose a serious threat to the national security. However, TOC does not only represent a security threat to weaker or developing states like many African countries only, but also for more stable and developed countries like Britain, Germany, United States of America, France just to mention but a few. For example, Bakowski (2015) notes that around 3 600 organised crime groups are active in the European Union, with the most serious transnational organised crimes identified as: drug trafficking; people trafficking; counterfeiting; and environmental crime. In Australia, the cost of organised crime is estimated to be between US\$10 billion to US\$15 billion per annum (Ayling and Broadhurst, 2011).

In countries with weak governance and even first-world countries, some corrupt public officials turn a blind eye to TOC activity. There are also several ways through which TOC syndicates integrate themselves into nations' political processes. This can be achieved through directly bribing political leaders; infiltrating financial and security sectors through coercion or corruption; setting up shadow economies; and positioning themselves as alternate providers of good governance. As the TOC networks expand, they threaten peace and stability as they forge alliances with corrupt political leaders, financial institutions, law enforcement officials, and other state security agencies (Gardeazabal and Sandler, 2013). There is also a positive co-relationship between the rise in TOC and the cost of doing business as companies will have to budget for extra security costs. This ultimately reduces the levels of the much needed foreign direct investment for the developing nations. This is especially true given the World Bank's estimated \$1 trillion per year spent to bribe public officials, which causes some economic distortions and damage to legitimate economic activity (Gardeazabal and Sandler, 2013).

According to Gastrow (2013), the six organised criminal activities that constitute the most serious threat in the Southern African Development Community (SADC) region are: vehicle theft and hijacking; human trafficking; drug trafficking; robbery; illicit dealing in precious minerals (gold, diamonds and emeralds); and illicit dealing in firearms and ammunition. Note worthy are the widespread criminal activities in the region by criminal groups comprising of Nigerian and South African nationals. Gastrow (2013) also notes that TOC syndicates involving South African nationals are among the top three that constitute the most serious threat in Botswana, Lesotho, Namibia, Tanzania, Zambia and Zimbabwe. TOC syndicates involving Nigerian nationals also pose a serious threat in Lesotho, South Africa, Swaziland and Zimbabwe. As observed above, both South Africa and Nigeria seem to be significant exporters of organised crime to the SADC region, despite the regional collaborations on policing crime using INTERPOL (Gastrow, 2013).

INTERPOL was established in 1923 and its mandate is to promote international cooperation in fighting international crime. INTERPOL currently has 190 member countries including Zimbabwe, and its operations are funded through assigned membership fees. Part of INTERPOL's funding also comes from voluntary donations. INTERPOL links member countries' law enforcement agencies, the members' National Central Bureaus (NCBs), and INTERPOL General Secretariat (IPGS) in fighting TOC. INTERPOL particularly addresses six primary criminal concerns namely corruption, drugs and organized crime,

financial and high-technology crime, fugitives, trafficking in humans, and transnational terrorism (INTERPOL Annual Report, 2011).

The INTERPOL National Central Bureau (NCB) for Zimbabwe is part of the Zimbabwe Republic Police (ZRP)'s Criminal Investigation Department (CID), and is manned by police detectives. Its objectives are to provide a platform for coordination between ZRP and INTERPOL when conducting investigations; promote the services provided by INTERPOL to local police; and train staff to maximize their performance levels (Sandler, 2011).

### **1.1 Conceptualising Transnational Organised Crime (TOC)**

TOC refers to those self-sustaining criminal associations that operate internationally for the purpose of obtaining monetary gains, influence and power, and they are wholly or partly sustained through criminal activities (Silver, Raynor & Retana, 2014). The term TOC was adopted at the Fifth Congress of the United Nations (UN) for the Prevention of Crime and Treatment of Offenders in 1975, when there was a discussion on the national and transnational dimensions of criminality. The discussion, which revealed the connections between white collar crime, corruption and organised crime, however, centred on explaining TOC in a criminological rather than the legal sense. The main assertion was that there were certain criminal syndicates whose motives were similar to those of other international actors to maximise their freedom of action or to influence and minimise the effects of national and international control between the borders, or to minimise risks and maximise profits and create new markets (Goredema, 2013).

## **2. AIM AND METHODOLOGY**

The paper sought to address the following aims: 1) to describe the nature of TOC in Southern Africa; 2) to explain the role of INTERPOL in tackling TOC; and 3) to identify the challenges that are being faced in tackling TOC.

The paper is based on a literature and documentary survey of the TOCs that are affecting Southern Africa in general and Zimbabwe in particular. Previous research publications and other online news publications were the main sources of information for this article. Whilst the paper is descriptive in nature, it provides context specific information on the insights into the scourge of TOC in the Southern African Region.

## **3. RESULTS**

### **3.1. Types of TOC**

#### **3.1.1. Theft of motor vehicles**

Goredema (2013) posits that stolen motor vehicle trafficking is a form of organised crime, mainly due to the value of the vehicles, the risks that are involved and the number of participants involved in the criminal activity. For Zimbabwe, neighbouring South Africa is the main source of stolen motor vehicles. Maluleke and Dlamini (2019) note that 16 717 carjacking cases were reported in South Africa in 2017, a rise from 14 602 cases reported in 2016. Some of the stolen cars could have found their way into Zimbabwe and other neighbouring countries. Several cases of smuggling of stolen motor vehicles have been reported in the local media, with the majority of cases involving motor vehicle smuggling from South Africa to Zimbabwe. Muleya (2018) reported that in 2012, Zimbabwean police busted a well-organised vehicle smuggling syndicate near Beitbridge, where seven Malawians were arrested, and which led to the recovery of five top-of-the-range vehicles. In June 2017, the South African police recovered five vehicles that were being smuggled into Zimbabwe through the Limpopo River (Muleya, 2018). In December 2017, *NewsDay* reported that one person was arrested and five brand-new vehicles that were destined for smuggling to Zimbabwe were recovered close to the Limpopo River (Chingarande, 2017). In a similar report by *The Chronicle*, five members of the South African Police Service (SAPS) and one immigration officer were arrested for smuggling stolen motor vehicles into Zimbabwe (Muleya, 2018). The officers were also charged with corruption and fraud. A close analysis of incidents of vehicle theft shows that in many cases, motor vehicle theft crimes are not an isolated criminal activity, but are linked to other transnational and other serious crimes (Goredema, 2013).

#### **3.1.2. Human trafficking**

Human trafficking is defined by Article 3, paragraph (a) of the Protocol to Prevent, Suppress and Punish Trafficking in Persons as “the recruitment, transportation, transfer, harbouring or receipt of persons, by means of the threat or use of force or other forms coercion, of abduction, of fraud, of deception, of the abuse of power or of a position of vulnerability or of the giving or receiving of payments or benefits to achieve the consent of person having control over another for the purpose of exploitation” (UN Human Rights: Office of the High Commissioner, 2000). This exploitation includes sexual exploitation, forced labour, and slavery or slavery-like practices (May, 2017). Human trafficking has several consequences on a nation’s well being and notable repercussions include: breaking down of family ties, erosion of a state’s human capital, erosion of citizens’ confidence in immigration authorities, and violation of citizens’ fundamental human rights.

The INTERPOL’s 2018 report notes that human trafficking has been found to link Southern Africa with many international jurisdictions such as UK, China, Bangladesh and other jurisdictions as far away as Haiti. In Zimbabwe, there have been several cases of human trafficking, with the most prominent case involving the smuggling of would-be domestic helpers to Kuwait. Machakaire (2017) reports that an accused person who was working in cahoots with a Kuwait embassy official allegedly recruited 32 desperate female job seekers, who were later forced into slavery and prostitution upon arrival in Kuwait. Machivenyika (2017) also reports that over 200 victims had been trafficked to Kuwait and Saudi Arabia, where they were forced to engage in prostitution and labour enslavement. In a positive development, Chingarande (2017) reports that one of the kingpins in the Kuwait human trafficking saga was convicted of five counts of human trafficking, and was sentenced to 50 years imprisonment.

### **3.1.3. Drug trafficking**

The drug problem has evolved into a major international law enforcement challenge over the years (Shaw, 2015). Many countries across the globe have developed drug law enforcement apparatus that are geared and adequately equipped to take the challenge head on. The UN has over the years developed several mechanisms aimed at curbing illicit drug trafficking and other organised crimes. In 1961, the Single Convention on Narcotic Drugs was adopted, followed by the Convention on Psychotropic Substances in 1971, and then the Convention against Illicit Traffic in Narcotic Drugs and Psychotropic Substances of 1988. In light of these instruments, many countries have established legal systems to deal with drug trafficking, which are based on the levels of production, trafficking, and consumption. Whilst there has been massive deployment of law enforcement officials and other security apparatus of the states to deal with drug trafficking, production and consumption of prohibited substances have increased exponentially over the years. This is mainly attributed to the fact that drug lords have been able to effectively diversify their criminal activities. The advent of diseases spread through risky behaviour influenced by drug abuse has advanced the argument that drug abuse should also be treated not only as a criminal justice problem but also as a public health issue.

Zimbabwe has not been spared the scourge of drug trafficking and cases of drug trafficking on Zimbabwean soil and by Zimbabweans in foreign nations are on the rise. Machakaire (2017) notes that there are growing fears that Zimbabwe has become a new hub for dangerous drugs such as cocaine. This follows an incident in which two women were arrested at Harare International Airport for smuggling 3.8 kg of cocaine from Brazil. In May 2017, a South African woman was also arrested at Harare International Airport after suspicion that she had ingested cocaine. A scan confirmed the suspicion, establishing the presence of ingested “body packs” in her abdomen. In 2017, South African authorities seized 80 kg of cocaine at the Beitbridge border post. The cocaine was being smuggled from Zimbabwe and investigations revealed that the drugs had originated from Malawi (Machakaire, 2017). In August 2016, the SAPS arrested three Zimbabweans after their truck was intercepted, which was carrying 10 kg of heroin that had been smuggled through the Beitbridge border post. While the above cases seem to suggest that Zimbabwe could be a transit country for dangerous drugs, cases of drug and substance abuse are increasing, which could point to the fact that some of the drugs are finding their way into the Zimbabwean market.

Zimbabweans are also increasingly being used as mules by drug cartels from outside Zimbabwe to transport drugs across the globe. In March 2016, a Zimbabwean woman was arrested after she was found with 2 kg of cocaine at Delhi Airport (*The Herald*, 2017). In May 2016, the Secretary for Foreign Affairs indicated that 10 Zimbabweans who had been arrested in China for drug trafficking, of whom three were



on death row. In a related incident, a Zimbabwean woman was arrested at Cape Town International Airport after she had been found in possession of tik (crystal methamphetamine) which was valued at R1.822 million. *The Herald* (2017) also reported that 16 Zimbabwean women were in various Asian jails after having been convicted of drug smuggling.

Another growing trend in Zimbabwe, as noted by Chipunza and Razemba (2017), is the trafficking and subsequent abuse of prescription drugs. Commonly trafficked drugs are mental health tablets commonly known as the blue tablet, and BronClever, which is a cough syrup. The drugs are mainly abused by youths. BronClever is not licensed for sale in Zimbabwe by the Medicines Control Authority of Zimbabwe. Chipunza and Razemba (2017) report that cross-border traders are smuggling the drugs from South Africa using haulage trucks and unscrupulous bus operators.

#### **4. THE ROLE OF INTERPOL**

The primary role of INTERPOL is to support member countries' police services in their efforts effectively prevent crime and conduct criminal investigations (Addo, 2006). INTERPOL in collaboration with NCBs, thus facilitates cross-border police cooperation, and supports all organisations whose mission it is to prevent or combat crime. Pursuant to achieving its aims, INTERPOL conducts all of its activities within the framework of the following four "core services" or "functions", as articulated by Michael (2014): secure global police communications services, operational data services and databases for police, operational police support services, and training and development.

##### **4.1. Secure global police communications services**

A secure and effective communication system is a fundamental aspect for successful international police cooperation. Police organisations across the globe should be able to communicate with one another in an efficient but secure way. Given that today's highly technical world calls for improved communication channels, INTERPOL, in January 2003, designed and implemented a state-of-the-art global communications system for the law enforcement community, called I-24/7, which stands for INTERPOL, 24 hours a day, seven days a week (Michael, 2014). All member states benefit fully from this function as communication is effective in all countries, including Zimbabwe. The I-24/7 system is a platform where law enforcement agencies from member countries share information on suspected criminal groups or individuals in a fast, reliable, user friendly and secure manner. It also offers a modern, creative and sophisticated way of exchanging vital information on combating various types of transnational crime.

##### **4.2. Operational data services and databases for police**

According to Addo (2006), fighting transnational crime will only be achieved when international police cooperation is centred on information. To this end, there is need for gathering and sharing information that is accurate, relevant and timely amongst law enforcement agencies across the globe. Given the importance of information, INTERPOL has developed an array of global databases, which incorporate important aspects such as the names of wanted criminals and their photographs, DNA profiles, fingerprints, stolen motor vehicles, lost and stolen travel documents, and weapons linked to criminal cases (Sandler, 2011).

The databases contain critical information that can assist law enforcement agencies for member countries when conducting investigations. The analysis of the information associated with these databases is also extremely beneficial to achieving positive results in fighting and investigating terrorism cases, human trafficking, and cybercrime, among other transnational crimes, particularly concerning making positive identifications (Sandler, 2011).

##### **4.3. Operational police support services**

This important role entails availing expertise, information on best practises for preventing, detecting and suppressing crime to all law enforcement agencies and authorities worldwide (Michael, 2014). Through operational support services, INTERPOL enhances the role of NCBs in member states, thus increasing responsiveness to their needs (Chang and Lee, 2011). INTERPOL also facilitates the development of emergency support on operational activities based on the organisation's priority crime areas such as terrorism, drug trafficking, human trafficking, and financial crime. As part of the support services, the

INTERPOL headquarters receives information which in turn will be analysed and evaluated, and disseminated back to member countries to support operations.

INTERPOL can also, upon request from its member countries, offer support by sending police officers with special law enforcement expertise to investigation sites. For example, INTERPOL can facilitate on-site exchange of information when there are incidents of terrorist attacks. Information regarding the suspected terrorist groups can be quickly disseminated.

#### **4.4. Training and development**

Training and development play a pivotal role in INTERPOL's overall mission (Chang & Lee, 2011) and the aim is to capacitate member countries with requisite skills necessary to deal with the dynamic criminal environment. Training also helps to improve operational effectiveness for law enforcement agencies in member countries. INTERPOL adopted training and development as its fourth core-function in 2007 following calls from member states to incorporate such an important function. Consequently, INTERPOL developed its training manual- *Guide for Effective Training*, which, as noted by Chang and Lee (2011), explains aspects such as training needs analysis, training programme development and training evaluations.

### **5. CHALLENGES FACED IN CURBING TRANSNATIONAL CRIMES**

Combating transnational crime is fraught with a myriad of challenges. While most of the challenges are generic, some of the challenges are peculiar to developing countries such as Zimbabwe. The key challenges, which are discussed in the proceeding discussion, include resource constraints, globalisation and technological advancement, unclear definition and inadequate legislation, and corruption.

#### **5.1. Resource constraints**

Sekhon (2007) notes that it is quite evident that transnational crime has become a global phenomenon, hence relying only on national initiatives will not produce the desired results. To this end, there is need for consideration of sub-regional, regional, and global responses in order to effectively deal with transnational crime. While notable progress has been witnessed at all three levels, much still needs to be done in sub-Saharan Africa. Perhaps the most far-reaching global response is the UNTOC, which has been signed by more than 190 countries. There are also ongoing attempts at regional and sub-regional levels in various parts of the world to improve cooperation between states and to coordinate strategies against TOC. Whilst developed nations and regions have been able to advance at a faster pace, poorer parts of the world continue to lag behind in terms of the resource base (Sekhon, 2007), and developed countries are thus better situated in terms of resources to deal with transnational crime.

The SADC, a regional block for the Southern African region, has both developed and developing nations amongst its 14 member states. In line with the global trends, the regional block has embarked on its own regional initiatives to address organised crime since 1995. However, efforts to tackle TOC have been hampered by a lack of resources; expansive geographical areas, borders, and coastlines; and ongoing conflicts in some parts of the region. There is also absence of reliable information about the nature and extent of organised crime in the SADC region to accurately assess the true threat (Sekhon, 2007). Zimbabwe, as a member of the SADC, has not been spared the resource constraints and the prevailing economic challenges have led to a limited fiscal space to fund key institutions such as the police service. This possibly explains why most of the arrests relating to vehicle and drug smuggling at the Beitbridge border post happen on the South African side. The SAPS therefore seems to be better resourced than its Zimbabwean counterpart.

#### **5.2. Globalisation and technological advancement**

Hernandes (2013) points out that the devastating effects and threats linked to organised crime have been made ever more visible in recent years, largely due to the ever-improving technological environment. It is important to emphasise that organised crime is a truly globalised, transnational business. To this end, the flow of both illegal funds and related products largely ignore national borders. Moreover, the patterns, scope and effects of organised crime vary locally, nationally, and regionally. Thus, strategies to counter organised crime need to be tailored to the relevant level, while building on international cooperation. While there is a rise in transnational cooperation between criminal networks states' responses seem to remain

static and they are stuck within the confines of national borders. Hernandez (2013) notes that international cooperation in dealing with TOC is still in its infancy.

The advancement in technology has significantly enhanced the planning and execution of crime by transnational organised crime syndicates. Criminals have advanced from the basic modes of communication like ordinary mail and telephone, to more sophisticated internet based communication facilities, thereby creating identification and investigation problems (Hernandez, 2013). The advent of computers has also given rise to a new threat- cyber terrorism, and this threat will be more difficult to deal with for most African nations.

### **5.3. Unclear definition and inadequate legislation**

There is need for SADC countries to define TOC in the context of regional cooperation so as to lessen the burden of investigators when they want to collaborate during. Having different definitions for all the countries in the regional block will compound the challenge. Such lack of clarity regarding the nations' statutory provisions relating to TOC inevitably lead to confusion and lack of focus among investigators when confronted with TOC.

The challenge of lack of clarity in definition was brought to the fore in 2014 when a Zimbabwean cross-border trader was arrested for recruiting two women to work in Angola, where they were forced into prostitution. While the accused person's actions had all the elements of trafficking in persons, the Trafficking in Persons Act had not yet been enacted in Zimbabwe. Consequently, the accused person was charged with contravening section 83 of the Criminal Law (Codification and Reform) Act (Chapter 9:23), which prohibits leaving the country with the intention that the other person may become a prostitute. Instead of serving a deterrent lengthy prison term, the accused person was sentenced to only 18 months imprisonment. On a positive note and spurred by the legal inadequacies, the legislature hurriedly enacted the Trafficking of Persons Act (Chapter 9:25) towards the end of 2014.

### **5.4. Corruption**

TOC tends to be more confined in an environment that is characterised by weak governance, political turmoil and high levels of corruption. Such an environment provides a platform for organised criminal gangs to bribe political leaders in order to develop new markets and criminal activities (Gastrow, 2013). High-level officials are involved, who give orders to lower-level officials concerning free passage of certain shipments (Minnar & Ngoveni, 2010). Incentives to engage in corrupt activities are huge, and there are few counter-restraints (Minnar & Ngoveni, 2010).

In a development that shows the challenge of dealing with TOC, Muleya (2018) reports that five SAPS officers and one immigration official were arrested for smuggling stolen cars into Zimbabwe. The arrests were the culmination of an investigative project by the Hawks (a specialised unit for fighting economic crime in South Africa) dubbed "Mirror", which was aimed at addressing corrupt and illegal activities at the Beitbridge border post (Muleya, 2018). It thus poses a serious problem if those who should take a leading role in fighting TOC become the conduits for the criminal activities.

Given the prevailing socio-economic and political conditions on the African continent which are conducive for corruption and the growth of TOC syndicates, it should be a matter of concern that very little reliable information is available about the extent and nature of TOC in the region. This is mainly attributed to the absence of empirical research on its origins and growth and, more importantly, its present manifestations (Minnar & Ngoveni, 2010).

## **6. CONCLUSION**

TOC is a global challenge, whose impacts are significantly felt in developing countries such as those in sub-Saharan Africa. Zimbabwe, as a developing nation, has not been spared the threat of TOC, which manifests through drug trafficking, human trafficking, and vehicle smuggling. Despite the presence of the INTERPOL sub-regional office in Harare, TOC continues to affect Zimbabwe. The threat is compounded by the prevailing macro-economic challenges, whose effects are two-pronged: firstly, there is limited fiscal space to channel more resources to fighting TOC; and secondly, due to high levels of unemployment, Zimbabweans are being used as mules by drug dealers to smuggle drugs. Technological advancement poses a serious challenge in dealing with TOC and it has enabled easier communication between

organised criminal groups. A disparity between legislation in different countries has also negatively affected efforts to curb TOC. In other nations, for instance Zimbabwe, TOC is not clearly defined in the country's statutes, thus militating against collective efforts to fight TOC through organisations such as INTERPOL. In order to deal with TOC, governments need to take a leading role through capacitating law enforcement institutions with financial and material resources for tackling TOC. There is also need for regional convergence in passing laws that deal with TOC. Lastly, governments need to address corruption and governance issues so as to close loopholes which can be capitalised on by organised crime syndicates.

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## AN EXPLORATION OF PROCUREMENT PRACTICES IN THE STATE-OWNED PASSENGER RAIL AGENCIES IN GAUTENG PROVINCE

**Dr Johan van der Westhuizen\***

Vaal University of Technology

Email: johanvdw@vut.ac.za

Orcid ID: <https://orcid.org/0000-0001-7140-0229>

**Dr Elizabeth Chinomona**

Vaal University of Technology

Email: elizabethc@vut.ac.za

Orcid ID: <https://orcid.org/0000-0003-3334-8268>

### ~Abstract~

*Supply Chain Management (SCM) departments and, specifically, procurement functions, account for the largest expenditure in most organisations. However, their function has been misunderstood, undervalued, and under-capacitated, and their strategic importance not recognised. As a result, the majority of public agencies in South Africa are implementing their procurement practices poorly. The main research question focuses on the procurement practices in the state-owned passenger rail agencies in the Gauteng province in South Africa. A qualitative research method was adopted, in which semi-structured interviews were employed to gather data regarding current procurement practices within the procurement function in the state-owned passenger rail agencies. Purposive sampling under the non-probability sampling technique was adopted as the most suitable technique for this study. Content analysis was utilised to analyse and interpret data collected from 12 procurement officials employed in the procurement functions within these state-owned passenger rail agencies in the Gauteng province. The detailed findings indicate that the procurement function is still regarded as an administrative function rather than a strategic function within the state-owned passenger rail agencies. The findings also established that there is poor contract management during the procurement processes and poor implementation of supplier management within multiple stages of the procurement processes in the state-owned passenger rail agencies in the Gauteng province. Due to poor procurement practices within the passenger rail agencies, various challenges were identified within the procurement functions. Owing to these mentioned challenges, the study recommends strategies such as supplier tiering and supplier management. The implementation of these strategies and approaches will help the procurement function within the state-owned passenger rail agencies to be proactive and responsive to user requirements.*

**Key words:** procurement; state-owned; passenger rail agencies

**JEL Classification:** L 1

### 1. INTRODUCTION

In South Africa's public sector, procurement is one of the instruments or tools of the state, which can be utilised to help improve economic and social development (Pooe, Mafini & Makhubele, 2015; National Treasury, 2015).

There are two state-owned passenger rail agencies responsible for providing passenger rail transport services, namely the Passenger Rail Agency of South Africa (PRASA) and the Gautrain Management Agency (GMA). The agencies were established under different Acts and report to the Department of Transport at different levels.

In the state-owned passenger rail agencies, the policies that control or regulate procurement practices are outlined in terms of section 217(1) of the Constitution (1996). Although the Constitution provides guidance on how procurement practices should be conducted, a number of scholars such as Stemele (2009), Mofokeng (2012), Makhubele (2014) and Dlamini (2016) report that public organisations are not implementing procurement practices properly.

### 2. PROBLEM STATEMENT

In South Africa, a number of scholars have conducted research on procurement practices (Stemele, 2009; Mnguni, 2012; Mofokeng, 2012; Makhubele, 2014; Matseke, 2015; Dlamini, 2016). However, there is no evidence of studies being conducted in the state-owned passenger rail agencies to explore procurement practices in Gauteng and in South Africa at large, despite reports from the Public Protector (Madonsela, 2015); the Auditor General of South Africa (AGSA, 2016) and many more (such as in the media) that have indicated poor procurement practices in those agencies in the country. Therefore, this study will close the gap by exploring whether the state-owned passenger rail agencies conduct procurement practices properly in Gauteng.

After a literature review, the following research questions were categorised: Is the value and contribution of procurement understood within state-owned passenger rail agencies for competitive advantage? What are the procurement processes that are currently practised by state-owned passenger rail agencies in Gauteng during the acquisition of goods, construction work and services? How is supply management being implemented within multiple stages of the procurement process in the state-owned passenger rail agencies in Gauteng? What are the procurement challenges encountered during the procurement practices in the state-owned passenger rail agencies in Gauteng? In addressing these questions, the outcomes may be utilised to assist procurement officials in the public sector in South Africa. The remainder of the article is organised as follows: a literature review is provided next, followed by the methodology in section 4. The 'Results' for the study are provided in section 5 followed by a discussion of the results where recommendations are provided. Lastly, contributions, conclusions and limitations for the study are provided.

### **3. LITERATURE REVIEW**

According to Naude, Ambe and Kling (2013), the procurement process in the public sector in South Africa includes many activities, but there remain many challenges. Public procurement in countries such as Austria, Chile, Italy, Mexico, Portugal, Switzerland and many more, affiliated to the Organisation for Economic Co-operation and Development (OECD) is a major component or element of government spending, with a sizable impact on total demand of a domestic economy (Pillay & Mafini, 2017). In addition, public procurement expenditure represents about one third of total government expenditure in 35 countries who are members of the OECD. According to Selomo and Govender (2016), government or public procurement in Bangladesh represents approximately 18.42 percent of the world's Gross Domestic Product (GDP).

Public procurement world-wide is increasingly recognised as a profession that plays an important role in the successful management of government resources and a number of countries such as China and Indonesia have become more alert to the importance of procurement as a function that is vulnerable to mismanagement and corruption (Ambe, 2016; Masete & Mafini, 2018). Since public procurement is vulnerable to mismanagement and corruption, countries must strengthen their procurement reform processes and also ensure that government procurement practices be conducted in line with its general principles.

#### **3.1 Challenges faced during implementation of procurement practices in the public sector in South Africa**

The above statement triggers the question of what is preventing the implementation of proper procurement practices in the public sector in South Africa, which includes state-owned passenger rail agencies. Mantzaris (2014); Uromi (2014); AGSA (2016); Ambe (2016) and Munzhedzi (2016) cite the challenges preventing implementation of proper procurement practices as follows:

##### **3.1.1 Lack of proper knowledge and skills as well as capacity**

In both the public and private sector in South Africa, the SCM functions are encountering a common challenge of shortage of skills and knowledge about procurement practices (Mathu, 2014; Pillay & Mafini, 2017; Masete & Mafini, 2018).

##### **3.1.2 Lack of proper planning**

Due to lack of skills and knowledge in SCM, public organisations are experiencing poor procurement planning on a daily basis (Mathu, 2014; Selomo & Govender, 2016; Pillay & Mafini, 2017).

### **3.1.3 Non-compliance with SCM policies and regulations**

The public sector organisations are experiencing the following non-compliance practices in the procurement function, namely: awarding quotations and tenders to close family of procurement officials, lack of documentation of the awarded tender, awarding tenders to employees of government institutions; not using competitive quotes and extensions to contracts without following SCM policy; emergency purchases without valid reasons; and sole supplier arrangements (Horn & Raga, 2012; Nkwe, Singh & Karodia, 2015; AGSA, 2016; Mazibuko & Fourie, 2017).

### **3.1.4 Ineffectiveness of Broad-Based Black Economic Empowerment (BBBEE)**

In South Africa, the provision of Black Economic Empowerment (BEE) was adopted by government to empower all who were previously disadvantaged however, the system has been ineffective due to unethical practices such as fronting (Yin, 2011). Fronting, in procurement terms, is described as an arrangement or other act that directly or indirectly undermines the achievement of the objectives of the BBBEE Act (DTI, 2018).

### **3.1.5 Decentralisation of procurement functions**

The government of South Africa has introduced public SCM legislature that provides for decentralisation of policies and resources (Munzhedzi, 2016). However, due to skills and knowledge shortage of public procurement officials as well as lack of leadership, decentralisation has resulted in ineffectiveness and inefficiency of the procurement function (Munzhedzi, 2016).

### **3.1.6 Resistance to use Information Communication Technology (ICT) systems or E-procurement**

In the public sector in South Africa, forty-five per cent of SCM practices are performed manually, regardless of review by national treasury, which indicates that the use of electronic systems in SCM has great potential to increase the effectiveness and efficiency of processes which impact on government spending (Kramer, 2016).

## **4. RESEARCH METHODOLOGY**

This study adopted a qualitative research approach. Qualitative research is appropriate for this study as its results are established based on the participants' responses that emerged from the research question. Population is described by Salkind (2016) as the group of potential participants to whom the researcher wants to generalise the findings of the research study.

In recapturing the total population of this study, the procurement general staff and management in the state-owned passenger rail agencies in the Gauteng province was fifty-three (53). Based on the abovementioned total population, the researcher interviewed twenty-three percent (twelve participants), which is acceptable for a qualitative research study as they are above the minimum of five participants as recommended by Manias and McNamara (2015) as well as five per cent as recommended by Saunders, Lewis and Thornhill (2012).

Semi-structured questions were utilised to collect primary data through face-to-face interviews at the premises of those state-owned passenger rail agencies. In addition, all interviews were recorded utilising a digital voice recorder and each interview took approximately 30 to 60 minutes. During the interviews, the researcher took notes to record any events that would not be captured by audio recording as recommended by Saunders et al. (2012). Before the interviews began, permission to record and share the recording with the trained professional (data analyst) was obtained from all the participants as recommended by Yin (2011).

### **4.1 Measures of trustworthiness**

Qualitative research is associated with accurate measurement and tends to utilise the terms of credibility and trustworthiness rather than reliability and validity (Wagner, Kawulich & Garner, 2012). In this study, trustworthiness was achieved in the following four ways, namely: credibility, conformability, transferability and dependability.

## **5. RESULTS**



## 5.1 Summary of demographic information

The demographic information of the participants from the two state-owned passenger rail agencies consisted of both junior procurement officials and management. The balance of the two levels was important and required in order to get operational or tactical and strategic information. In addition, junior procurement officials provided tactical information on how they conduct procurement practices, and management provided both operational and strategic views on how the procurement practices should be conducted. However, since the study was aimed at understanding the implementation of procurement practices, a majority of junior procurement officials were interviewed or targeted. The age of the participants ranged from 29 to 57 years. Coincidentally, 50 percent of the participants were male and the remaining 50 percent were female. Although there was an equal balance of gender, the males still dominated in management positions. On ethnicity, the main participants were black with only one white participant. Regarding qualifications, the majority (91.67%) of participants had undergraduate qualifications and 54.55 percent had additional or second qualifications, specialising in procurement. The experience of the participants working in the procurement function ranges from 3 years to 18 years, which means the state-owned passenger rail agencies' procurement functions appear to have experienced officials to conduct procurement practices in a proper manner.

**5.2 Exploring procurement practices:** This section consists of the questions that participants were requested to answer during face-to-face interviews. The research questions also represent the research objectives of the study and are classified into the following four clusters:

**5.2.1 The value and contribution of procurement:** The analysis of the empirical evidence revealed that all procurement officials were able to define the term procurement although a few of them provided a basic definition without a clear link to public sector procurement practices.

Regarding the value and contribution of the procurement function within the state-owned passenger rail agencies in the Gauteng province, the evidence revealed that the procurement functions' contribution was still tactical rather than strategic. Due to the procurement function being reactive to user requirements, the procurement function was under-valued within the state-owned passenger rail agencies.

**5.2.2 Implementation of procurement processes:** The analysis of the empirical evidence revealed that both state-owned passenger rail agencies' procurement officials followed their agencies' procurement processes, however the procurement functions have no documented evidence of supplier performance. The study concludes that lack of consequences for management when selecting tendering transactions as well as poor contract administration were the main gaps emerging from procurement processes/cycles in state-owned passenger rail agencies in the Gauteng province.

**5.2.3 Implementation of supplier management:** The analysis of empirical evidence established varying views about the understanding of the term supply management. Most participants lack understanding about the meaning of the term supply management. Those who lack understanding about the term were using it interchangeably with the terms such as supply chain management and purchasing management.

In addition, the analysis of the empirical evidence revealed that both state-owned passenger rail agencies in the Gauteng province were not implementing supplier management in a proper manner. Although they were not implementing it in a proper way, agency Number Two was still busy developing and implementing some of the supplier management strategies, such as supplier tiering. Although they were implementing supplier tiering, there was still not enough evidence to conclude on the success of the strategy being implemented. As a result, there were no tools used to measure a supplier's performance and no adequate inter-firm learning as well as no supplier development programmes aimed to improve suppliers' performance. The study deduces that due to lack of supply management strategies, which stems from the procurement functions being administrative rather than strategic, the procurement functions were still reactive to user requirements rather than proactive (which requires proper implementation of supplier management).

**5.2.4 Procurement challenges:** The analysis of the evidence revealed many procurement challenges. Most of the procurement challenges established within the state-owned passenger rail agency Number One in the Gauteng province are due to poor procurement management. Only three procurement

challenges, namely: ineffective BBBEE, ineffective central supplier database and interference from the end-user and suppliers were established within the state-owned passenger rail agency Number Two.

## **6. DISCUSSION OF THE RESULTS**

### **6.1 The value and contribution of the procurement function**

This study has established that the procurement function is still administrative and regarded as paper pushing within the state-owned passenger rail agencies in the Gauteng province. This is due to procurement functions being reactive to the user's requirements, which is associated with poor implementation of supplier management strategies and approaches in this study.

Therefore, this study recommends that the state-owned passenger rail agencies should implement supplier management strategies and approaches such as Kraljic's procurement portfolio matrix, supplier tiering, supplier preference model, Pareto principles, buyer-supplier relationships, supplier development programmes and supplier performance metrics. The implementation of these strategies and approaches will help the procurement function within the state-owned passenger rail agencies to be pro-active and responsive to user requirements, as recommended by Sinkovics, Jean, Roath and Cavusgil (2011), who stipulate that procurement performance depends on supplier responsiveness.

This study further established that procurement functions were not contributing enough to the overall objectives of the state-owned passenger rail agencies. As a result, the value of the procurement function within the state-owned passenger rail agencies was undervalued and misunderstood. It is therefore recommended that state-owned passenger rail agencies move from administrative (paper pushing) to strategic procurement.

This study recommends that the procurement functions within the state-owned passenger rail agencies improve the quality of inputs through selection of potential suppliers and manage them proactively by negotiating effective management of procurement processes to reduce cost of inputs and transactions and to work with key supply chain partners to eliminate non-value adding activities in the supply process.

### **6.2 Implementation of current procurement processes**

The study has established that there is poor contract management, specifically contract administration during the procurement process or cycle when goods, construction work and services are acquired through selected and competitive tendering within the state-owned passenger rail agencies.

As contract management aims to establish good relationships between the buying organisation and supplier, this study recommends that the state-owned passenger rail agencies' procurement functions should prioritise this stage during the procurement cycle. Prioritising this stage will require the management of supplier relations and performance by procurement officials within these agencies, as recommended by CIPS (2016:43). Management of supplier relations (relationship) and performance has a number of value-added benefits, recommended by Mchopa (2015), which these state-owned passenger agencies might gain should they implement the findings of this study.

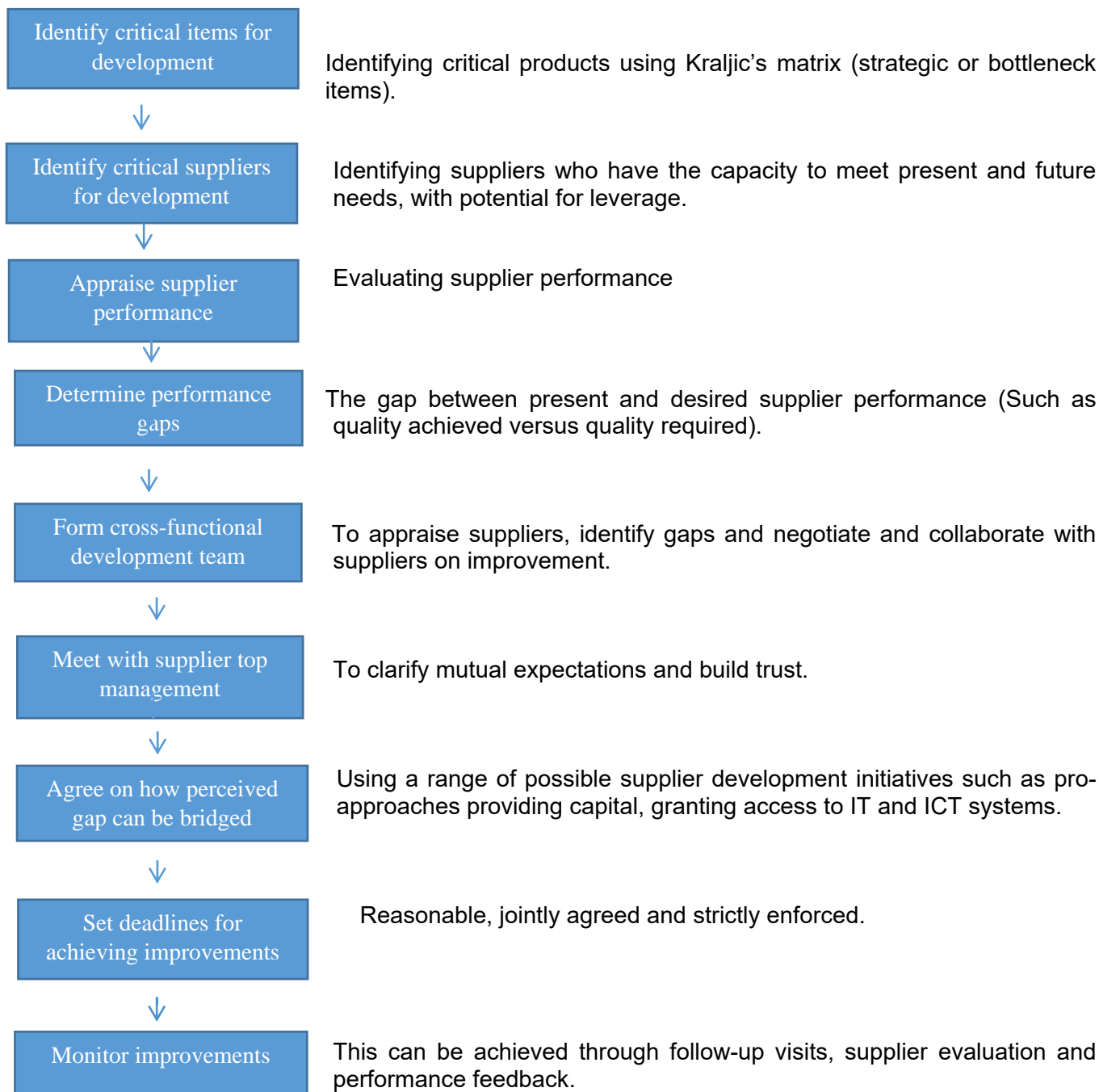
Poor contract management (such as lack of consequence management by suppliers who fail to meet minimum customer expectations and poor contract administration) within the state-owned passenger rail agencies prevent the passengers' from receiving reliable transport services, which, in turn, prevents them from receiving value for money, as recommended by Mchopa (2015). The state-owned passenger rail agencies should relook their contract management process and make urgent improvements in order to advance its operations.

### **6.3 Implementation of supply management**

The first recommendation to be made is regarding supplier performance measurement. The procurement functions' performance measures should be conducted using Key Performance Indicators (KPIs) for internal and external supply chain partners. The use of KPIs to measure performance will help remove any barriers, promote on-going monitoring and regular review of service levels, support problem solving and improve planning and also foster better understanding and trust between procurement and its suppliers, as recommended by Ovidiu Iliuta (2014).

This study further recommends that supplier performance metrics or measurements need to be adopted within the state-owned passenger rail agencies. These performance measurements can be sub-divided

into three different levels, namely: operational, tactical and strategic. The proper implementation of the supplier performance metrics at different levels within the state-owned passenger rail agencies will help or enforce suppliers to be responsive to users' requirements, which would help improve these agencies' performance as recommended by numerous authors such as Lawson, Cousins, Handfield, and Petersen (2009), Sinkovics et al. (2011), and D'Amico, Mogre, Clarke, Lindgreen, and Hingley (2017). Therefore, this study recommends the following depicted nine-stage approach to implement a supplier development programme in these state-owned passenger rail agencies.



**Figure 1: Nine stages in a supplier development programme** Source: Lysons and Farrington (2012)  
 In this study, lack of knowledge and poor implementation of supplier management is associated with inadequate training and development of procurement officials. The study also recommends that these

state-owned passenger rail agencies should conduct induction and refresher training programmes aimed at educating procurement officials about supplier management and how it should be implemented.

In implementing this supplier management strategy, the relationship between the first tier of a supplier becomes a strategic joint venture, which would help detect and address supplier network challenges such as delays in deliveries, original manufacturer challenges (stock-outs) and many others at an early stage (Lysons & Farrington, 2012). Implementation of supplier management elements such as supplier development and supplier tiering within the state-owned passenger rail agencies would help promote supplier development.

## **7. CONTRIBUTION AND CONCLUSIONS OF THE STUDY**

This study cannot be generalised to an unrepresented population but it will contribute to the state-owned passenger rail agencies within the Gauteng province (internal stakeholders) and to the academic fraternity as well as to all other stakeholders (i.e. external and connected stakeholders) at large in the following ways: it provides an understanding of current procurement practices within the state-owned passenger rail agencies; it has identified and recommended areas that need to be improved by management within the procurement functions; it recommends best or leading procurement practices, which can help eliminate irregular/unauthorised expenditure, fruitless and wasteful expenditure as well as other challenges if implemented within the state-owned passenger rail agencies in the Gauteng province.

It contributes to communities at large by ensuring that the money saved through the elimination of fruitless and wasteful expenditure is used to help improve services. Based on the primary objective of this study, it has established that there are poor procurement practices due to procurement functions still operating as administrative functions rather than strategic functions and poor implementation of supplier management.

## **8. IMPLICATIONS FOR FUTURE RESEARCH**

In this study, some suggestions for future research have emerged. The first suggestion is that further research should be conducted to examine the implementation of leading procurement practices to establish management initiatives and address procurement challenges (addressing poor contract management during procurement cycle, poor implementation of supplier management within multiple stages of the procurement cycle and procurement challenges encountered by procurement officials. Moreover, further studies should be conducted focusing on identifying procurement or sourcing strategies that they might need to adopt in order to develop from administrative to strategic procurement functions.

The second suggestion for future research is associated with the National Central Supplier Database (NCSDB) reported to be ineffective. Further studies focusing on the effectiveness and efficiency of the NCSDB should be conducted at the National Treasury of South Africa to help identify the detailed challenges and benefits of using such a system as well as finding systematic ways to improve or replace the system with the best one for the benefit of all the NCSDB users (procurement officials) in the public sector in South Africa.

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## STAKEHOLDER ENGAGEMENT AND DISASTER RISK REDUCTION FOR IMPROVED SERVICE DELIVERY IN PUBLIC HEALTH

**Roshilla Sahadeo**

University of KwaZulu-Natal

Email: roshilla1@icloud.com

Orcid ID: <https://orcid.org/0000-0003-0254-2826>

**Mogie Subban**

University of KwaZulu-Natal

Email: subbanm@ukzn.ac.za

Orcid ID: <https://orcid.org/0000-0003-4595-0504>

### ~Abstract~

*South African legislation supports the promotion of democracy and equality. Health institutions have an obligation to realise the tenets of the Republic of South Africa's Constitution, 1996 and uphold the Rule of Law. Review of literature suggests that, government and citizens expect health facilities to ensure efficient and effective management all types of disasters whilst providing uninterrupted, safe and therapeutic health service delivery. Disaster Risk Reduction (DRR) is a multi-sectoral approach that involves many stakeholders. The article focuses on this dimension of stakeholder engagement and DRR for improved service delivery in public health with emphasis on proactive risk governance that could contribute to continuous health service delivery. This would substantially augment management of disaster risks through education and training combining policy initiatives between health and other sectors. The article applied unobtrusive research techniques by analysing secondary data obtained from contemporary literature and a documentary review of DRR and stakeholder engagement. Methodology provided conceptual and contextual analysis of DRR as an element within administration of policy implementation and public service delivery. Findings reveal that effective integration of DRR would ensure health institutions remain safeguarded, health service delivery is uninterrupted, reduction of diseases and death, augmenting response and recovery. It is submitted that, good risk governance would reduce potential disasters ensuring high quality health service delivery. Public sector management and governance aspects enhance the field of DRR as integral focal points of good risk governance when managing health service delivery. This makes a significant impact in understanding that effective health policy implementation enhances public health service delivery. The article draws on disaster management frameworks, placing emphasis on integrated planning with stakeholders (communities) for continuous and quality public health services.*

**Keywords:** Stakeholder engagement, Disaster risk reduction, Service delivery, Public health

**JEL Classification:** I 18 Government Policy. Regulation. Public Health

### 1. INTRODUCTION

South Africa is a constitutional democracy and the Constitution is the over-arching legislation predominating all other laws that are not aligned to it. The Constitution of the Republic of South Africa, 1996 includes the *Bill of Rights*, which guarantees human rights for everyone in South Africa. Particularly significant to the provision of health services, health care and health service delivery; Section 24 of the Constitution reveals that all citizens have the right to an environment that is safe to their health or well-being. They also have the right to have the environment safeguarded, for the benefit of present and future generations. This right of citizens is enabled through reasonable legislative and collaborative integration of stakeholders and other Disaster Risk Reduction (DRR) measures. Section 27 states that all citizens are entitled to equality, including access to health care services (Republic of South Africa, 1996:11).

Therefore, government and citizens expect health facilities through inter-sectoral collaborative efforts, and to efficiently and effectively manage all types of disasters whilst providing uninterrupted, safe and therapeutic health service delivery. The conventional emphasis of the health department has been on the reaction to disaster situations. The current challenge is to expand the attention of DRR administration for health from that of a reactive and recovery approach to a more pre-emptive slant that accentuates

preparedness and extenuation. The need for the research arises from necessity of integrating stakeholders within the health district from hospital, primary health care and community levels. The Constitutional and legislative mandates makes provision for continuous health service delivery to all citizens. The Constitutional provisions are made possible through the institutionalisation and operationalisation of the Disaster Management Act, 2002 (Republic of South Africa, 2002), which provides for a co-ordinated and integrated disaster management policy. The research methodology draws on unobtrusive research techniques by analysing secondary data obtained from contemporary literature and a documentary review of DRR and stakeholder engagement. This article examines the pertinent legislative framework from a health perspective. The intention here is to determine the implementation thereof at different levels of health service delivery and the stakeholders within the health domain responsible for maintaining and improving service delivery through effective DRR practice. The subsequent sections deal with stakeholder engagement for DRR, legislative framework for public health service delivery and the linkage between Disaster Risk Governance and good health risk management.

## **1.2 Conceptualising Stakeholder Engagement for Disaster Risk Reduction**

There are several stakeholders involved in DRR who play an important role. These are identified as government officials in various spheres, interest groups, politicians, community development workers, councillors and local communities (Shaw, 2016: 1-2). For the purpose and context of this article, one of the most important and vulnerable sectors of stakeholders identified are local communities. Recent years has seen heightened recognition of the need for a paradigm shift from reactive emergency disaster management to the use of DRR activities to manage risks. Emphasis is on the shift in focus from responding to disasters to consultation for planned activities mitigating and preventing disasters. Birch (2017: 45) states that such a paradigm shifts require robust stakeholder consultation and participation, especially during planning processes of DRR. At national and provincial spheres, this approach requires political will, development of supporting policies and adequate resource allocation actions to institutional and community mechanisms supporting risk management activities. It follows that commitment of government is reflected in supportive DRR related legislation. In placing stakeholder engagement and DRR in the article, the following key aspects from an international and national perspective are contextualised.

## **2. LEGISLATIVE FRAMEWORK FOR PUBLIC HEALTH SERVICE DELIVERY**

The following legislative framework and guidelines contribute to the discussion in locating aspects of disaster management and risk reduction within the context of health service delivery.

### **2.1. Shift from Hyogo Framework of Action to Sendai Framework for Disaster Risk Reduction**

Although the Hyogo Framework of Action (HFA) was successful globally in encouraging an integration of various stakeholders embracing government, business sector and non-governmental establishments to advance DRR, further development is required in dealing with underlying risks (United Nations, 2015). Since the impact of disasters is significantly influenced by physical, social, economic and environmental aspects, reduction of risks necessitates a resolute whole-of-government commitment.

The Sendai Framework, discussed below, which superseded the Hyogo 'blueprint' for DRR, signified an essential change in approach, by placing emphasis on attaining evidence-based considerations towards risk identification and management that take into account repercussions for disaster prevention, mitigation and response (Waddington, 2018). It was a chance to allow application of science on DRR (preparedness, response and recovery). It officially recognised the function of science and technology and called for the enhancement of scientific and technical work on risk reduction. Emphasis is placed on the Sendai Framework in addressing DRR through engagement of stakeholders to enable discussion and appraise progress in the implementation of the guiding framework.

#### **2.1.1. United Nations Sendai Framework for Disaster Risk Reduction 2015 – 2030**

The Sendai Framework for Disaster Risk Reduction 2015-2030 (SFDRR) is the initial key accord following the 2015 development agenda, recognised by the UN General Assembly after the 2015 Third UN World Conference on Disaster Risk Reduction (WCDRR). It is the successor tool to the HFA 2005-2015 in which governments worldwide pledged to take action to decrease disaster risk, and the result of stakeholder engagements, that commenced in March 2012. Inter-governmental discussions were convened from July



2014 to March 2015 and espoused by the United Nations International Strategy for Disaster Reduction (UNISDR). This framework is a 15 year proposed and voluntary contract. It acknowledges that the government has the principal part to decrease disaster threats, apportioning obligation by relevant participants inclusive of local government and the private sector. A significant decline of disaster risk and mortality, living standards and health of persons in the fiscal, physical, societal, cultural and environmental effects of people is advocated (United Nations, 2015).

### **2.1.2 Implications for Health through the Sendai Framework**

This framework is pertinent within and beyond the health sector. This is evident in references made to health (United Nations, 2015, Preamble) and supports the execution of disaster risk management and effective response and recovery.

The discussion relates to the emerging risks associated with progressive increase in loss and substantial social, health, economic, cultural and environmental effects of disasters. The Framework seeks to foresee, prepare for and decrease disaster risks to efficiently and effectively safeguard people, societies and countries. It focuses on means of living, health, culture, socio-economic resources and their environment whilst strengthening resistance. Another important focal point of the Framework for health service delivery is to ensure that a comprehensive and people-centred preventative approach to DRR is put forward. DRR systems should be multi-hazard and multi-sectoral, all-encompassing and accessible for increased efficiency and effectiveness. Recognition is given to leading, regulatory and co-ordination roles, and all spheres of government involved as important role-players. This includes vulnerable sectors (women, children and adolescents, people living with disabilities, underprivileged and marginalised persons and the aged) when designing systems in execution of DRR related legislation, policies and plans. The intention is to decrease disaster threats to communities. It is essential to attend to prevailing issues and plan through monitoring, assessment and understanding of risks. Sharing such knowledge reinforces disaster risk governance by advancement of economic, social, health, cultural and educational strength of people, communities and countries. This would strategically enhance early warning systems, preparedness, response, recovery, rehabilitation and reconstruction.

The above focus on public health would substantially augment management of disaster risks through public education and training with combined policy initiatives between health and other sectors. The article draws on this framework, and places emphasis on coordinated integrated planning with all key stakeholders for continuous and quality health service delivery at Primary Health Care (PHC) and hospital level.

Identifying that health resilience is advocated for all through the Sendai Framework, the function of health care professionals remains pivotal in DRR implementation at all levels of care in the health system. Blanchard (2017) is of the view, that this is especially significant in achieving two of the seven worldwide targets that relate directly to health in the framework. These are *firstly*, the reduction of worldwide disaster deaths by 2030, striving to decrease mean per 100,000 worldwide death rate in the duration between 2020–2030; and *secondly*, the reduction of quantity of those affected people worldwide by 2030, striving to decrease estimated international figures per 100,000 during 2020–2030.

Consideration influences data collection and analysis in DRR, considered as critical. The United Nations Office for Disaster Risk Reduction (UNISDR) is developing guidelines to assist with measurement, analysis and utilisation of data for effective DRR.

### **2.1.3. Stakeholder partnerships for effective public health service delivery**

Effective application of this framework would ensure that health institutions remain safeguarded and health service delivery is uninterrupted. There is reduction of disease and death and augmented response and recovery measures are in place (Aitsi-Selmi and Murray, 2015: 362).

This framework warrants action through local partners and stakeholders to encourage and promote effective public, public-private and civil society partnerships, building on the experience and resources of these partnerships. This is highlighted in the Sendai framework. In paragraph 19(d), it espouses that DRR necessitates an all-of-society engagement and partnership, inclusive, accessible and non-discriminatory participation of women and youth leadership. Paragraph 35 of the framework emphasises that states have the overall responsibility for reducing disaster risk as a shared responsibility between

governments and relevant stakeholders. It also states that non-state stakeholders play an important role as enablers in providing support to States and paragraph 36 and 48 refer to the specific roles for individual stakeholder groups.

From the preceding discussion, although legislative frameworks are imperative, the challenge lies with effective implementation thereof. It draws attention to disaster risk not being an intellectual concept only, but adopted through practical and directed activities across local, provincial and national government spheres. In reviewing previous literature on DRR and disaster management, the article brings another dimension through a proactive approach to district health service delivery and good clinical governance. The focus is on stakeholder engagement in DRR for effective and efficient management of disasters.

Van Niekerk (2006: 98) explains that the basis for effective and successful DRR is coordination and integration of all stakeholders and efforts into a holistic approach. This is inclusive of the plethora of legislative, policy and other crosscutting aspects that necessitate involvement of various disciplines, sectors (government spheres, as well as the private sector), civil society, non-governmental organisations, community-based organisations, research institutions and institutions of higher learning. A multitude of stakeholders working towards a common goal promotes good governance and is supportive for DRR implementation. The ensuing discussion elaborates on this concept.

## **2.2 Constitution of the Republic of South Africa, 1996**

Key legislation relating to Disaster Management in South Africa is premised within the Constitution of the Republic of South Africa, (Republic of South Africa, 1996) as it compels government to safeguard human and property rights of the citizenry, and those residing within its borders (Section 41). Safety and security requires more than reactive processes, such as law enforcement. Additionally, contemporary government policies strive to eliminate poverty and inequality as their focal strategic objectives. This can be undermined by disasters, as it is one of the things that can call for States of Emergency in terms of section 37 of the Constitution. Disaster management is noted in Part A of Schedule 4 in the Constitution as a functional area of concurrent national and provincial legislative compliance. Local government is also required to implement and be accountable for disaster management encouraging partnership with key stakeholders.

## **2.3. The Disaster Management Act, 2002**

The processes that brought about development of the Disaster Management Act, 2002 (Republic of South Africa, 2002), hereafter referred to as the Act, were initiated after the devastating floods that engulfed the deprived community in the Cape Flats in 1994 (NDMC, ND). This initiated a consultative process that produced the first White Paper on Disaster Management in South Africa. The Act became a vital legislation foregrounding disaster management.

The Act acknowledges that comprehensive efforts within the country are needed to avert and decrease disaster costs through concerted efforts of all spheres of government, civil society and the private sector. It also recognises for the importance of a standardised or consistent methodology to be adopted by various stakeholders for sustaining and improving service delivery across the sectors.

The Act has three primary objectives for an integrated (multi-sectorial and multi-disciplinary) and systematic approach to disaster management in the country. As per its preface, the Act aims to realise this aspect through reduction of disasters, mitigation of effects, preparedness for emergency situations and instituting recovery and rehabilitation post-disasters. The Act provides guidance on institutional arrangements needed across all levels of government through establishment of Disaster Management Centres. Lastly, the Act gives direction on the provision of volunteers required to assist municipalities and local communities during a disaster, including the use of advocacy workshops to increase awareness on the management DRR in the health sector.

## **2.4. National Disaster Management Framework, 2005**

South Africa is not excluded from international phenomena and devastating effects of disasters. The Centre for Research on the Epidemiology of Disasters International database reflects from 1980 to 2010, the country experienced 77 natural disasters resulting in 1869 deaths and affected 18 456 835 people. The financial loss from these disasters amounts to approximately US\$ 3.3 trillion (2012: CRED International database).

According to the National Disaster Management Framework (NDMF), the initial step to a successful DRR approach is to conduct risk assessments. This is critical as natural and unnatural disasters often adversely influence developmental advances due to the overwhelming effect and exorbitant costs thereto. Due to South Africa's highest rate of inequality as outlined by the World Bank (2018: 6), an urgent need is to focus on social development, enabling reduction of inequality and eradication of poverty, considered as two significant aspects influencing the developmental state. Developmental needs are immense hence; any threats to development should be avoided. A disaster (natural or man-made) is a significant threat posing added pressure on already limited financial and other resources, justifying the need for effective DRR.

Van Niekerk (2014: 858-877) upheld the view that the proclamation of the Disaster Management Act, and the National Disaster Management Policy Framework of 2005 allowed for the integration of DRR into all spheres of government through a decentralised methodology, thus positioning South Africa at the international forefront. The author argues that sound legislation and policy is often not essentially translated into good practice. A gap in the Act and Framework reveals the lack of explicit direction to districts and the local government sector. There is still a challenge with the location of DRM at all spheres of government, in that capital is insufficient and generally, awareness and capabilities for DRR are currently inadequate to address current disastrous impacts on service delivery, and the health sector is no exception in this regard with primary health care challenges.

There has been considerable execution of risk reduction strategies and measures. Of note, is the continuing approach to DRM and DRR, confirming that collaborative and inter-sectoral integration are the significant assurance of effective use of the legislation. The authors note this as significant in the context of public health delivery because it advances the vision of the Act for a multi-disciplinary and integrated approach, supporting service delivery (health) and advocating stakeholder engagement as the focus of the article.

The implications drawn in South Africa's legal framework for DRR in health sector is to support health emergency and disaster risk management programmes (inclusive of emergency preparedness and response) as part of national and provincial health systems.

### **3. DISASTER RISK GOVERNANCE: EVOLUTION AND INFLUENCES IN PUBLIC HEALTH**

Following the call from the HFA (2005-2015) and the Sendai Framework for DRR (2015) regarding a paradigm change from disaster management to disaster risk management, the strategy for disaster management progressed into a new era.

"Good governance" is a broad concept for government transformation or activities that are intended to bring about constructive and long-term changes. Lam and Kuipers (2019: 322) assert that there is a wider place for DRR directed at reducing weaknesses and risks. This can be achieved by concentrating on two aspects that includes prevention of disaster risks, and preparedness and mitigation of the negative consequences. Focus subsequently on disaster risk governance (DRG) yet again comes to the fore. The authors also refer to disaster risk governance as "adaptive" governance, termed proactive and responsive. It is said to comprise of related standards, stakeholders and practises that aim to decrease the effects and losses incurred following a disaster. The implication therefore, is that disaster risk governance encompasses a collaborative approach and as such, involving stakeholders is paramount to the discourse of DRR.

Jones, Oven, Manyena and Aryal (2014: 79) further elaborate utilising principles of participation, representation, discussion, accountability, enablement, probability, logic and social justice by government and public institutions during the execution of their functions. Within DRR perspectives, the concept of good governance embraces implementation and advancement of policies, regulation, coordination strategies and legislative frameworks towards a supportive milieu for implementation. Decision-making allows for collaboration of stakeholders accompanied by equitable and adequate distribution of resources.

Van der Waldt (2009: 25-32) contends that governance is the action of attending to the requirements of the populace through public management. It is the collaboration between government and the public. The tradition of public administration and governance is a long-standing one. According to Shaw (2016: 2), societies recognised that by functioning in collaboration with each other as opposed to individually, they

could achieve much more, resonating with the notion of stakeholder engagement. The aim would be improved health service delivery for the common good of all people.

#### **4. INTERFACE OF DISASTER RISK REDUCTION AND PUBLIC MANAGEMENT**

Van der Waldt (2009: 26-32) maintains that by examining the impacts of good governance, one is able to conduct a value evaluation of the effectiveness of public management in any community. A basic value and principle governing public administration is obtaining feedback from citizens with respect to the responsiveness to their service delivery needs as well as consultation and participation in policy-making. In an effective, efficient and economical public management environment, there would be a risk-free and healthy environment, growing economy and stock market, development of roads and infrastructure, job creation and resilient communities. To this effect, the Constitution of 1996 (Section 195) that deals with the values and principles requires that public administration abide by the following key aspects:

- Promotion and adherence to raised standards of professional ethics;
- Provision of services that is impartial, fair, equitable and bias free;
- Efficient, economic and effective use of resources;
- Responsive to the needs of the citizenry (recognition of stakeholder);
- Encourage participation and consultation in policy-making (interface with key stakeholder); and
- Accountability, transparency and development-oriented.

The aim of the above summary is therefore, to outline focus areas for good risk governance within DRR. All spheres of government, particularly local government, may influence communities in such a manner that could increase the vulnerability of persons to certain risks. From the above, it is apparent that public administration has its *locus* and *focus* on the well-being of communities. A significant inter-relationship exists between DRR, risk governance and public administration, as alluded to in the article.

Botes, Brynard, Fourie and Roux (1997: 257) argue that public administration is related to the inquiry of all fields that influence the present managerial and administrative practices in the government sector. Public Administration correlates with the management division of the public sector, civil service and bureaucracy. It is tasked with the development, enablement, execution, assessment and amendment of government policy, such as the Disaster Management, 2002 (Fox and Meyer, 1995: 105). These authors further contend that the government sector too is being changed, leading to the emergence of what has been termed the New Public Management (NPM).

New Public Management assumed that with the use of private-sector managerial practices over those of traditional public administration techniques, efficiency and effectiveness of public service delivery would spontaneously improve. According to Osborne (2010, 3-5), NPM has been overwhelmingly critiqued for its focus on management within organisations and obsolete private sector methods and systems. The author argues that both public administration and NPM are unable to realise composite aspects of the strategy, delivery and management of current public services. The need arises for a paradigm that extends outside the dichotomy of “administration *versus* management” advancing a comprehensive and integrated approach. This paved the way for New Public Governance (NPG), and is linked to a deliberation and emphasis on risks in public health, as outlined in the subsequent discussion.

New Public Governance has been declared as the ‘alternate’ governance model, as stated by Koppenjan and Koliba (2013:1). According to the authors, classical Public Administration and NPM approaches are less able to manage intricacies confronting the globalising and interactive society compared to good to risk governance. It is therefore, accepted that the development of policy for public health service delivery should move towards multi-sphered and interactive settings involving key stakeholders to minimise health risks.

##### **4.1 Fit between New Public Governance and Good Health Risk Management**

According to Dwivedi (1994:4), NPM has influenced government to embark on legal changes with the then proclamation of the Disaster Management Act, 2002 and public sector officials were required to be results-oriented. Public sector managers have to progressively assess and make required amendments to all

DRR activities, enabling the consideration of risks involved, gauge vulnerabilities and assess capabilities. Public officials, political-office-bearers and government representatives have an imperative role to play in integrating interpretations of risk in general and within health service delivery in particular.

Beyond NPM, the article locates DRR and health service delivery within a New Public Governance (NPG) approach linking the *fit* between health risk management and DRR. In support thereof, Van der Waldt (2009: 25) contends that the theoretical and rational foundations of public management and DRR are in fact cohesive. The Public Management discussion serves to enhance the field of DRR as a contemporary focal point of good risk governance. It is considered a key determinant for quality health service delivery.

Sahadeo and Subban (2017:75) reason that the integration of DRR in public health service planning and delivery are inextricably related to one another. These authors state that during the management of disaster risks, there should be stakeholder collaboration and inter-sectorial participation with collective efforts from all concerned. Various spheres of government, as well as the use of indigenous knowledge in developing 'localised' strategies for effective DRR cannot be over-emphasised. Top-down strategies to operationalise the HFA and DRR efforts have created outcomes at national rather than local levels (Becker, 2012: 226-228), which is contrary to the intention of integrating good governance and advocated through a bottom-up approach. This makes a significant impact on the understanding of health policy implementation and primary health care. The intent is to argue that DRR is an element within policy implementation and health care. Collaborative perspectives to health service delivery can be viewed as a contemporary focus area in government's current strategic plan. Implementation of an all-inclusive integrated disaster risk policy is imperative for good clinical risk governance. Such initiatives would ensure high quality clinical care for those in urgent need of public health services.

## 5. CONCLUSION

The above discussion concerns the contribution of current trends and issues relating to DRR within the particular discourse of NPG. Officials practising within the ambit of DRR and management can attest to a paradigm shift in policy at all echelons of governance that encourage public participation. Recognising that disasters have an impact on communities, as the most vulnerable stakeholder, reinforces the need for considered strategies that are focused on community development, capacity building and collaboration. Creating a self-reliant public health care system to facilitate local-level stakeholder involvement in mitigation and preparedness, espoused by community participation in operational planning, education and training at PHC, district and regional level of health care is fundamental. Adequate collaboration through stakeholder engagement during all phases of DRR and management could ensure continuous health service delivery. Findings reveal that effective integration of DRR through stakeholder engagement and collaboration would ensure health institutions remain safeguarded, health service delivery is uninterrupted, reduction of diseases and death, including augmenting response and recovery. It is submitted, that good risk governance would reduce potential disasters ensuring high quality health service delivery. This article argues for the adoption of multi-faceted DRR in the health sector system that utilises effective stakeholder engagement at all levels to ensure efficiency gains at the local community level.

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## THE ROLE OF E-BOOKS IN ICT INTEGRATION IN SECONDARY SCHOOLS IN SWAZILAND

### Armstrong Simelane

University of KwaZulu-Natal, South Africa  
E-mail: simelane.armstrong@gmail.com  
Orcid ID: 0000-0003-3445-7685

### Irene Govender

University of KwaZulu-Natal, South Africa  
E-mail: govenderi4@ukzn.ac.za  
Orcid ID: 0000-0002-4499-1091

#### ~Abstract~

*The escalating cost of education in Swaziland has led to several students dropping out of school. A closer look at education costs has shown that the second biggest portion of funds go towards purchasing printed paper bound textbooks in hard copy format. However, an alternative could be available in an electronic, paperless, soft copy format at an affordable price. Information and Communication Technology (ICT) has ushered new possibilities for learning using e-books, which in turn contributes to the integration of ICT in teaching and learning. The purpose of this study is to investigate the use of e-Books in secondary schools as perceived by the teachers, and its role in integrating ICT in the education process. To accomplish this, a mixed methods approach was adopted. The study employed questionnaires and focus group discussions for data collection. Principals and teachers of Mathematics, Science and ICT were selected from 44 schools in Swaziland to participate in the study. The reliability of the four questionnaires used ranged from 0.92 to 0.98. Measures of central tendencies and inferential statistics were used to make meaning out of the quantitative data. The analysis revealed six roles of e-books in the integration of ICT. These include the use of e-books for home reading, private reading, functional learning, navigation and browsing, organising information and quick reference. The dynamics of using e-books indicated that teachers felt a need to be trained on how to access, produce, annotate, store, publish and encrypt e-books. The study highlights implications and recommendations for practice.*

**Key Words:** digital classrooms, digital natives, digital education, learning objects, mobile learning, mobile devices

**JEL Classification:** I24 Education and Inequality

### 1. INTRODUCTION

The success of the Education 2030 agenda requires sound policies and planning as well as efficient implementation arrangements (UNESCO, 2017). Governments are looking at strategies on how to reduce the cost of education and are preparing to introduce e-books in the form of digital workbooks and textbooks. In line with UNESCO's (2017) mandate, the government of the kingdom of Eswatini's (Swaziland) 2018 education sector policy, calls for the establishment of public-private partnerships to leverage resources for roll-out of the ICT education agenda. The government hopes to build an ICT education centre which will facilitate the introduction of the Competency-Based Education (CBE) curriculum. With this syllabus, ICT is introduced as a subject as early as in grade 3. The educational need for learners to use e-books cannot be overemphasised (EDSEC, 2018).

E-books have been heralded as the greatest publishing revolution since 1445 (JISC, 2003). E-books come in the form of ebooks, multimedia books, digital books, mobile books, audio books, print-on-demand (POD) books or paperless books. An e-book has the same content as a regular book; however, the content can be read on a personal computer (PC) and is usually delivered via email, therefore saving a lot of costs. E-books usually come in portable document format (PDF) which can be opened in Adobe Acrobat reader or any additional software. The Joint Information System Committee (JISC) defines an e-book as an online version of printed books accessed via the Internet. This definition embodies computer files and electronic content that can be viewed on an e-book reader (JISC, 2003). Landoni (2003) also defines e-books as digital books that can be read on a computer screen and other mobile devices called book readers such as Kindle, iPod and iPad.

## **1.1. Statement of the Problem and Rationale**

Previous research studies (Simelane, 2013) show that the major obstacle in integrating ICT in subject pedagogy is a lack of electronic content, e-books, and syllabi. This study seeks to understand the role of e-books in schools and evaluate their use in the process of ICT integration.

## **1.2 Study research questions**

The study is guided by the following research questions:

1. What role do e-books play in digital education in schools?
2. How can ICT integration be promoted using e-books in schools?

The remaining part of the paper is structured as follows: a brief literature review of e-textbooks and their use in learning is presented, followed by the methodology employed; the analysis is then presented with some discussion. Finally, the findings and conclusion are drawn.

## **2. LITERATURE REVIEW**

### **2.1. Comparison between hardcopy textbooks and e-books**

Compared to hard copies of textbooks used in a school book loan scheme, e-books cannot be vandalised or be found to be hidden, missing or damaged. The content can be updated electronically when there is a new addition. To do this the school pays an affordable subscription fee for digital rights management (DRM) (Renner, 2007; JISC, 2003). This mode of using textbooks is cost - effective and is ideal for distance learning programmes. Learning management systems such as Moodle or Blackboard (Nadolski, O'Neill, Vegt, & Koper, 2007) can be used to share e-books. The use of e-books in distance learning ensures that the campus-based and the distant learner have equal access to learning materials through the faculty website, the college bookstore, or the digital library (Looney & Sheehan, 2001; Poslad, 2009).

The cost saving aspect of e-books compared to printed books can be easily demonstrated. Book publishers can offer an e -book at a discounted price because the school does not pay for printing, binding, warehousing, distribution, shipping, handling, supplier and booksellers' fees (Sawyer, 2001). Apart from the fact that they are priced lower, sometimes even 20% lower, e-books are accessible via download and can therefore be read offline.

Many libraries recognise that e-books offer an ideal opportunity to increase existing collections, while at the same time enhance users' research experiences (Renner, 2007). Furthermore, with dictionary plug-ins and automated text-to-speech technology (Poslad, 2009), the e-book reader software can greatly benefit students whose primary language is not English (Koenraad, 2010). Similarly, students whether local or international, can access digital content in real time from a wide range of countries (Looney & Sheehan, 2001).

The functionality aspect of e-books makes them an attractive resource. The additional features of e-books include multimedia additions, hyperlinking, enhanced user access, access to more content, integration of books and journals on a single platform, greater security, reduced book loss/damage, space savings, better value for money for acquisition budget, cost and time savings, availability of usage statistics from publisher, easier cataloguing and enhanced collection (JISC, 2003; Nariani, 2009).

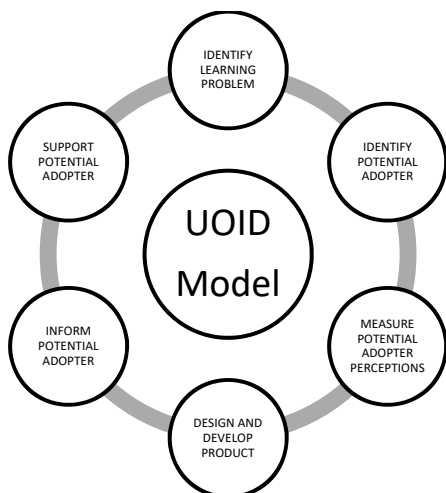
In academic environments e-books are ideal because several social and economic factors make e-books preferable or highly desirable as adjuncts to conventional textbooks and course materials (Grenina, 2012). They also provide a means for no-textbook course adoptions, whether the material is a trade book (non-fiction, biography) or customised content authored by the faculty member or colleagues. This is particularly appealing for upper-division courses, in which textbooks are used less frequently (Looney & Sheehan, 2001). More importantly, the use of e-books not only reduces the costs, but also assists in meeting the need of the digital natives. Govender and Govender (2014) revealed that learner-centred teaching is challenging educators to rethink their teaching methods and perceptions as technologies become available for enhancing teaching and learning.

### **2.2 Theoretical framework**



In identifying the need and use of e-books in the process of ICT integration, the User-Orientated Instructional Development (UOID) model (Figure 1) was identified as a lens to explore the use of e-books.

**Figure – 1: UOID Model**

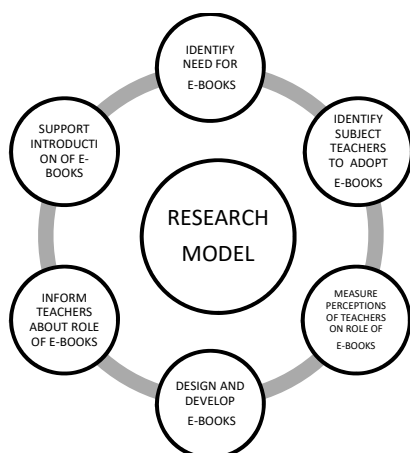


According to Burkman (1987) the UOID model has the following five steps as shown in Figure 1 above:

1. Identify the potential adopter;
2. Measure relevant potential adopter perceptions;
3. Design and develop a user-friendly product;
4. Inform the potential adopter; and
5. Provide post-adoption support.

Applying the UOID model to this study, Figure 2 illustrates the UOID Model as used in the introduction of e-books

**Figure – 2: UOID Research Model**



### 3. RESEARCH METHODOLOGY

#### 3.1 Research design

The study is a descriptive survey employing qualitative and quantitative techniques collectively referred to as mixed methods. In this research, measures of central tendencies, inferential statistics and multi-

dimensional measurement analysis procedures in the form of factor analysis helped in data reduction (Cohen, Manion & Morrison, 2005). Mixed methods were intentionally chosen to maximise the trustworthiness of the data. The mixed-methods data-gathering techniques employed two main tools: the data were gathered from schools through questionnaires – a quantitative data collection instrument, and from three subject panels through focus group discussions (FGDs) – a qualitative data instrument.

### 3.2 Population and sample

The target population was School Principals or Head teachers, who supervised the implementation of the curriculum, liaised with the inspectorate, and monitored the quality of teaching in their schools. Additionally, Mathematics, Science and ICT teachers responsible for the day-to-day implementation of the curriculum at classroom level were part of the population.

44 schools in Swaziland were selected, as shown in Table 1. These schools have functional ICT laboratories and access to the internet.

**Table 1: Teachers by category**

<b>Teacher category</b>	<b>Intended</b>	<b>Actual</b>	<b>Percentage</b>
Principal / Head teachers	44	26	75
Computer / ICT teachers	44	36	91
Mathematics teachers	44	31	89
Science teachers	44	31	84
<b>Totals</b>	<b>176</b>	<b>124</b>	<b>85</b>

### 3.3 Data collection

The self-administered questionnaires were delivered to the research participants. The response rate was 124 (85%) questionnaires. All collected questionnaires were usable. SPSS PC version 20 was used in the analysis of data.

### 3.4 Data Analysis

#### 3.4.1 Quantitative Analysis

Descriptive statistics were used to describe data and inferential statistics in the form of factor analysis was used to analyse the data. The findings were presented mostly in tables, graphs and narrative form. The average reliability for the four questionnaires was 0.96.

Exploratory factor analysis (EFA) confirms the structure of the data and enables selection of the strongest indicators of each construct. When determining which items to select to represent each latent construct, the factor loading was considered along with how well the items related to the overall construct of the latent factor. The factor analysis was conducted using the principal component method of extraction and varimax rotation. Acceptable sample sizes for yielding reliable factors were those with a Kaiser Meyer Olkin (KMO) measure closer to 1. Values of KMO that were accepted were above 0.5 ( $\geq 0.8$  – great, 0.7 – acceptable, 0.6 – mediocre,  $\leq 0.5$  – unacceptable), and a priori level of 0.001 was set in accordance with the Kaiser criterion (Field, 2011).

#### 3.4.2 Qualitative Analysis

Qualitative data analysis looked for common understandings, convictions, consensus and values. The data were coded, classified and categorised into themes. The researcher focused on emerging themes, patterns and key ideas as the data were crystallised.

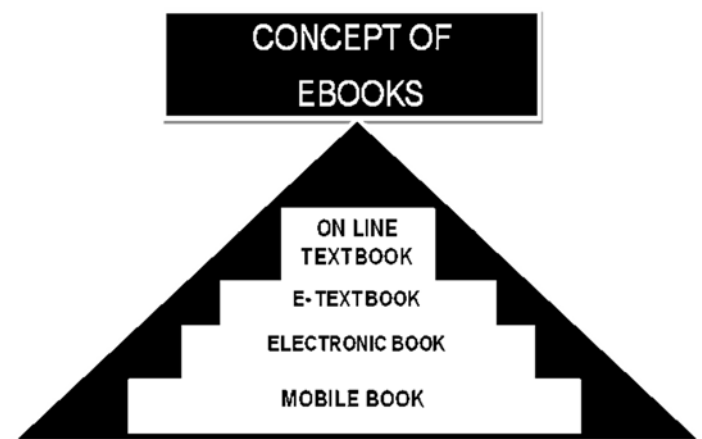
#### 4. RESULTS

The results are presented in a mixed method format, where both the qualitative and quantitative evidence is presented for each theme.

##### 4.1 Conceptualisation of e-books

Figure 3 presents the views of school principals on how schools conceptualise e-books. From the questionnaires and the FGD, the sub-themes have been summarised through a cluster of terms: mobile book, online textbook, e-textbook and online textbook.

Figure-3: The concept of e-books



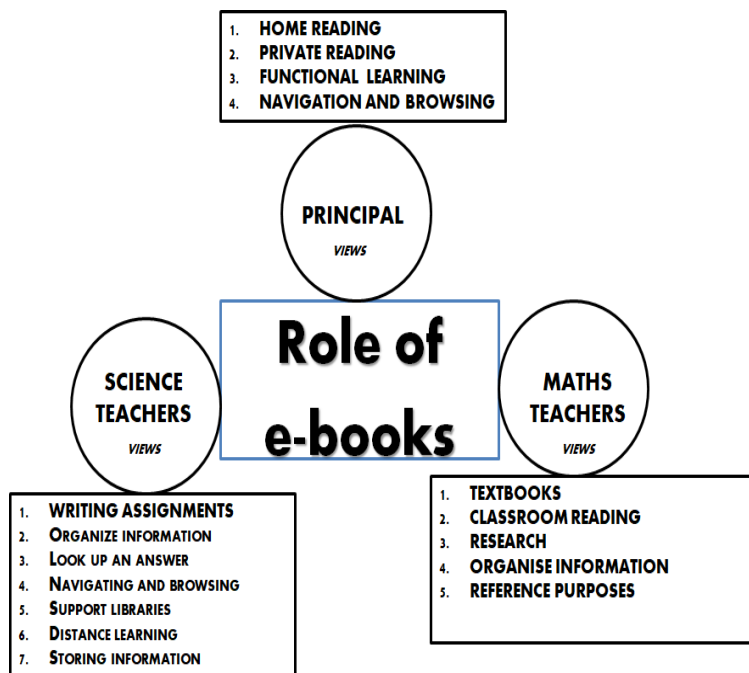
##### 4.2 Role of e-books

During the FGD the major role played by e-books in the school was explained by the teachers as mobile learning:

*"[E-books] should promote the **mobile learning** because if we use e-books it means we could also use a **tablet or laptop** which can lead students to learn anywhere at their own time at their own pace unlike the manual books". (sic)*

Figure 4 gives a comparative analysis of the views of principals and Mathematics and Science teachers on the role of e-books in schools. The key role, according to all groups, covers the aspects of home reading, writing assignments and use of the e-book as a textbook. The principals presented four roles covering home reading, private reading, functional learning, and navigation and browsing of learning content.

**Figure-4: Role of E-books according to the Principals, Mathematics and Science teachers**



The Mathematics teachers presented five major roles played by e-books in Mathematics education: the purpose of the e-book as a textbook, a resource for classroom reading, a place of research, an organiser of information, and as reference material. In science education there are five major roles played by the e-book: the purpose of writing assignments, organising information, looking up an answer, navigating and browsing content, and the three minor roles being supporting libraries, distance learning and storing information.

In support of these findings, the following excerpts from the FGD regarding the role of e-books is presented *Every teacher always has their own notes. They **add on textbooks** so if they have that one copy which is theirs which any students have access to, the teacher can add notes which students can **read at their own pace**.*

*To add on top of the effectiveness and clarity which may be an interest they **spend more time in learning**. Teachers could use e-books to **research information**.*

*The overall usage of e-book in classrooms to help children **broaden their knowledge**.*

*After lessons teachers could **add comments in e-books** that can be accessed by everyone.*

*One e-book can be **shared** by multiple learners.*

***E-books can be used in any subject.***

Table 2 presents the six roles of e-books. The principals, and teachers of the different subjects agreed on the six crosscutting roles played by e-books in schools: Home reading, Private reading, Functional learning, Navigation and browsing, Organising information and Reference purposes.

**Table 2: Six roles of E-books**

Role of E-books	Description of construct	Variables	Loading components yielded labels	Correlations varimax (KMO) BToS	Eigen Values	Mean / SD	Final response result
Home reading (textbook / writing assignments)	Using E-books to do homework	2	<b>Home learning</b>	0.900 (0.6)**	2	3.8 / 1.0	<b>Slightly agree</b>
Private reading (research)	Reading to get more understanding	3	<b>Private learning</b>	0.896 (0.5)**	2	4.4 / 0.8	<b>Slightly agree</b>
Functional learning (classroom reading)	Reading to learn	3	<b>Classroom learning</b>	0.867 (0.6)**	2	4.1 / 1.0	<b>Slightly agree</b>
Navigation and browsing	Moving from page to page	3	<b>Quick learning</b>	0.851 (0.6)	2	4.0 / 1.1	<b>Slightly agree</b>
Organise information	E-book used as portable document file	3	<b>Summary learning</b>	0.826 (0.6)	2	4.1 / 0.9	<b>Slightly agree</b>
Reference purposes (look up answer)	Usage of E-book to get relevant information	9	<b>Mobile learning</b>	0.835 (0.7)**		4.2 / 0.9	<b>Slightly agree</b>

\* $p < 0.001$  these correlated values were considered adequate for PCA.

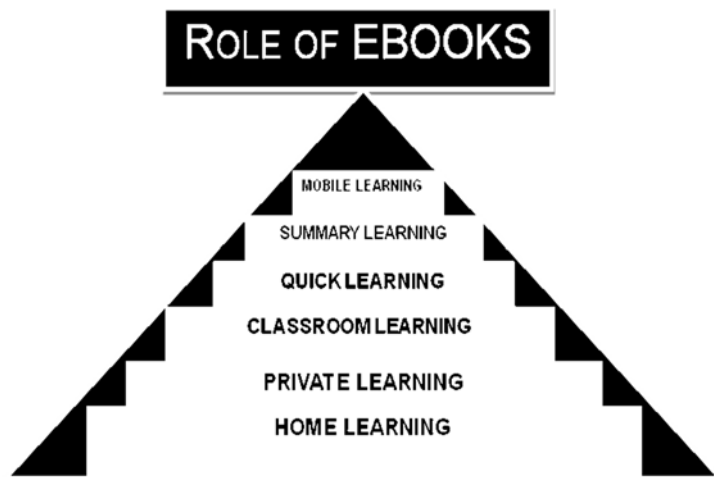
\*\* Adequate

In summary, teachers believe that e-books can be used in any subject. To make available the information they add on textbooks as comments for learners which they can read at their own pace. In this way, students may spend more time learning and researching information to broaden their knowledge, while sharing the e-book to multiple learners. The issue of using e-books to prepare for lessons was also highlighted by the teachers:

*“Teachers could use e-books through tablets or laptops for **preparations**”*

Figure 5 summarises the six constructs to explain the role played by e-books to underline the paradigm shift from teaching to learning; these constructs describe learning as an exercise that can happen at home, privately, in the classroom, quickly, summarily and in a mobile way using the e-book.

**Figure-5: The role of e-books**



The second research question is answered by the overall discussion in the presentation of the results. E-books play a key role in ICT integration in teaching. Teachers can focus on the roles of e-books to enhance ICT integration as indicated in the recommendations.

## **CONCLUSIONS**

The study set out to determine the role e-books can play in the digital landscape of education and to enhance ICT integration in teaching.

The research has identified six roles of e-books in education, namely: home-reading, private reading, functional learning, navigation and browsing, organising information and reference purposes.

The study further established the need to digitise the recommended textbooks to produce e-books. Plain text was the most preferred format compared to the usual PDF. This makes the use of a scanner more important than a printer in digital classrooms.

## **6. IMPLICATIONS AND RECOMMENDATIONS FOR PRACTICE**

The findings of this study have a number of important implications for practice. The current high school textbooks should be digitised to produce e-books and publishers should make electronic copies of such books available to teachers and students.

The dynamics of using e-books suggest that teachers should be trained on how to access, produce, annotate, store, publish and encrypt e-books.

There is a need for the establishment of schools' media centres, ICT education centres and a digital education hub to recycle and distribute ICTs to schools.

The Kingdom of Eswatini in Swaziland should establish an ICT education centre to design, mobilise and develop digital educational resources and distribute these learning materials to enable teachers to integrate ICT into subject teaching.

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## THE EFFECT OF INTEGRATED REPORTING ON COMPANIES' FINANCIAL INDICATORS: A DOCUMENT ANALYSIS

**Anneke Maré Moolman**

North-West University

E-mail: Anneke.Moolman@nwu.ac.za

Orcid ID: 0000-0002-4881-0307

**Anina Marx**

North-West University

E-mail: Anina.Marx@nwu.ac.za

Orcid ID: 0000-0001-8085-4521

### ~Abstract~

*In 2010, the Johannesburg Stock Exchange became the first exchange globally that required listed companies to utilise an integrated report. Subsequently, integrated reporting (IR) has become increasingly popular for use in companies. IR communicates to a wide range of stakeholders on the value-adding activities which a company follows. IR provides stakeholders with thorough financial and non-financial information. However, preparing such a report, pressurises companies' resources, questioning the value-add objective of IR. The present study aimed to determine the effect of IR on companies' financial indicators. A systematic literature review identified 13 relevant empirical studies, on which a documentary analysis was done.*

*The findings showed that IR enhances companies' market value by increasing expected future cash flows. Earnings per share, and subsequently, share liquidity, were also found to improve. Analysts' forecast accuracy increased due to an improved information environment. As a result, the benefits of IR may exceed the related costs. This study contributes to the International Integrated Reporting Committee by providing evidence that their published International Integrated Reporting Framework indeed adds value.*

**Key Words:** Integrated Reporting, Financial Indicators, Financial Ratios, Value Add, International Integrated Reporting Framework (IIRF)

**JEL Classification:** M49

### 1. INTRODUCTION

In 2009, a global financial crisis ensued after which the Reporting Financial Council in the United Kingdom expressed the concern that reporting practices, being overly complex and irrelevant, fail to fulfil the demands of stakeholders (Financial Reporting Council, 2009, 2011). Former stand-alone reports became difficult to comprehend as companies attempted to meet the continually changing requirements of relevant stakeholders (De Villiers, Rinaldi, & Unerman, 2014).

From their side, stakeholders tend to question the reliability and importance of annual reports subsequent to corporate collapses (Integrated Reporting Committee of South Africa, 2011). Among 45 countries included in the Global Bankruptcy Report, 390 674 entities failed in 2016 alone (Dun & Bradstreet Worldwide Network, 2017). Traditional reporting practices is deemed insufficient as stakeholders seek both future-oriented and holistic information to assess the value of a company accurately (Integrated Reporting Committee of South Africa, 2011; Perego, Kennedy, & Whiteman, 2016).

Drastic changes to reporting practices were necessary since stakeholders' demands increased while company's resources decreased (Rensburg & Botha, 2014). According to the International Integrated Reporting Council (IIRC), IR addresses the requirements stakeholders pose, through supplying "the material information about an organisation's strategy, governance, performance and prospects in a way that reflects the commercial, social and environmental context within which it operates" (IIRC, 2011). In 2010, the Johannesburg Stock Exchange (JSE) therefore became the first exchange globally that required listed companies to utilise integrated reporting (IR), or to clarify their choice in cases where they failed to do so (JSE, 2017).



## 2. INTEGRATED REPORTING

The third King Report on Governance for South Africa (IODSA, 2009) introduced IR as a “holistic and integrated representation of the company’s performance in terms of both its finance and its sustainability”. The Institute of Directors in Southern Africa (IODSA) encourages the idea of considering the financial well-being of a company, while being cognisant of its impact on the neighbouring community (IODSA, 2009). The integrated report thus presents a company’s reports, including the annual, corporate governance and sustainability reports, into a single, all-inclusive unit (De Villiers et al., 2014). IR strives to combine adequate material information to present concisely how a company creates value and demonstrates leadership (IIRC, 2011). King IV more recently described IR as “a process founded on integrated thinking that results in a periodic integrated report by an organisation about value creation over time” (IODSA, 2016).

The International Integrated Reporting Framework (IIRF) provides guidance to companies on preparing and presenting a rigorous IR. The IIRF also stresses that the key goal of IR is demonstrating to the entire stakeholder group how a company creates value (IIRC, 2013). In this regard, the IIRF lists six capitals that must be factored in when companies prepare an integrated report. These capitals are: financial, manufactured, intellectual, human, social and relationship, and natural. The capitals entail “resources and relationships used and affected by an organisation” (IIRC, 2013).

The objective of the present study was to determine the effect of IR on companies’ financial indicators. The focus on the *financial* capital is due to investors and analysts’ evaluation of investments (Menaje & Placido, 2012). The financial well-being of a company affects various stakeholders such as employees (internally) through salaries, and creditors (externally) through the pay back of debt (Chan, Chan, Jegadeesh, & Lakonishok, 2001).

The financial capital is defined as “the pool of funds that is available to an organisation for use in the production of goods or the provision of services obtained through financing, such as debt, equity or grants, or generated” (IIRC, 2013). It is therefore clear that these funds include existing cash reserves, financing, and profits generated by the company.

However, interviews by Chaidali and Jones (2017) with integrated report preparers indicate that IR pressurises resources due to the preparation and related costs. The costs involved in preparing an IR may be internal (e.g. training, data gathering and review as well as preparing the report), and external (e.g. consultation costs for writing and designing the report, and external verification) (Global Reporting Initiative, 2014). The question arises therefore whether the benefits of IR exceed its costs.

## 3. PROBLEM STATEMENT

IR is the latest revolution in companies’ reporting practices. Its aim is to provide thorough yet concise and relevant information to stakeholders on ways which companies create value. The preparation of an integrated report, however, strains companies’ financial resources. Since the financial capital is important to stakeholders, it is vital to determine whether IR adds value to a company’s financial indicators. To date several studies have been conducted on the effect of IR on companies’ financial ratios. However, the mentioned studies individually investigated only a few financial ratios, each with differing results in certain cases. Thus, the present study sought to provide comprehensive evidence of the effect IR has on companies’ financial indicators.

## 4. RESEARCH METHODOLOGY

Being descriptive in nature due to seeking to describe the effect of IR on companies’ financial indicators, the present study followed a qualitative approach (Brynard & Hanekom, 2006). The focus was on interpreting information (Zikmund, Babin, Carr, & Griffin, 2013) to gain a proper understanding of the research topic (Creswell, 2012). By following the approach of a systematic literature review, a Boolean search was conducted through Google Scholar on 26 June 2019. Google Scholar was deemed appropriate as it contains sufficient academic resources on the topic. The search focused on specific articles for the period 2014 onwards, seeing that the IIRF was published by the IIRC in December 2013 (IIRC, 2013) – the first formalised guidance on IR. Although certain analysed articles contained data prior to 2014, these were still considered relevant. The reason is that IR as a process commenced years before the IIRC formalised it. The King Report on Governance for South Africa 2009 (IODSA, 2009) discussed IR

throughout the report, at that time already mandating JSE-listed entities to begin a process of IR<sup>14</sup>, even though a formalised framework was not yet available.

A systematic literature review was deemed appropriate for the present study, seeing that it enabled the authors to collate the empirical evidence. By applying this reliable and verifiable methodology, the research question could be addressed adequately (Kitchenham, 2004). The search focused on articles with titles containing the phrase “integrated report”, delivering 119 hits. These articles were scrutinised further based on their titles. This was done to ensure the articles are linked to empirical evidence of benefits that IR provides to financial indicators of companies.

In light of the numerous alternative keywords, the authors decided against excluding articles based on further key words in the advanced search option. Instead they browsed the articles to determine relevance. Key words such as “value”, “financial indicators”, or “financial ratios” were considered, in addition to specific financial indicators such as “firm value”, “benefit” and “market reactions”. In addition, only cited articles were included, thus, adding to the prominence of the study. This filtering process delivered four articles.

A further search focused on the phrase “integrated reporting” in the title, which delivered 1 330 hits. These articles were once again scrutinised by the authors to identify articles relevant to the study. In both searches, where the title was considered vague, the authors studied the abstract to determine the relevance of the article. Again, only cited articles were included in the search. This filtering process delivered 13 additional articles. Of these 13, the full texts of only nine studies were available<sup>15</sup>.

The resulting 13 empirical studies from the two searches were therefore selected for a qualitative documentary analysis. Due to the subjective nature of the mentioned documentary analysis, the paradigm of interpretivism informed the research (Kelly, Dowling, & Millar, 2018). Purposive sampling was used since the selected articles were included based on its characteristics explained in the previous paragraph (Etikan, Musa, & Alkassim, 2016). Data must be selected purposefully for a qualitative study, to provide the maximum relevant information on the research topic (Merriam & Grenier, 2019).

## **5. FINDINGS AND RESULTS**

The key findings of the documentary analysis are collated in Table 1, and discussed thereafter.

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<sup>14</sup> As part of the listing requirements, companies listed on the JSE are required to comply with the King Code of Governance for South Africa (Giles, 2017; JSE, 2011).

<sup>15</sup> The authors were unable to obtain the following four articles as full texts: Cortesi and Vena (2017); De Graaff and Steens (2015); Martinez (2015); and Solomon, Maroun, and ACCA (2014).

**Table 1: Previous Empirical Studies Conducted on the Effect of IR on Financial Indicators**

Study number	Author	Data	Key findings	Summarised association between IR and financial indicators (+) positive association (x) weak, inconsistent or no association (-) negative association
1	Baboukardos and Rimmel (2016)	<b>South Africa:</b> 206 year-end observations of JSE- listed companies Period 2008 to 2013	The use of IR results in a notable improvement of the earnings' valuation coefficient. Earnings per share is measured as earnings before interest and taxation scaled over number of common shares. In addition, IR improved the value relevance of earnings, but not of net assets.	<ul style="list-style-type: none"> <li>• Earnings per share (+)</li> </ul>
2	Barth, Cahan, Chen, and Venter (2016)	<b>South Africa:</b> Top 100 JSE- listed companies Period 2011 to 2013	Share liquidity (inverse of bid-ask spread), firm value (measured using Tobin's Q) and expected future cash flows tend to increase with improved IR quality. Cost of capital has a feeble and unpredictable association with IR quality.	<ul style="list-style-type: none"> <li>• Share liquidity (+)</li> <li>• Firm value (+)</li> <li>• Expected future cash flows (+)</li> <li>• Cost of equity capital (x)</li> </ul>
3	Barth, Cahan, Chen, and Venter (2017)	<b>South Africa:</b> Top 100 JSE- listed companies Period 2011 to 2014	Positive association between IR quality and liquidity (measured using bid-ask spread, which has a negative relationship with IR quality). No evidence of a relation between IR quality and cost of capital. A positive association between IR quality and expected future cash flows was noted (using one-year-ahead estimated stock prices). IR quality is not associated with increased analysed accuracy of target-price forecasts (using one-year-ahead estimated stock prices). A positive relation exists between IR quality and an entity's value (using Tobin's Q). Bid-ask spread, an inverse measure of stock liquidity, displayed larger decreases as IR quality improved.	<ul style="list-style-type: none"> <li>• Liquidity (+)</li> <li>• Cost of equity capital (x)</li> <li>• Expected future cash flows (+)</li> <li>• Analyst target price forecast accuracy (x)</li> <li>• Firm value (+)</li> <li>• Bid-ask spread (-)</li> </ul>

Study number	Author	Data	Key findings	Summarised association between IR and financial indicators (+) positive association (x) weak, inconsistent or no association (-) negative association
4	Bernardi and Stark (2018)	<b>South Africa:</b> 41 JSE-listed companies Period 2008 to 2012	Introduction of IR has a strengthened association with forecast accuracy, which is mainly caused by environmental disclosure.	• Analyst forecast accuracy (+)
5	Churet and Eccles (2014)	<b>Worldwide:</b> 2 000 Companies from RobecoSAM's database. Period 2011 to 2012	There is no certain proof that IR correlates with an improved return on invested capital.	• Return on equity (x)
6	Cosma, Soana, and Venturelli (2018)	<b>South-Africa:</b> 76 JSE-listed companies Period 2013 to 2016	Positive correlation between IR quality and firm market value.	• Firm market value (+)
7	Lai, Melloni, and Stacchezzini (2014)	<b>Worldwide:</b> 52 IIRC pilot programme adopters compared to 52 similar non-adopters Period 2009 to 2011	Size (measured by total assets) and profitability (return on assets) did improve in companies that formed part of the IIRC pilot programme. However, compared to non-adopters of environmental, social and governance (ESG) disclosure, none of these financial indicators displayed a significant relationship. Leverage (debt to equity ratio) was associated negatively with IR, but again the relationship was not significant. Leverage was, however, found significant (negatively) with regard to years two and three of the data set when conducting a sensitivity test. The conclusion was that the sample groups are similar when comparing leverage, profitability, and total assets.	• Total assets (x) • Return on assets (x) • Leverage (x)
8	Lee and Yeo (2016)	<b>South Africa:</b> 822 year-end observations	Firm valuation was measured by market value of equity plus book value of total liabilities divided by	• Firm value (+)

Study number	Author	Data	Key findings	Summarised association between IR and financial indicators (+) positive association (x) weak, inconsistent or no association (-) negative association
		of JSE-listed companies Period 2010 to 2013	total assets using Tobin's Q, and was also tested as abnormal stock returns. Both methods of calculating firm valuation increased with improved IR disclosures. Subsequent profitability (measured using return on assets – net income over total assets) also increased with improved IR disclosures. Companies that utilise IR therefore display improved share market value and accounting performance. The positive association with IR increased in more complex organisations and those requiring increased external financing. This indicates that IR is an applicable tool to improve communication between companies and financing providers.	<ul style="list-style-type: none"> <li>Return on assets (+)</li> </ul>
9	Maniora (2017)	<b>Worldwide:</b> 200 - 300 companies Period 2002 to 2011	Leverage's relationship with IR was found only significantly negative when compared with ESG reporting as part of an annual report (at the 1% level). In all other cases, no significant relationship was found. Companies that apply IR, display improved ESG and economic performance. There is significant proof that IR improves performance, compared to companies that do not report ESG.	<ul style="list-style-type: none"> <li>Leverage (total debt divided by total assets) (x)</li> <li>Share price over book value of equity per share at year-end (market-to-book ratio of equity) (+)</li> <li>Return on assets (income excluding abnormal items over total assets) (+)</li> <li>Market value of equity (+)</li> </ul>
10	Martinez (2016)	<b>Worldwide:</b> 96 companies that voluntarily	Market value of equity (measured by both market-to-book ratio of total assets –Tobin's Q – as well as market-to-book ratio of total	<ul style="list-style-type: none"> <li>Market value of equity (+)</li> <li>Expected future cash flows (+)</li> </ul>

Study number	Author	Data	Key findings	Summarised association between IR and financial indicators (+) positive association (x) weak, inconsistent or no association (-) negative association
		adopted IR were compared to 96 companies that performed ESG disclosures Period 2011 and 2015	equity), and expected future cash flows are associated positively with IR. There is no significant association with bid-ask spread and implicit cost of capital. Investors' expectations of a company's future cash flows improved with IR.	<ul style="list-style-type: none"> <li>• Bid-ask spread (x)</li> <li>• Cost of capital (x)</li> </ul>
11	Mervelskemper and Streit (2017)	<b>Worldwide:</b> 852 company-year observations Period 2010 to 2014	Implementing IR may improve a company's market valuation significantly through improved ESG performance.	<ul style="list-style-type: none"> <li>• Market value of equity (+)</li> </ul>
12	Rambe and Mangara (2016)	<b>South Africa:</b> Top 106 JSE-listed companies Year-ends 2014	Share prices tend to increase with a higher IR rating.	<ul style="list-style-type: none"> <li>• Share price (+)</li> </ul>
13	Zhou, Simnett, and Green (2017)	<b>South Africa:</b> 433 year-end observations of JSE-listed companies Period 2009 to 2012	Analyst forecast error and spread decreases as a company aligns more with the IIRF. Selected companies' cost of equity capital decreases as the company increases alignment with the IIRF.	<ul style="list-style-type: none"> <li>• Analyst forecast accuracy (+)</li> <li>• Cost of equity capital (+)</li> </ul>

### 5.1. Findings related to market value

The financial indicator delivering the most empirical evidence, was found to be market value of equity (firm value), which improved when companies report in an integrated manner (Barth et al., 2016, 2017; Cosma et al., 2017; Lee & Yeo, 2016; Maniora, 2017; Martinez, 2016; Mervelskemper & Streit, 2017; Rambe & Mangara, 2016). Market-to-book ratio of equity presented a similar positive association with IR (Martinez, 2016). The increase in market value is driven mainly by investors' expectations of increased future cash flows. The reason is investors' deepened understanding of the company's strategy and resources, as well as improved internal decisions by the managers (Barth et al., 2016). This outcome is in line with the empirical findings of expected future cash flows, which consistently display a positive increase where companies utilise IR (Barth et al., 2016, 2017; Martinez, 2016).

Both empirical studies, which investigated the link between share liquidity and IR, reported a positive association (Barth et al., 2016, 2017). Considering the increase in expected future cash flows as

well as earnings per share that increases with IR (section 5.3), shares would be more marketable coupled with increased liquidity.

Bid-ask spread's relationship with IR was proved negative according to Barth et al. (2017), although Martinez (2016) found no significant link. The inconsistencies may be due to the different approaches these studies followed. Barth et al. (2017) made use of only JSE-listed companies mandated to apply IR, whereas Martinez (2016) compared worldwide voluntary adopters of IR to a control group (i.e. companies that made ESG disclosures). Due to the choice of control group, the findings of Martinez (2016) are seemingly more robust.

However, it was also found that most of the multinational firms which adopted IR voluntarily, already had a thorough reporting environment. As a result, the effect of bid-ask spread after adopting IR would not be expected to be that significant (Martinez, 2016). Thus, the finding of Barth et al. (2017) on the negative relationship can be considered reasonable. Bid-ask spread is the inverse of share liquidity (Barth et al., 2016, 2017), therefore such a negative relationship is expected. Due to the increase in the marketability of the shares, the spread for the bid-ask share prices' may have a wider range.

Stakeholders' perceptions of companies are thus influenced by IR. This is due to improved (clear and thorough, yet concise) disclosure of companies' value-added activities, not only for the short term, but also for the medium and long term.

## **5.2. Findings related to capital structure and size**

Empirical research conducted by Barth et al. (2016; 2017), displayed a weak or no association with IR and cost of equity capital, while Zhou et al. (2017) found the relationship to be positive. Although these findings seem inconsistent, the sample in the studies by Barth et al. (2016; 2017) comprised the top 100 JSE-listed companies, which attract significant analyst attention. Conversely, the sample by Zhou et al. (2017) contained entities with a low following by analysts. The findings of these studies may thus be considered as consistent (Barth et al., 2017).

Cost of capital also did not indicate a connection with IR when voluntary adopters of IR were compared to companies making ESG disclosures. This finding shows that the origin of a reduced cost of capital is not the type of report that companies present; it is rather a change in level of disclosure (Martinez, 2016).

Similarly, leverage did not present any significant relationship with IR in all the scrutinised empirical studies (Baboukardos & Rimmel, 2016; Lai et al., 2014; Maniora, 2017). Also, it was found that IR has no significant effect on total assets (representing companies' size) (Baboukardos & Rimmel, 2016; Lai et al., 2014). As a result, companies using IR did not experience a change in their capital structure. This finding may indicate that IR does not necessarily adjust companies' strategies; instead its focus is communicating those strategies to stakeholders. Size of firms would also not be influenced directly by whether a company reports in an integrated manner or not.

## **5.3. Findings related to profitability**

Two studies (Lai et al., 2014; Maniora, 2017) found no relationship between return on assets and IR, which is understandable since return on assets is a measure for profitability and IR's intention is to create value in the long term, not in the current year. The study of Lee and Yeo (2016) showed a positive correlation between IR and return on assets. Nevertheless, these scholars stated that the improvement is part of subsequent profitability, which is in line with the other two studies' finding in this regard. Likewise, return on equity did not show a significant relationship with IR (Baboukardos & Rimmel, 2016; Churet & Eccles, 2014).

However, earnings per share is considered to be improved by IR (Baboukardos & Rimmel, 2016). Although income per se may not have improved through IR, earnings per share may have increased due to improved internal decision making when managing companies' operational expenses. Such improvement could generate increased earnings before interest and taxation.

## **5.4. Findings related to analysts' forecast accuracy**

Bernardi and Stark (2018) found that as ESG disclosure increases, the analysts make more accurate forecasts. This connects with IR in the sense that the idea of IR is to merge ESG disclosure and financial performance. It is, however, significant that the accuracy of analysts' forecasts did not

increase before introducing the IR regime, even for companies with proper ESG disclosure. The improvement in analysts' forecast accuracy was noted only after applying IR. This links the mentioned improvement directly to IR and not only to improved disclosures (Bernardi & Stark, 2018). This finding concurs with Zhou et al. (2017) who maintain that analysts' forecast accuracy improved as their IR conformed to the guidelines of the IIRF.

The above-mentioned findings concur with the idea that IR provides useful information for stakeholders, including analysts, on which to base their decisions. Baboukardos and Rimmel (2016) also found a positive association between the value relevance of earnings and IR. Conversely, Barth et al. (2017) found no significant effect in the relation between IR quality and the accuracy of analysts' forecasts. The reason was that this was not considered to be a real effect; rather a capital market effect.

## 6. CONCLUSION

IR has become companies' latest reporting practice, requiring them to incorporate both financial and non-financial information in a pure, detailed, yet brief manner. Where financial statements contain historic information, the focus of IR is to communicate the effects that companies have across IR's six capitals over the short medium and long term.

However, to prepare an IR involves substantial costs, a proviso which questions the value-add idea behind this strategy. Evidence from the present study does, however, suggest that the benefits from IR, stemming from improved *financial* indicators, may exceed the associated costs.

Firstly, IR has a certain positive effect on companies' market value, particularly through increased expected future cash flows. Due to increased expected future cash flows and as earnings per share, share liquidity also improves. Secondly, the accuracy of analysts' forecasting improves by using IR. This finding concurs with the King IV Report on Governance for South Africa and the beliefs of the IIRF that IR improves the value relevance of corporate reporting (IIRC, 2013; IODSA, 2016). Thirdly, findings do, however, indicate that IR has no effect on immediate profitability, the capital structure or size of companies. This result is in line with the aim of creating sustainable businesses over the longer term.

The present study was limited by the empirical articles that were scrutinised. Findings may have differed if other articles were included. Furthermore, by nature of this study, the results depend on the authors' interpretation. Further studies may, for instance, investigate a possible effect between IR and the profitability, capital structure and size of entities over the long term.

This study serves as proof to preparers of integrated reports that the benefits gained by using such reports may exceed the cost of preparation. In addition, the findings provide evidence to the International Integrated Reporting Committee that IR as strategy does indeed add value.

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## AN ANALYSIS OF CRIME AND ECONOMIC DEVELOPMENT IN THE GAUTENG PROVINCE: A TIME SERIES ANALYSIS

**Rufaro Garidzirai**

Walter Sisulu University, School of Management Science

E-mail: rgaridzirai@wsu.ac.za

Orcid ID: 0000-0002-6375-2491

**Stephen Zhanje**

University of Limpopo, School of Economics and Management

E-mail: stephen.zhanje@ul.ac.za

Orcid ID: 0000-0003-4320-8453

### ~Abstract~

*South Africa is ranked among the countries with the highest rate of crime on the continent. This epidemic emanated before the country attained its independence, and it still persists. This trend is especially prevalent in the Gauteng Province since it is the economic harbour of Africa. It is important to note that the Gauteng Province has the ability and capacity to develop if crime is managed. Equally, should crime be poorly managed an unfavourable impact on development in the region will ensue. To this end, several studies on crime and economic growth have been conducted. However, only a few studies have conducted a statistical analysis on crime and development thus far. This study, therefore, explores the effects of crime on development with the purpose of contributing to the scant literature on crime and economic development on the continent. To achieve this aim, the study designed a development measure to measure development in the region. It further used the crimes recorded by the South African Police Services committed in Gauteng as a proxy for crime while education was used as a control variable. The study additionally employed an autoregressive distributed lag model from 1990 to 2018 and found that there is an inverse relationship between crime and economic development. On the other hand, education was found to be positively related to economic development. Given the results, the study suggests that the government of South Africa should strengthen the justice system and security to minimise crime. Since education promotes development, the government should educate the Gauteng community about the consequences of crime and conduct some workshops that empower the unemployed.*

**Key Words:** Crime, development, Autoregressive Distributed Lag, Gauteng

**JEL Classification:** O18, O20, R58

### 1. Introduction

African economies have made some good strides in terms of economic growth (Ospina, 2018). Masie, Turner, Harison and Velde (2018) share the notion that Africa's economy is the second fastest-growing among the continents in the world with an average growth of 5 percent every year. Despite these good strides, the continent still struggles with socioeconomic challenges such as poverty, inequality and unemployment. It is an indisputable fact that countries with poverty, unemployment and inequality are associated with high levels of crime. South Africa is not immune to epidemics since it is the economic harbour of Africa. The government has made efforts to reduce crime; however, the crime rate keeps on increasing daily. For example, the South African Police Services (2018) states that crime increased by 7 percent from 2017 to 2018 and it is expected to increase in the upcoming years. It is crucial to note that the increase in crime rates is accompanied by a decrease in the GDP per capita which compromises economic development. The general consensus is that crime hampers both foreign and domestic investments (Adekoya & Razak, 2017). Few investors would be willing to come to a crime-ridden country and this reduces the economic growth, employment and income, and eventually negatively influences economic development.

Researchers have investigated why people engage in crime and found two schools of thoughts: positive and classical (Mulok, Kagid, Lily & Asid, 2016). The positive school of thought shares the notion that people engage in criminal activities due to a lack of economic development (Mulok et al., 2016). Thus, when the economy is bad, some people tend to rob, engage in financial theft, prostitution and corruption to better their standards of living. Some of the factors that lead to crime under the positive school of thought include unemployment, poverty, stagnant economic growth and inequality (Hemmens, 2010). On the other hand, the classical school of thought subscribes to the view that some people enjoy committing crime when there is economic development (Kathena & Sheefeni, 2017). In other words, the better the economy, the more crime is committed. People engage in crime for entertainment purposes and not for economic or survival reasons. However, this would end up influencing economic development negatively.

There are a significant number of studies that have been conducted on economic growth, macroeconomic variables and crime (Adekoya & Razak, 2017; Ahmad, Ali & Ahmad, 2014; Kathena & Sheefeni, 2017; Kumar, 2013). The majority of these researchers have found that people engage in crime due to a lack of economic development. Thus, the results of their studies are more substitutive in nature. They found that crime influences economic growth in a negative way. As a result, crime continues to be a barrier to economic growth. Therefore, the motivation of this study emanates from scarce studies undertaken on crime and economic development. The studies most available are more inclined to economic growth, inflation, unemployment, stock market and crime. Hence, it is of paramount importance to investigate the relationship between crime and economic growth because crime has been on the surge in South Africa particularly in the Gauteng Province. The South African Police Services (2018) reported that crime increased by 10 percent in the Gauteng province. As a result, no substantial economic growth or development has been experienced. Another key motivation of the study is the unique variable used to measure economic development. This study has designed an economic development measure and tests the new measure by investigating the relationship between crime and economic growth. The main question to be answered in this study is; does crime promote economic development in the Gauteng Province?

## **2. Literature Review**

Crime is commonly treated as a barrier to economic development. Despite that, there are reasons people engage in crime. For example, Roman (2013) subscribes to two theoretical views on why people engage in crime and economic development. The first view is that a lack of development leads to crime. This view argues that unemployment, poverty and inequality create a bad economy. As a result, a bad economy creates bad people where individuals engage in criminal activities such as prostitution, theft, corruption and robbery to mention but a few. In other words, people engage in crime for survival purposes. The other view is that people engage in crime for the fun of it (Hemmens, 2010). Thus, people inherit crime from their families and from friends through peer pressure. Hemmens (2010) and Roman (2013) share the same sentiments that crime affects individuals, societies and economies. If not prevented, it negatively affects economic growth which in turn negatively affects economic development.

Thompson (2017) outlines many reasons underdeveloped countries take time to develop. One of the core reasons is crime, and he further explained this narrative using the Rostow model. Crime is mainly practiced in the Rostow stage 1: traditional society because there are little or no resources to invest in the community. The lack of resources increases the poverty rate and unemployment that leads to robberies, prostitution and theft. On the other hand, if the resources are added in an economy using financial aid, such resources will be abused by officials. Thus, crime moves from down-up to up-down in the form of corruption (Fisher, 1987). Officials tend to personalise financial aid, and this hampers economic development. It is also crucial to note that economic development is promoted in stage three of the Rostow model: the take-off and maturity stage. The minimum crime allows the economy to move beyond the subsistence economy to a self-wealth generating economy. The drive to the maturity stage will further ensure an increase in economic growth with fewer socio-economic problems such as an increase in population until the economic growth is translated into economic

development. The theory experts further argue that education is one of the significant factors that leads to economic development (Fisher, 1987).

An analysis of crime and economic development cannot be secluded from the erstwhile works. However, there is a limited amount of literature that directly connects economic development and crime. The closest link is economic growth, macroeconomic variables and crime (Adekoya and Razak, 2017; Ahmad, Ali and Ahmad, 2014; Detetto and Otranto, 2010; Gillani, Rehman and Gill, 2009; Kathena and Sheefeni, 2017). For instance, Adekoya and Razak (2017) investigated the dynamic relationship between economic growth and crime in Nigeria. The study used time series analysis, specifically the autoregressive distributed lag, from 1970 to 2013. The authors found that crime is inversely related to economic growth. They further implied that crime wastes resources through the state paying the costs of prosecution. This waste of resources further hinders economic growth.

Exploring the same line, Kathena and Sheefeni (2017) investigated the relationship between crime and economic growth in Namibia. The study used the Johansen Cointegration analysis from 2000 to 2015. Crime rate was used as a proxy of crime while GDP at current prices was used to measure economic growth. The study revealed a negative long-run relationship between crime and economic growth. Ojog (2014) and Ahmad, Ali and Ahmad (2014) also carried out the same study by Kathena and Sheefeni (2017). All these authors found the same results, though their studies were different in terms of geographical location, type of data, time period and methodology used in their studies.

There are other researchers who diverted their interest from economic growth and put their footprint on crime and macroeconomic variables such as inflation, stock market, poverty, unemployment and investment. For instance, Gillani, Rehman and Gill (2009) examined the relationship among unemployment, poverty, inflation and crime nexus in Pakistan using the Johansen cointegration and Granger causality tests. The study showed a long-run relationship among these variables. Of interest is that poverty, inflation and unemployment were positively related to crime. Thus, an increase in poverty, inflation and unemployment would lead to an increase in criminal activities. The Granger causality tests further confirm that crime is caused by inflation, poverty and unemployment. Crime does not only influence inflation, poverty and unemployment, but it also affects a firm's competitiveness, efficiency and investment. This was also confirmed by Detetto and Otranto (2010) who examined the macroeconomic effects on crime using panel data. The study was based in Europe where they investigated selected European countries using the panel data analysis.

March and Bourne (2011) looked at an interesting study that investigated the effects of murder on macroeconomic variables. The authors chose murder since it is the dominant crime in Jamaica. The study employed secondary data and statistical analysis and found that exchange rate and murder are positively related while poverty, murder and crime are negatively related. The study suggests that, as more murders take place, the more the exchange rate increases. This finding is opposed by Nunley, Seals and Ziets (2011) who found that robbery negatively influences the stock market. Furthermore, the study found that inflation and unemployment cause robberies in the United States. The study was conducted from 1948 to 2009 using an unobserved component approach to cater for omitted variables.

From the literature reviewed, most studies are based on macroeconomic variables and crime. There is no single study that investigated the effects of crime on economic development. The majority of the studies used the GDP per capita to measure economic growth and this study designs a new measure of economic development. Also, these studies were undertaken on a national level and this study is undertaken on the provincial level to determine the effects of crime on development.

### **3. Research Methodology**

#### **3.1. Data and Model Specification**

A quantitative approach was used to analyse the relationship between crime and economic development in the Gauteng Province from 1994-2018. This sampling period was mainly preferred due to the availability of crime data that was sourced from the South African Police Services (SAPS). The data for economic development and education was sourced from Global

Insight (2018). Economic development was used as a dependent variable while crime rate and prosecution variables were used as independent variables. Furthermore, education was also used as a control variable to produce robust results. The crime rate is the percentage of all crimes committed in the province. The rate was sourced from the South African Police Services (SAPS). In addition, the prosecution variable was measured by the number of people who were convicted after being arrested.

The economic development variable was comprised of: employment, GDP per capita and housing. These three measures were selected because they are in line with the definition of economic development. Feldman, Hadjimicheal & Lanahan (2016) defined economic development as the transition from low living standards to high living standards considering factors such as population, economic growth, life expectancy, employment and housing. From the economic development definition, the researchers identified three most important measures of economic development: the GDP per capita, employment, and housing. Some scholars argue that these are the most important measures of economic development (European Union, 2005; Garidzirai et al., 2019; Kapsos & Bourmpoula, 2013; Meyer, 2016 & Ospina, 2018). Since these three variables were chosen, the study has combined them to make a single measure of economic development. Garidzirai et al. (2019) and Meyer (2016) have also designed similar variables. The researchers argued that such variables that are composed of many variables give better results compared to single variables.

The first element of economic development is the GDP per capita (economic growth). GDP per capita is the number of goods and services produced in an economy, taking into account the total population of the economy (Brueckner & Lederman, 2018). This measure was also used by researchers such as Ilter (2016) and Ospina (2018). The second element is housing that is defined as any object that provides shelter, warmth and total satisfaction to an individual occupying it (Henilane, 2016). The European Union (2005) emphasised that housing is an indispensable chunk of economic development. Thus, the European Union (2005), Geipele (2014) and Henilane (2016) have used housing to measure economic development. The last aspect is employment which is one of the most important macroeconomic variables. Kapsos & Bourmpoula (2013) defined employment as the number of people who are working in formal and informal sectors in a region. There are several researchers such as Belle & Bullock (2011), Garidzirai et al. (2019), Kapsos & Bourmpoula (2013) and Mohamad and Behrad (2011) who used the employment variable in their studies. Therefore, the calculation of economic development is illustrated in equation 1 below.

$$\sum_{t=1}^3 X_t = 1$$

Where  $X_t$  is the economic development at a specific time period. The equation further highlights that economic development is composed of three variables, namely GDP per capita, employment and housing. All these variables were aggregated to produce the economic development indicator. These variables were chosen since they form part of the definition of economic development (Feldman, Hadjimicheal & Lanahan, 2016). Equation 2 gives the setup that was used to come up with an economic development measure.

$$E_{develop} = f(X_{1t} + X_{2t} + X_{3t})$$

Where  $E_{develop}$  is economic development that is composed of  $X_{1t}$  GDP per capita,  $X_{2t}$  is employment in the Gauteng Province, and  $X_{3t}$  is the housing in the region. Equation 3 further displays the weights of economic development.

$$E_{develop} = (X_{1it} * 0.6 + X_{2it} * 2.5 + X_{3it} * 1.5)$$

Since economic development is composed of three elements, GDP per capita takes a weight of 0.6 since GDP per capita is a better measure of development (Brueckner & Lederman, 2018; Ilter, 2016 & Ospina, 2018). Also, GDP per capita leads to economic development.

Thus, the better the GDP per capita the more an economy is likely to experience economic development. The second component is employment which is the number of people who are employed in the Gauteng region (Ospina, 2018). The more people who are employed the less they live under the poverty datum line and the better the standards of living. This analogy is in line with the study by Ilter (2016) which used a weight of 2.5 with respect to the employment variable. The housing factor weight applied in the study is 1.5 according to Geipele (2014) since it is imperative that people get better housing to improve their standards of living. Several studies have composed similar variables and these studies include Berenson et al., (2012), Garcia & Ramon (2013) and Garidzirai et al. (2019).

Since the dependent variable has been defined and formulated equation 4 illustrates the relationship between economic development and crime.

$$Edevelop = f(\text{crime}, \text{Pros}, \text{Edu})$$

Removing the brackets equation 4 is translated to

$$\ln Edevelop_t = \alpha_0 + \alpha_1 \ln \text{crime}_t + \alpha_2 \ln \text{Pros}_t + \alpha_3 \ln \text{nedu}_t + \varepsilon_t$$

Where  $\ln Edevelop_t$  is economic development in the Gauteng Province,  $\ln \text{crime}$  is the crime rate in the Gauteng region,  $\ln \text{Pros}$  is the prosecution per population and  $\ln \text{nedu}$  is the number of educated people in the region.

The study employed complementing econometric techniques such as unit root test, bound tests, the ARDL model and diagnostic tests. For the unit root test, the study employed the Augmented Dickey Fuller and Phillips Perron tests to check if the variables are stationary and to determine the order of integration. If the variables are integrated at order zero and one, then an ARDL model is applied. On the other hand, if the variables are integrated at order one then a Vector Error Correction model is applied. To check if the short-run and long-run relationship exists among these variables the ARDL Bounds test was employed. The ARDL equation is illustrated in equation 6.

$$\begin{aligned} \Delta \ln Edevelop = & \phi_0 X_t + \sum_{i=1}^n f_{ix} \Delta \ln Edevelop_{t-i} + \sum_{i=1}^n g_{ix} \Delta \ln \text{crime}_{t-i} + \sum_{i=1}^n h_{ix} \Delta \ln \text{Pros}_{t-i} \\ & + \sum_{i=1}^n k_{ix} \Delta \ln \text{nedu}_{t-i} + \psi_{1x} \ln Edevelop_{t-1} + \psi_{2x} \ln \text{crime}_{t-1} + \psi_{3x} \ln \text{Pros}_{t-1} \\ & + \psi_{4x} \ln \text{nedu}_{t-1} + \gamma_{it} \end{aligned}$$

In addition, the study checked for the robustness and reliability of the model by conducting the diagnostic tests. The study tested if the heteroscedasticity, serial correlation, normality of residuals and the stability of the model exists. This was done using the Breusch-Godfrey serial correlation LM test, Breusch Pagan Godfrey heteroscedasticity test, CUSUM and the CUSUM of squares tests.

#### 4. Empirical Results

This section provides the results of the study, namely: the unit root test, the Bounds test, the long-run, short-run and diagnostic tests. Accordingly, the next segment discusses the unit root tests.

##### 4.1. Unit Root Test

The study used the ADF and the PP to test for unit root tests, and the results are presented in Table 1. The results show that prosecution population and crime variables' probability values are less than 10 percent (1 percent and 5 percent respectively). Thus, we reject the null hypothesis and conclude that these variables are stationary at levels. In other words, these variables are integrated at 1(0). On the other hand, education and economic development probability values were more than 10 percent. Thus, it was accepted that the null hypothesis variables contain unit root test. These variables became stationary at first difference and integrated at 1(1).

**Table 1: Unit Root Test Results**

Augmented Dickey Fuller (ADF)			Phillips Perron (PP)		
Variables	Level	1 <sup>st</sup> Differenc	Level	1 <sup>st</sup> differenc	Decision
lnEdevelop	-0.731	-3.403*	-0.931	-3.386	1(1)
lncrime	-2.100	-3.649**	-5.297***	-4.040**	1(0)
lnedu	-0.987	-4.437***	0.987	-4.436***	1(1)
lnpros	-4.050**	-7.183***	-4.050**	-9.012***	1(0)

Note: \*\*\*, \*\*, \* represents 1%, 5% & 10% respectively

#### 4.2. Cointegration Test: Short-run and Long-run

Since the results of the unit root test show a combination of variables that are integrated at 1(0) and 1(1), an Autoregressive Distributed Lag model was deemed fit to estimate the relationship between economic development and crime. The main advantage of an ARDL is that it allows researchers to analyse a certain relationship in both the short-run and long-run (Klasra, 2011). Therefore, this section presents the results of the Bounds test in Table 2. The results reveal an F statistic that is greater than the critical upper bound value. For example, the study shows an F-statistic of 5.729608 which is greater than the critical upper value of 5.61. Thus, we reject the null hypothesis that states that there is no long-run relationship that exists among these variables. The null hypothesis is rejected at 1 percent level revealing that lnEdevelop, lncrime, lnpros and lnedu have a long-run relationship (Adekoya et al., 2018).

**Table 2: ARDL Cointegration Test**

Test Statistic	Value	K
F Statistic	5.729608	3
<b>Critical Value Bounds</b>		
Significance		
10%	2.72	3.77
5%	3.23	4.35
2.5%	3.69	4.89
1%	4.29	5.61

Source: Own compilation, 2019

Since the results of the Bound tests show the existence of a long-run relationship, this study proceeds to analyse the short-run and long-run relationship among the variables. The long-run results are illustrated in Table 3 and equation 7.

$$\ln E_{develop} = 0.2982 - 0.36358 \ln crime + 0.160814 \ln edu + 3.857927 \ln pros$$

The results reveal that crime has a negative impact on economic development at a 1 percent level of significance. Accordingly, a 1 percent increase in crime committed in the Gauteng Province will reduce economic development by 0.36 percent. These results were expected since crime in Gauteng is on the surge, and it is a barrier to economic development. The same results were also found in Nigeria and Namibia by Adekoya & Razak (2017) and Kathena & Sheefen (2017) respectively.



The study also found that education improves economic development at a 10 percent level of significance. Thus, a 1 percent increase in education leads to a 0.16 percent increase in economic development in the Gauteng Province. This implies that the more educated the population is, the more the Gauteng Province is likely to develop. The results of the study are in line with the teachings of Ehrlich (1975) that subscribe to the idea that education gives a person an acceptable behaviour that shuns criminal activities and improves the society's living standards. Furthermore, the same result was found by Gentry (2010) who concluded that education is a vehicle to economic development.

Likewise, the prosecution of those who have committed crime in the Gauteng Province is positively related to economic development at a 5 percent level of significance. Hence, a 1 percent increase in the prosecution of criminals leads to improved economic development by 3.86 percent. The study has found that the prosecution of criminals will reduce crime, and, as crime is reduced, the societal economic and social standards of living will increase. The same results were obtained by Adekoya and Razak (2017) in Nigeria. They argued that Nigeria has a high crime rate and by eliminating criminals economic development will be achieved.

**Table 3: ARDL Long-run Results**

Variable	Coefficient	Std. Error	t-statistic	Probability
Incrime	-0.363580	0.318609	-1.14114	0.0096***
Lnedu	0.160814	0.079724	-2.01781	0.0598*
Lnpros	3.857927	1.478803	2.61003	0.0183**
C	0.2982	0.301927	2.03081	0.0000

Source: Own computation, 2019

Since the long-run relationship has been established, it is of paramount importance to analyse the short-run relationship. Table 4 illustrates the short-run relationship that shows the speed of adjustment of -0.58920. The speed of adjustment has an expected negative sign, and it is significant at a 5 percent level. Thus, it implies that the economy could be restored to the equilibrium in the upcoming year(s). For example, the model will be restored to equilibrium in one year seven months.

**Table 4: Short-run Analysis**

Variables	Coefficient	Std.Error	t-statistic	probabilities
D(lnEdevelop(-1))	-0.184060	0.071420	-2.577158	0.0196**
D(Incrime)	-0.0066921	0.059069	-1.132918	0.0274**
D(educ(-1))	-0.0029599	0.016023	-1.847305	0.0822*
D(lnpros(1))	0.710090	0.237296	2.992422	0.0008***
D(lnedu)	0.041449	0.049081	0.844497	0.4101
D(lnpros)	0.365671	0.169337	2.159428	0.0454**
Cointeq	-0.58920	0.630368	1.720629	0.0479**

Source: Own Compilation, 2019

### 4.3. Diagnostic Tests

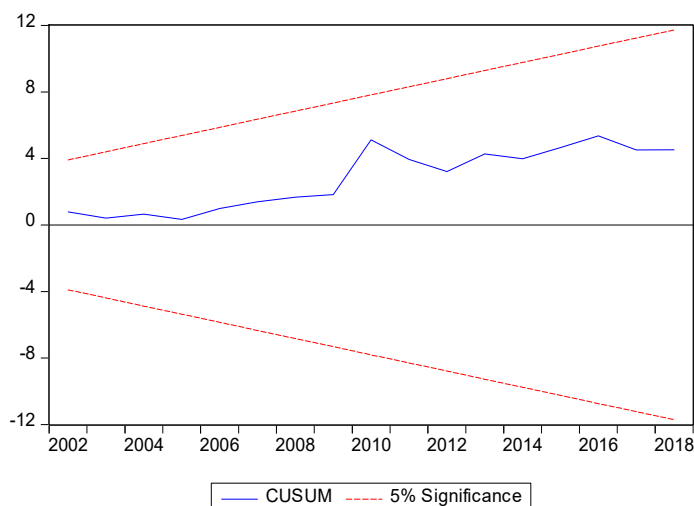
As indicated in Table 5, this study conducted diagnostic testing to check if the model was free from serial correlation, heteroscedasticity, and whether the residuals were normally distributed. The study used the Breusch-Godfrey Serial Correlation LM test, Breusch Pagan Godfrey heteroscedasticity test, and the Jarque-Bera normality test. The null hypothesis of the existence of serial correlation and heteroscedasticity in the model was tested. It was found that all the probability values of these tests were above 10 percent. Therefore, the null hypothesis was not rejected and we concluded that our model is free from heteroscedasticity, serial correlation and associated problems. Furthermore, the diagnostic testing revealed that the residuals of the model were normal since the Jarque-Bera test probability value of 35.02 outweighed the 10 percent level of significance. In addition, Figures 1 and 2 show that the model is stable at 5% level since the cumulative sum remains relatively within the 5% critical lines for both the CUSUM test and the CUSUM of squares test.

**Table 5: Diagnostic Tests**

LM VERSION				F VERSION		
Test Statistic	Type	RS/Stats	P values	F-dimension	F- Stats	P-values
Serial Correlation: Breusch-Godfrey	Chi-square (2)	5.0541	0.1697	2.15	0.5002	0.8377
Heteroscedasticity: Breusch-Pagan Godfrey	Chi-square (9)	3.7149	0.7861	6.17	0.5189	0.7861
Normality Residuals	Jarque-Bera	0.8851	0.3502			

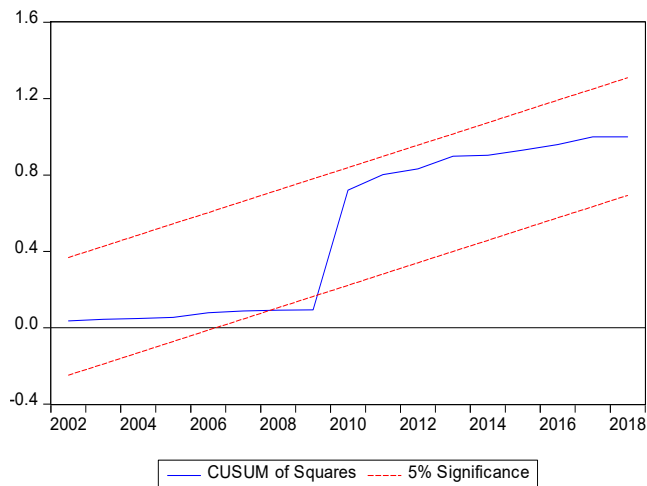
Source: Own computation

**Figure 1: CUSUM Results**



Source: Own computation

**Figure 2: CUSUM of Squares Results**



Source: Own computation

## 5. CONCLUSION

Since crime is on the surge in the Gauteng Province, the main objective was to investigate its effects on economic development. To achieve this objective, the study employed an ARDL model from the years 1994 to 2018. Of interest was the new economic development model that was developed herein. It comprised of GDP per capita, employment and housing. This measure was tested in this study and the results established that crime negatively affects economic development. The study further found that prosecuting and convicting criminals reduces crime and increases the chances of economic development. To redeem the Gauteng region from crime, the study recommends that the Gauteng government create an education system that leads to the restoration of the province's image and focuses on acceptable morals. In addition, the government should provide empowering skills so as to equip those who are vulnerable to avoid crime. Since crime is not only committed by vulnerable people, the government should create independent crime bodies to thoroughly investigate crime from the top level.

Although the objective has been achieved, the researcher identified one limitation. The study considered only a few economic development measures, that is housing, economic growth and employment. This limitation can be addressed by adding more variables to measure economic development in more depth.

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## THE ACQUISITION OF ORGANISATIONAL RIGHTS BY MINORITY TRADE UNIONS: A CRITICAL ANALYSIS

**I L Du Preez**

Vaal University of Technology

E-mail: [ilza@vut.ac.za](mailto:ilza@vut.ac.za)

Orcid ID: <https://orcid.org/0000-0003-3334-868X>

**N Raath**

Vaal University of Technology

E-mail: [nadien@vut.ac.za](mailto:nadien@vut.ac.za)

Orcid ID: <https://orcid.org/0000-0003-2807-1137>

### ~Abstract~

*Section 23 of the Constitution protects the principle of freedom of association. The Labour Relations Act 66 of 1995 (LRA) was passed to give effect to this Constitutional right. Some of the provisions of the LRA could possibly limit the freedom of association rights of trade unions. According to Section 11 of the LRA, organisational rights can only be acquired by a registered trade union, which is 'sufficiently representative' in a workplace of an employer and specify different thresholds for the different organisational rights. Section 18 of the LRA also provides that a majority trade union may enter into a threshold agreement to set a specific threshold for acquiring the organisational rights set out in Sections 12, 13 and 15. Therefore, a minority union would not be able to gain access to organisational rights if they do not meet this threshold. This study will be done in the form of a literature review on the acquisition of organisational rights of minority trade unions in terms of the LRA, by doing a critical analysis of literature, published articles by writers, legislation and judgements. The focus of this study will be on the proper application of Sections 18 and 20 of the LRA and the right of minority trade unions to collective bargaining. We will argue that the recent Constitutional Court case of POPCRU v SACOSWU is proof that excluding minority unions from gaining access to organisational rights is not always conducive to orderly collective bargaining. Furthermore, that minority unions have the right to acquire organisational rights through collective bargaining and that the Legislation should be interpreted to not limit these rights. Minority unions can no longer be excluded through collective agreements from gaining access to organisational rights. The subsequent proliferation of unions could be conducive to orderly collective bargaining within the workplace.*

### Keywords:

organisational rights, minority unions, Sections 18 and 20 the Labour Relations Act (LRA), collective bargaining

### JEL Classification: K31

## 1. INTRODUCTION

The Labour Relations Act 66 of 1995 (LRA) was expressly drafted to give effect to Section 23 of the Constitution of the Republic of South Africa, of 1996 (Constitution). Section 23 of the Constitution provides for a range of 'labour rights' to be accorded to workers, trade unions, employers and employer organisations (Du Toit et al, 2015:73). These 'labour rights' as enacted by the LRA protect the freedom of association of the above-mentioned parties and provide a framework for collective bargaining (Grogan, 2014:9). The LRA confirms this by stating that its purpose is to 'advance economic development including social justice and labour peace as well as the democratisation of the workplace' (Section 1 of the LRA 66 of 1995).

The collective bargaining model introduced by the LRA, is based on a voluntarist collective bargaining framework that also provides for rights and freedoms for employees, trade unions, employers and employers' organisations (Esitang, 2016:2). These rights can be summarised as organisational rights to which registered trade unions may be entitled to, the concluding of

collective agreements which are legally binding, joining bargaining or statutory councils, the right to strike, as well as the formation of workplace forums (Du Toit et al, 2015:224).

Although the LRA was passed to advance the principles of Section 23 of the Constitution, some of the provisions of the LRA has the potential to limit the above-mentioned freedom of association rights of trade unions. One of the limitations that is of significance to this paper is the provision of the LRA that only 'sufficiently representative' trade unions are entitled to acquire organisational rights (Du Toit et al, 2015:221). Section 11 of the LRA states that organisational rights can only be acquired by a registered trade union, which is 'sufficiently representative' in a workplace of that employer.

For trade unions to have access to all the organisational rights available they must establish that they represent the majority of employees within a workplace (Van Niekerk, 2016:402). Furthermore, Section 18 of the LRA affords majority trade unions the ability to enter into a threshold agreement to set a specific threshold for minority unions acquiring the organisational rights set out in Sections 12, 13 and 15. Therefore, if a minority union does not attain the threshold in terms of the agreement that union would struggle to gain access to these organisational rights (Esitang, 2016:6).

The above sections could give the impression that the LRA of 1995 was written to give preference to trade unions who are 'sufficiently representative' which might lead to the limitation of the number of trade unions in the workplace. We will argue that the Labour Relations Amendment Act of 2014 (LRAA) and the recent case of *POPCRU v SACOSWU* is proof of the understanding that restricting the number of trade unions in a workplace, and thereby excluding minority unions from gaining access to organisational rights, is not always conducive to orderly collective bargaining. Furthermore, that minority unions have the right to acquire organisational rights through collective bargaining.

Collective bargaining may not be limited by a collective agreement, it can only be limited by a law of general application. Therefore, minority unions can no longer be excluded through collective agreements from gaining access to organisational rights. As a result, we would argue that the subsequent proliferation of unions could be conducive to orderly collective bargaining within the workplace.

This will be done by undertaking a critical analysis of the organisational rights that can be acquired as a result of the LRA, the proper application and interpretation of Sections 18 and 20 of the LRA, differentiating between statutory and contractual rights and minority trade unions' constitutional right to collective bargaining with reference to the Constitutional Court judgement in *POPCRU v SACOSWU* and Others.

## **2. METHODOLOGY**

In our study we use a qualitative method, focusing on a literature review of those cases that deals with the organisational rights of minority unions, as well as the respective legislation that governs trade unions' rights. An analysis is done of these documents to arrive at a conclusion as to the correct interpretation and application of the legislation regarding minority unions and their organisational rights (Linos & Carlson.:213. In South Africa we follow the doctrine of judicial precedent. According to this doctrine we are bound by previous judgments of Higher Courts such as Labour Court (LC), Labour Appeal Court (LAC) and Constitutional Court (CC) (Kleyn et al.2018:83). All courts in South Africa are bound by a Constitutional Court decision and this decision is final. It is therefore important that a Constitutional Court case is analysed to comprehend the impact of such

judgments on, in this instance, employers, employees and trade unions. To arrive at this conclusion and to fully understand the impact of the Constitutional Court judgement of *POPCRU v SACOSWU* we first need to understand the background or history of the status and rights of minority unions before this seminal decision. Also, the changes effected by this judgement will then be highlighted in the conclusion. Recommendations will be made as how the effected parties should apply the changes to ensure that there is no encroachment on minority unions right to collective bargaining by employers.

### 3. THRESHOLDS OF ORGANISATIONAL RIGHTS

#### 3.1. Acquisition of organisational rights

Section 11 of the LRA states that only registered trade unions that are 'sufficiently represented' may qualify to exercise organisational rights. Therefore, if a trade union is not registered and not 'sufficiently represented' they would struggle to gain access to any of the organisational rights. The five statutory organisational rights that can be acquired in terms of the LRA are: Section 12, 'access to the employer's premises'; Section 13, deduction of trade union subscriptions; Section 14 which states that trade unions may elect trade union representatives; Section 15 that allows for leave to be taken for trade union activities; and finally Section 16, the 'disclosure of information' (Esitang, 2016:4).

It is vital for a trade union to gain access to these organisational rights as the success of a trade union is dependent on its ability to recruit members and to organise activities that are designed to further the interests of the workers in the workplace. This can only effectively be done if a trade union can exercise organisational rights in the workplace. Furthermore, organisational rights that grant officials of trade unions the right to gain access to the workplace, and individual employees the protection against victimisation and discrimination if they involve themselves in trade union activities, is how the LRA give effect to the ability of trade unions to effectively participate in collective bargaining. (Govindjee & Van der Walt, 2018:196)

As stated above, these organisational rights are not available to all registered trade unions, only those who are 'sufficiently represented' will be entitled to these rights. The LRA does not define 'sufficiently representative' but draws a distinction between unions that are 'sufficiently representative' and those who represent the 'majority of employees' in the workplace (Van Niekerk, 2016:398). The representative status of unions will further be discussed under paragraph 3.2 of this article. First, we need to understand the different ways by which a trade union can gain access to organisational rights.

There are three ways by which a trade union may be able to acquire the above-mentioned organisational rights. Section 20 of the LRA provides that a union may regulate, by way of a collective agreement, the acquisition and enforcement of organisational rights. They may also acquire organisational rights as a result of their membership to a bargaining council (Section 19) and lastly by following the procedures as laid down in Section 21 of the LRA (Du Toit et al, 2015:253).

Section 20 of the LRA authorises registered trade unions and employers to enter into collective agreements on any matter of mutual interest which in this case also apply to organisational rights. It was questioned by the Constitutional Court in *NUMSA v Bader Bop (Pty) Ltd* [2003] 2 BLLR 103 (CC) (*NUMSA v Bader Bop*) whether a trade union who does not comply with the statutory threshold would be able to strike in support of their demand for organisational rights. The Constitutional Court in *NUMSA v Bader Bop* confirmed that a union will be able to strike in order to support their petition for organisational rights even if they do not comply with the statutory threshold for that organisational right. This was the first indication of the importance placed on the right of all trade unions to participate in collective bargaining.

Also, being a party to a bargaining council or statutory council automatically entitles that union party to the right to 'access to the employer's premises' as well as 'the deduction of union subscription fees' without any reference to the unions representative status (Section 19 of the LRA). If such a union requires access to additional organisational rights, they will have to follow the normal procedure specified in Section 21 of the LRA to acquire those rights (du Plessis & Fouche, 2015:251).

If a union wants to acquire organisational rights by following the procedure stipulated in Section 21 of the LRA, they will have to prove that they are a registered union which is 'sufficiently represented' in a workplace of an employer. The question of registration is easily proved by providing evidence of their certificate of registration. The process becomes a bit more problematic when the union must determine whether they are 'sufficiently represented' within the workplace. The reason being that no definition is provided by the LRA for 'sufficient representative'. We therefore need to analyse the thresholds provided for the acquisition of



the different organisational rights as well as the effect it has on minority unions who are unable to reach these thresholds.

### **3.2. Thresholds for organisational rights**

It becomes clear why it is important for a trade union to determine their level of representation within the workplace when one considers that the LRA may prescribe different thresholds for different organisational rights (Grogan, 2014:80). For the Sections 12 and 13 organisational rights a union only need to prove that they are 'sufficiently representative' but for Sections 14 and 16 organisational rights the trade union needs to prove that they represent a majority of the employees within the workplace. Two or more trade unions may join, to create majority representation in the workplace to be able to apply for Section 14 and Section 16 organisational rights (du Toit et al, 2015:257).

Where there is a dispute regarding the representativity of a trade union the LRA, in Section 21(8), provides for the consideration of certain factors when determining whether a trade union can be regarded as 'sufficiently represented'. The CCMA commissioners will have to determine each case on its own basis, by referring to the factors as discussed below (Le Roux, 2014:65).

Firstly, the LRA states that the arbitrator needs to seek to reduce the proliferation of unions in a workplace, to promote a system of one representative trade union in a workplace and seek to lessen the financial burden on the employer where an employer is required to award organisational rights to more than one trade union (Van Niekerk et al, 2016:399). Secondly, there are various factors that the arbitrator needs to consider such as: 'the nature of the workplace, the nature of the organisational rights the union seeks to exercise, the nature of the sector, the organisational history at the workplace or any other workplace of the employer, and lastly, they also need to determine the composition of the workforce' (du Toit et al, 2015:258).

With reference to the thresholds provided for gaining access to organisational rights and the factors stipulated in Section 21(8)(a) of the LRA they seem to promote the majoritarian objectives of the LRA and limit the rights of minority unions. Minority unions would be unions that do not qualify as being 'sufficiently representative'. It would appear therefore that the LRA favours majoritarianism by offering inducements to majority unions or minority unions that are willing to join with other unions to achieve majority representation (du Toit et al, 2015:283). This would lead to minority unions who decide not to join forces with another minority union to not be recognised by the employer and in turn they would struggle to gain access to any organisational rights.

In contrast, the LRAA changed from favouring majority unions to providing for less representative unions to be able to gain access to organisational rights. The LRAA confirms the realisation by legislators that restricting the number of trade unions within a workplace is not always advantageous for collective bargaining. The composition of workplaces has changed since the promulgation of the LRA of 1995 and many workplaces now consist of non-standard employees who are unorganised and not effectively represented by the majority unions. (du Toit et al: 2015:260). Legislation therefore needs to be amended from time to time to give effect to these changes.

The new Section 21(8A) of the LRAA, 2014 that came into effect in January 2015 is one of those sections that was enacted to address this situation. According to this section an arbitrator may, during Section 21 arbitration proceedings, grant the right to elect trade union representatives (Section 14) or the disclosure of information (Section 16) to a trade union who does not represent the majority of employees in that workplace if they comply with three requirements. Those requirements are firstly that the union should be the 'most representative union in the workplace' (Section 21(8B)), secondly that it already has the right to access to the workplace, stop order facilities as well as leave for trade union activities and lastly that no other union that has been granted this right (Section 21(8A) (a) and (b)).

Evidently where a majority union already acquired these rights within the workplace it would prevent any other union from acquiring them. Furthermore Section 21(8B) still limits the acquisition of these rights to the 'most representative trade union in the workplace', which

could still exclude minority unions from gaining access to these rights if they do not comply with these requirements. The LRAA of 2014 therefore does try to make organisational rights more readily available to unions who do not have a majority, but unions who fall under the threshold described as 'sufficient representation' will still struggle to gain access to any organisational rights.

Another section of the LRA that might appear to conflict with the right to freedom of association, as well as right to collective bargaining of minority trade unions and to favour majority unions, is Section 18 of the LRA. Section 18 states that an employer and a majority trade union or those trade unions and employers who are parties to a bargaining council may establish by way of a collective agreement a threshold for the acquisition of Sections 12, 13 and 15 organisational rights. This section allows for an employer and a majority union to stipulate a threshold for gaining access to these organisational rights which would prevent another minority union within the workplace to acquire these organisational rights (Esitang, 2016:6). An in-depth analysis consequently needs to be done to clarify the correct interpretation and application of this section of the LRA.

#### **4. INTERPRETATION AND APPLICATION OF SECTIONS 18 AND 20 OF THE LRA**

The Constitution does not specify a threshold for the exercising of 'labour rights' as provided for in Section 23. The LRA however placed some limitations on these rights by providing for different thresholds for the acquisition of organisational rights. A provision such as Section 18 of the LRA also seem to effectively allow majority unions together with employers to exclude minority trade unions in engaging in trade union activities such as the acquisition of organisational rights, which could be unconstitutional (Esitang, 2016:12). These agreements serve to limit the rights of minority unions and has effectively eliminated the burden that employers might have when having to deal with several of the less represented unions (Govindjee & Van der Walt, 2018:196). The courts have been considering the impact of these Section 18 agreements in various cases with different outcomes.

In the case of *POPCRU v Ledwaba (2013) 11 BLLR 1137 (LC)* a threshold agreement had been agreed upon by the majority union and the employer. The application of these agreements was extended to all employees in the workplace which included members of the minority union. The minority union subsequently negotiated organisational rights with the employer, although they did not meet the required threshold. The majority union contended that this agreement was invalid because it was in breach of the collective agreement. The court held that Section 23 of the LRA determines that a collective agreement will bind the parties to the agreement as well as non-parties to the agreement on condition that such parties are identified in the agreement. Further that the agreement may only be concluded by a union that has as its members a majority of employees at the workplace. The court further stated that 'collective agreement hierarchy' should apply where a minority union concluded a collective agreement that conflicted with an agreement concluded by the same employer with a majority union. This means that the agreement with the majority union must take preference. This ruling was in keeping with orderly collective bargaining as well as the principle of majoritarianism. (Govindjee & Van der Walt, 2018:197). This judgment by the Labour Court was later appealed upon and ended in the Constitutional Court as discussed below.

In the case of *Transnet Soc. Ltd v National Transport Movement (2014) 1 BLLR 98 (LC)*, Transnet concluded a recognition agreement with several trade unions at the workplace. Thresholds were fixed for the acquisition of organisational rights by trade unions. The rights were reserved for 'sufficiently representative' unions with at least 30% representation of employees at the workplace. The union endeavoured to gain access to organisational rights by means of strike action, notwithstanding them falling below the required threshold. The Labour Court had to consider whether such a strike by a minority union to acquire organisational rights was unprotected because it would compel the employer to breach a pre-existing and binding collective agreement with majority unions. In this case the court held that as the minority union would not be bound by the terms of the agreement because they were not a party to the collective agreement and would therefore be authorised to strike in order to secure organisational rights. (Govindjee & Van der Walt, 2018:197). This was in line with the previous decision of *NUMSA v Bader Bop* as discussed above.

Cases like these have raised questions about the aptness of the majoritarian model applied regarding the acquisition of rights of trade unions in South Africa. There has been a loss of confidence by skilled and semi-skilled employees in majority trade unions. An example of the catastrophic result of such a loss in confidence in majority unions is the Marikana massacre. The Marikana massacre was partly the result of this loss of confidence and alienation of workers from the majority union. As a result it prompted striking workers to take the law into their own hands with disastrous consequences.

It is subsequently imperative that the correct interpretation of Section 18 of the LRA is determined to ensure that it is in line with the Constitution and to understand the effect of such an interpretation on trade unions in South Africa. Provision is made in Section 23(6) of the Constitution that legislation may limit the rights as contained in Section 23, but only as far as it complies with the general limitation clause in Section 36 (Rautenbach & Venter, 2018:418). As a result, even if it is found that the LRA does limit a constitutional right it would not automatically mean that such a limitation is unconstitutional.

The LRA in Section 3 also provides us with directions regarding the interpretation of the LRA by establishing a direct link between the interpretation and the primary objects of the LRA (du Toit et al, 2015:79). Section 3 of the LRA states that a person who is applying the Act must interpret it 'to give effect to its primary objectives in compliance with the Constitution, and in compliance with the public international law obligation of the Republic' (Section 3(a), (b) and (c)).

It is within this context that we need to analyse how the Constitutional Court in *POPCRU v SACOSWU* determined that Sections 18 and 20 of the LRA should be interpreted. The dispute between the parties in the POPCRU case centred on the interpretation of Section 18 of the LRA (par 64). In August 2018 the Constitutional Court delivered a ground-breaking judgement on the rights of minority trade unions in the workplace. This was the result of an application by POPCRU, the union that represented the majority of employees within the Department of Correctional Services (DCS) to seek leave to appeal against the judgement of the Labour Appeal Court (LAC). The LAC found that the DCS was not prohibited from entering into an agreement to grant organisational rights to the South African Correctional Services Union (SACOSWU), which is a minority union at that workplace. These organisational rights were part of a Section 18(1) collective bargaining agreement in terms of the LRA about a threshold for representativity for the acquisition of these rights. The fact that SACOSWU's membership did not meet this threshold, was not disputed.

POPCRU alleged that Section 18 of the LRA prohibited an employer from concluding a collective agreement that conflicted with an existing threshold agreement. SACOSWU on the other hand argued that Section 18 of the LRA should be read with Section 20 because the section states that 'nothing in this part precludes the conclusion of a collective agreement that regulates organisational rights'. These sections should be interpreted in accordance with the guidelines as provided in Section 3 of the LRA (par 64). The Constitutional Court ruled that it was in the interest of justice to adjudicate the merits of the case.

As stated above an arbitrator is entitled to grant Sections 12, 13 and 15 organisational rights to a registered trade union that does not meet the thresholds determined by a collective agreement if they comply with certain conditions (Section 21(8C) of the LRA, 2014). It was argued by POPCRU that since the promulgation of Section 21(8C) minority unions could now apply to an arbitrator to exercise organisational rights and that it is therefore not necessary to interpret Sections 18 and 20 of the LRA (par 68).

According to Jafta J, this argument is flawed as Section 21(8C) is only available to trade unions which meet the requirement of having a 'significant interest or substantial number of employees in the workplace'. The reason being that a minority union that does not comply with this requirement may still not be granted organisational rights. Therefore, it is of great importance to minority unions to determine whether they would still be able to exercise their constitutional right to bargain collectively to acquire organisational rights (par 69).

The Court further confirmed that minority unions are not obliged to follow the procedure in terms of Section 21(8C) to acquire organisational rights. Therefore, one has to determine whether Section 18 prohibits these unions from engaging in collective bargaining where a

threshold agreement exists (par 70). The court would have to determine whether Section 18 of the LRA can limit the minority unions' Section 23 constitutional rights, including the right to freedom of association as well as the right to collective bargaining.

Section 36 of the Constitution allows rights to be limited but stipulates that constitutional rights may only be limited if the limitation complies with certain strict requirements (Rautenbach & Venter, 2018:309). First it requires that only a law of general application may limit constitutional rights. Secondly, the limitation must be 'reasonable and justifiable in an open and democratic society based on human dignity, equality and freedom', considering certain listed factors (Rautenbach & Venter, 2018:310).

The question is then what is 'law of general application'? Only legislation, common law and customary law constitutes 'law of general application' and not policy and practice (Van Niekerk et al, 2018:51). Therefore, if there is no law that authorises that limitation the limitation would be unconstitutional and no further inquiry needs to be lodged (Rautenbach & Venter, 2018: 311).

The second requirement will only come into operation where there is a law of general application that authorises the limitation. The second requirement points towards a balancing of the limitation and the purpose of the limitation that would be appropriate in an 'open and democratic society based on human dignity, equality and freedom' (Rautenbach & Venter, 2018:314).

The court would have to determine whether Section 18 of the LRA authorises the limitation of the right to engage in collective bargaining by collective agreement and if so whether it complies with Section 36 of the Constitution as discussed above.

#### **4.1. Majority judgement**

According to Anstey (2001:50) collective bargaining is a process whereby organised labour and employers can seek to resolve conflicts of mutual interests through co-operative accommodation. The Constitution in Section 23(5) provides that every trade union, employers' organisation and employer have the 'right to engage in collective bargaining'. It has been established that no duty to bargain is imposed by Section 23 of the Constitution but confirmed the freedom to bargain collectively in *NUMSA v Bader Bop (Pty) Ltd & another*. Furthermore, it was also established in *NUMSA v Bader Bop* that a trade union that is not sufficiently represented (minority trade union) may still pursue organisational rights through the ordinary mechanisms of collective bargaining (Grogan, 2014:92).

Section 18 permits an employer and a majority union the right to establish a threshold of representativeness and to exercise this by means of a collective agreement. According to the majority judgement in *POPCRU v SACOSWU* the text of Section 18 only allows for the establishment of a threshold and not the right to limit any constitutional rights of minority unions (par 95). When reading Section 18 there is no mention of the right to engage in collective bargaining or any mention of freedom of association.

The Constitutional Court therefore found that Section 18 as interpreted by POPCRU was incorrect because its effect was that minority unions would be denied the right to engage in collective bargaining. The Court's reason being that collective bargaining is a right conferred on every trade union regardless of its status as a majority or minority union. It further stated that Section 18 does not prohibit collective bargaining between an employer and the minority union where a collective agreement is in place between the majority union and the employer. Such a prohibition would be incongruous with the Constitution as well as international law (par 96). Because of this the LRA had to be interpreted in a manner that would give effect to the spirit and letter of the Bill of Rights.

In effect the Constitutional court ruled that Section 18 does not allow for an agreement to limit the right to collective bargaining but only the setting of a threshold for representativeness. The question here was therefore not whether a threshold agreement could limit the right to collective bargaining but the correct interpretation of Section 18 of the LRA. A collective agreement could never limit the right to collective bargaining. Section 23(5) of the Constitution states that this right may only be limited by legislation and only if that legislation complies with Section 36 of the Constitution (par 106). A minority union could therefore not be totally

excluded by collective agreement from collective bargaining with an employer to acquire organisational rights.

#### **4.2. Separate judgement**

Deputy Chief Justice Zondo followed a different reasoning in this case, highlighting the difference between organisational rights obtained through statute and those obtained in terms of contractual organisational rights (par 133). In this separate judgement it was pointed out that a trade union does not need the permission of the employer to obtain statutory organisational rights. All that is needed is to comply with the requirements of the LRA that it must be sufficiently represented at the workplace. In order to obtain contractual organisational rights however, it is not essential for the trade union to acquire the level of representativeness prescribed by the LRA. It only requires them to reach an agreement with the employer in terms of which the employer confers those organisational rights on the union. (Molatudi, 2018)

Deputy Chief Justice Zondo highlighted the importance of the differences between contractual organisational rights and statutory organisational rights. According to Zondo an employer does not have a right to terminate statutory organisational rights if the union continues to comply with the statutory requirements of 'sufficient representation' in that specific workplace. An employer has the right to terminate contractual organisational rights by giving a legal notice of termination of the collective agreement.

The Deputy Chief Justice pointed out that in the POPCRU case, SACOSWU was granted contractual organisational rights, however the threshold secured in the collective agreement between DCS and POPCRU related to statutory organisational rights. He concluded that the LRA did not prohibit the DCS from concluding a collective agreement that conferred contractual organisational rights on SACOSWU while there was an operational collective agreement with POPCRU even though SACOSWU's representation was below the threshold fixed in the collective agreement between the DCS and POPCRU. (Molatudi, 2018).

### **5. CONCLUSION AND RECOMMENDATIONS**

The major amendments of the LRA in 2015 that assigned additional organisational rights to minority unions previously only reserved for majority unions were now sealed by this judgment of the Constitutional Court. It is a clear movement away from the majoritarian system and promotes a proliferation of unions in a single workplace. By prohibiting the limitation of minority unions' right to collective bargaining regarding organisational rights, it paves the way for more unions to be recognised by employers as a bargaining partner within a workplace. It can only be speculated at this time what the effect in future will be for employers. On the other hand, the decision of the Constitutional Court means that workers are free to join a trade union of their choice even if it is a minority union while still being able to exercise their constitutionally guaranteed rights.

Employers need to carefully consider their approach when dealing with minority trade unions and should make sure to obtain legal advice before concluding any agreements with minority unions. This is of importance where another agreement with a majority union is in place that deals with similar rights. It is essential for employers to develop strategies on how to deal with the fallout that may come from the above judgment. Trade unions that previously did not apply for organisational rights as a result of them not meeting the required threshold of representation may now request to exercise such organisational rights. This may place an extra administrative and financial burden on employers to accommodate these unions. Employers will therefore have to develop policies and procedures that will minimise the adverse effects of having to accommodate more trade unions within a workplace.

The principle of voluntarism in the context of collective bargaining has always been at the heart of the LRA. No court will make a ruling to place an enforceable duty on an employer to negotiate with a union. Unless an employer agrees to recognise and bargain with a union, a union will still have to use its collective power to get the employer to the bargaining table through strike action. But as seen through case law unions have taken it upon themselves to force employers to bargain through strike action even though they are minority representative trade union.

These developments also lay the responsibility on majority trade unions to take cognisance of the interests of their members and ensure that their interest does not conflict with those of their members (Botha, 2015:13). These changes have made it easier for minority trade unions to gain access to organisational rights which in turn will bolster their representativity. Majority unions might lose membership to minority unions if their members believe that the minority unions will better represent their interests. Allowing more trade unions to exercise organisational rights should therefore not negatively affect collective bargaining but it would rather give a voice to the previously voiceless employees and reduce the risk of another Marikana massacre.

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### **Legislation**

Constitution of the Republic of South Africa 1996

Labour Relations Act 66 of 1995

Labour Relations Amendment Act of 2014

## AUDIENCE PERCEPTIONS ON THE SOURCES AND QUANTITY OF HIV AND AIDS EDUCATION AND IMPLICATIONS FOR LASTING SUCCESS AGAINST THE PANDEMIC

**Christopher Maduabuchukwu Mbajiorgu**

University of Limpopo

Orcid ID: <https://orcid.org/0000-0002-5407-1125>

### ~Abstract~

*HIV and AIDS has remained a development, economic, health and social issue since its inception. South Africa has made some remarkable gains in its efforts against the pandemic but the country requires greater progress in reducing the rate of new HIV infection which remains the highest in the world. Appropriate, adequate and consistent education has been recognized as a powerful antidote for HIV and AIDS transmission and control. This study investigated the media audience perceptions on the sources and quantity of HIV and AIDS information and education in Limpopo Province, and the implications of the current state of the disease in the province. A detailed questionnaire was administered to a sample size of 120 male and female study participants selected from four districts of Limpopo Province, and analysed quantitatively. This study indicates that most stakeholders have neglected HIV and AIDS education. However, doctors and other health care givers are the main source of regular HIV and AIDS information and education for residents of Limpopo province. They are also the most trusted source of HIV and AIDS information and education in the province, and their HIV and AIDS information, most helpful to the public. The mass media trailed as the second main source of HIV and AIDS information and education, and their coverage of the pandemic is sporadic and getting scarcer. The study indicates that the media has abandoned this important social mandate, with some serious consequences to the society. It suggests that collective, consistent and concerted effort of the Government, civil societies, the media, and other stakeholders, and improved public trust of the media will result in meaningful social behavioural changes. This will ensure enduring success against the pandemic in the province.*

**Key Words:** HIV and AIDS education, media reporting, sources of HIV and AIDS information, South Africa, audience perceptions.

**JEL Classification: I29**

### 1. INTRODUCTION

Increasing number of people are living with HIV in South Africa since 2002 due to advances in treatment and the highly effective government accelerated ARV treatment program (IHME, 2019; StatSA, 2019). The HIV prevalence rate in 2015 was 11.2% (6,19 million people) and this increased in 2016 to approximately 12,7% (7,10 million people) (Statistics South Africa, 2017; SANAC, 2017). Moreover, the last two South Africa's national HIV prevalence surveys indicate an increase in HIV prevalence rate in Limpopo province from 8.8% to 9.4% (Shisana, Rehle, Simbayi, Zuma, Jooste, Zungu, Labadarios, Onoya, et.al., 2014). The survey indicated that people living with HIV who are on ART were 3 900,000. Also, knowledge about HIV prevention among young people aged 15-24 was below average mark and estimated at 45.8%. (UNAIDS, 2017). There is still no cure for the disease. While prevention efforts may aim to lower the number of new infections, the reality in South Africa is that even with affordable and effective treatment available, new AIDS cases and death continue to occur at very high number after the HIV tide has been turned (UNAIDS, 2017; SANAC, 2017; Whiteside, 2002).

The ability of the mass media to positively influence the outcome of the efforts against HIV and AIDS is generally well recognized (SANAC, 2012). The media are necessary sources and transmitters of information which people need to enable them make informed judgment about their health situations, and a host of other subjects that affect their everyday lives (Macrandner, 2011). They are seen as primary instruments of education and development on HIV and AIDS pandemic (Beresford, Schneider and Sember, 2008). Thus, they positively influence the society through the provision of information, education and entertainment (in HIV and AIDS communication) (APS, 2013). Both the infected and the affected need to be optimally engaged



and assisted with accurate HIV and AIDS information updates, helping them to learn and increase their knowledge about it, and keeping them constantly aware of the existence of this disease within their environment (Heffelfinger, Sullivan, Branson, Mastro, Purcell, Griffiths, Romaguera, & Janssen, 2008).

There is still misinformation about the disease, and mixed understanding of its mode of prevention and treatment in South Africa. Basic knowledge about HIV and AIDS is still lacking, its impact is not clearly understood by the public, and the level of prejudice towards people living with it is still high (Shisana et al., 2014). The level of accurate knowledge about HIV was found reduced in the overall population in both the 2008 and 2012 South African national surveys, resulting in the population being “now generally less knowledgeable about sexual transmission and prevention of HIV” (Shisana et al., 2014:117; AVERT, 2011). As a powerful communication channel, “the media may serve to enable them to make informed decisions about their sexuality practices and behaviours”, and the effect of this education effort “may persist to entire lifespan of the individuals” (Baxen & Breidlid, 2009:3). It has therefore been recognized and accepted globally that education is a key and powerful deterrent against HIV transmission (Baxen, 2009). Moreover, education has been described as a virtual vaccine in the absence of preventive vaccine due to its effectiveness, and “as a leading primary preventive medium, teaching people how to reduce or eliminate HIV exposure” is very critical. (Stine, 2009:224).

Studies indicate the effectiveness of mass media HIV and AIDS interventions on several variables such as increasing HIV transmission knowledge, improving self-efficacy in condom use, influencing some social norms, increasing the amount of interpersonal communication, boosting HIV and AIDS awareness of health providers, and reduction in high-risk sexual behaviour (Bertrand, O'Reilly, Denison, Anhang & Sweat, 2006; UnderWood, Hachonda, Serlemitsos & Bharath-Kumar, 2006). For the possibility of stemming the spread of HIV and AIDS, the media “have an important role to play in creating an informed public, sensitive to the cause, spread and prevention of HIV and AIDS” (Chanda, Mchombu, Nengomasha, 2008:191).

## **2. OBJECTIVES**

This paper investigates media audience perceptions on the sources and quantity of HIV and AIDS educational information in Limpopo Province of South Africa, and determines the implications for the findings of the study towards achieving lasting success against the pandemic.

## **3. METHODOLOGY OF THE STUDY**

The sources of HIV and AIDS information section of this study includes the trustworthiness of those sources. The study covered four districts of the province, namely, Bochum in Capricorn District, Thohoyandou in Vhembe district, Phalaborwa in Mopani district, and Jane-Furse in Sekhukhune district. The selected areas for this study have economic similarities and were chosen by cluster sampling method. Study respondents were carefully selected in line with the objectives of this study by means of convenience sampling method (Du Plooy, 2007). The questionnaire was administered to a total number of 120 resident media content consumers in the four selected areas in the province by the researcher and a team of four trained research field assistants. The criteria for their selection were: daily exposure to the media news reports, and being conversant with current affairs. The questionnaire was first pilot-tested with twenty Mankweng community members, in Polokwane Municipality, and all necessary modifications effected before it was utilized in this study. The questionnaire was appropriately completed by the respondents and were collected by the researcher and the research assistants. It was administered in selected households, government and private offices, residential homes, schools, police stations and business offices. The data were entered into IBM Statistical Package for Social Sciences (SPSS) software and analysed using simple descriptive statistics.

## **4. DATA ANALYSIS AND FINDINGS**

### **4.1 AUDIENCE PERCEPTIONS ON THE SOURCES AND QUANTITY OF HIV AND AIDS EDUCATIONAL INFORMATION**

This section presents the media audience perceptions about sources and quantity of HIV and AIDS educational information. The variables used for the assessment include regular sources, and audience perceptions on the trustworthiness of the sources of HIV and AIDS information, and audience perceptions on the quantity of the media HIV and AIDS news stories. Table 1 presents the summary of results on the respondents' sources of HIV and AIDS information.

#### 4.1 REGULAR SOURCES OF PUBLIC HIV AND AIDS EDUCATIONAL INFORMATION

A1. The Media (television, radio and newspaper)	A7. Docs. and other health care givers
A2. Internet	A8. NGO or other advocacy leaders
A3. Family or friend	A9. Political leaders
A4. HIV positive person	A10. Alternative healers
A5. School, teacher or student	A11. Church and religious bodies
A6. Govt. national HIV/AIDS campaigns.	A12. Street signs or billboards

**Table 1: Regular sources of HIV and AIDS educational information for the media audiences**

Statements	Regular source of information/%	Some information/%	Only a few information/%	Do not know/%	Total Percent
A1	42.3%	25.3%	32.4%	0.0%	100.0%
A2	40.3%	23.3%	20.6%	15.8%	100.0%
A3	31.7%	42.5%	21.6%	4.2%	100.0%
A4	30.0%	23.0%	37.8%	9.2%	100.0%
A5	29.5%	29.2%	36.3%	5.0%	100.0%
A6	25.5%	12.0%	52.5%	10.0%	100.0%
A7	69.2%	12.9%	11.2%	6.7%	100.0%
A8	31.3%	12.5%	30.4%	25.8%	100.0%
A9	10.2%	20.3%	54.5%	15.0%	100.0%
A10	11.7%	18.3%	38.3%	31.7%	100.0%
A11	20.7%	28.5%	43.3%	7.5%	100.0%
A12	22.3%	52.5%	15.8%	9.4%	100.0%

The

percentage distribution of responses on the regular sources of HIV and AIDS educational information indicated that 51 (42.3%) get regular HIV and AIDS information from the mass media (television, radio and newspaper), but a total of 39 (32.4%) get only a few HIV and AIDS information from the media. The remaining 30 (25.3%) get just some of such information from the media. The internet provides regular HIV and AIDS information to 48 (40.3%) respondents

but 28 (23.3%) and 25 (20.6%) said they get some information and only a few information respectively from this source. Thirty-eight (31.7%) source regular information from their family and friends while 51 (42.5%) and 26 (21.6%) receive some information and only a few information from them. Also, school, teachers and students, and church and religious organisations provide regular HIV and AIDS information to 38 (31.7%) and 52 (43.3%) respondents each but a number of 44 (36.340.0%) and 52 (43.3%) respectively get only a few of their information from these sources. The result also indicated that government agencies, national HIV and AIDS campaign, and NGO and other advocacy leaders provide regular information to 31 (25.5%) and 38 (31.3%) respectively, with 14 (12.0%) and 15 (12.5%) saying that they get some information from the two sources accordingly. Doctors and other health care givers is a regular source of HIV and AIDS information to 83 (69.2%) but provide some information and only a few information to 16 (13.3%) and 13 (11.2%) respectively. Street signs and bill boards provided regular HIV and AIDS information to 27 (22.39%), some information to 63 (52.5%) and only a few information to 19 (15.8%) of the respondents. The percentage distribution of the respondents that chose other categories are low and will not impact on this study.

#### 4.2 AUDIENCE PERCEPTIONS ON THE TRUSTWORTHINESS OF THE SOURCES OF HIV AND AIDS EDUCATIONAL INFORMATION

The study of respondents' trusts on the sources of HIV and AIDS educational information covered the sources listed below:

**Table 2: Media audience's trust on the sources of HIV and AIDS educational information**

Statements	Always	Most times	Only sometimes	Hardly ever	Never	Total Percent
Television	65.0%	29.2%	5.8%	0.0%	0.0%	100.0%
Radio	60.0%	17.5%	20.8%	.8%	.8%	100.0%
Newspaper	58.0%	26.7%	10.8%	2.5%	1.7%	100.0%
Internet	45.8%	30.0%	7.5%	5.0%	11.7%	100.0%
Family or friends	17.5%	29.2%	46.7%	4.2%	2.5%	100.0%
HIV positive person	24.2%	34.2%	33.3%	5.0%	3.3%	100.0%
School teacher or student	52.5%	20.8%	22.5%	2.5%	1.7%	100.0%
Govt. national HIV/AIDS prevention campaign	24.2%	34.2%	33.3%	8.3%	0.0%	100.0%
Political leaders	17.5%	32.5%	27.5%	12.5%	10.0%	100.0%
NGO or other advocacy leaders	9.2%	17.5%	46.7%	12.5%	14.2%	100.0%
Doctors and other health care givers	76.3%	17.5%	5.0%	1.2%	0.0%	100.0%
Alternative medicine providers	16.7%	15.0%	32.5%	18.3%	17.5%	100.0%

Churches and religious organization	20.0%	29.2%	36.7%	7.5%	6.7%	100.0%
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The results relating to media audience's trust on the sources of HIV and AIDS educational information (table 2) shows that 72 (65.0%), 54 (60.0%) and 64 (58.0%) respondents think that television, newspaper and radio respectively are trustworthy always. Thirty-five (29.2%), 21(17.5%) and 32(26.7%) believed they are respectively trustworthy most of the time. Those who believed they are only sometimes are 7 (5.8%), 25 (20.8%) and 13 (10.8%) accordingly. A total of 55 (45.8%) and 36 (30.0%) always trust the internet as a source of HIV and AIDS information but 36 (30.0%) and (7.5%) respondents think it is trustworthy most of the time and only sometimes respectively. Family and friends are always trusted as sources of HIV and AIDS information by just 21 (17.5%) but 35 (29.2%) and 56 (49.7%) think they trust them most of the time and only sometimes respectively. The results also indicated that government's national HIV and AIDS campaigns are trusted always by 29 (24.2%) respondents but 41 (34.2%) and 40 (33.3%) trust them most of the time and only sometimes respectively. Doctors and other health care givers are always trusted by 92 (76.3%) respondents, trusted most of the time by 21 (17.5%) and only some times by just 6 (5%). Other results are not significant to this paper.

#### **4.5 AUDIENCE PERCEPTIONS ON THE QUANTITY OF SOUTH AFRICAN MASS MEDIA HIV AND AIDS NEWS COVERAGE**

This section presents results on audience perceptions on the quantity of the media HIV and AIDS news reports. The responses to the statements below are shown on table 5.

D1. Current HIV and AIDS news information appear more in the media on special occasions such as the annual world HIV and AIDS day.

D2. HIV and AIDS information in the media is not enough to sustain the successes recorded so far in the fight against the pandemic.

D3. The general public still rely on the media to be consistently reminded of the existence of this pandemic.

D4. The media is failing to regularly remind the public (particularly, the youth) that the disease is still very much around.

D5. The low level HIV and AIDS news treatment in the media is a strong indication that the media have abandoned this campaign.

D6. There should be more news information in the media on the transmission, treatment, prevention, and consequences of the disease.

D7. To me, I think the pandemic do not exist in the country anymore because it is no longer a serious topic in the society.

D8. Government is more focused on providing condom and ARV for prevention and treatment of the disease but people also need consistent information on this pandemic.

D9. Opinion leaders and medical experts hardly talk about HIV and AIDS in the media any more.

D10. I am aware that people still die of AIDS-related opportunistic disease but the media are also silent about this development.

D11. I rarely hear about HIV and AIDS in the media these days, as a result, I don't know enough about the state of the pandemic in the country right now.

D12. This is a nationwide problem because I have access to major media outlets in South Africa.

D13 The media is not doing enough in terms of coverage of the pandemic to bring about attitudinal change to the disease.

**Table 5: Public perceptions on the quantity of HIV and AIDS news reports by the media**

Statements	I agree	I disagree	I Don't Know	Total/%
D1	118 (98%)	0 (0%)	2 (2%)	100
D2	120 (100%)	0 (0%)	0 (0%)	100
D3	120 (100%)	0 (0%)	0 (0%)	100
D4	116 (97%)	3 (3%)	1 (1%)	100
D5	116 (97%)	2 (2%)	2 (2%)	100
D6	120 (100%)	0 (0%)	0 (0%)	100
D7	8 (7%)	112(93%)	0 (0%)	100
D8	120 (100%)	0 (0%)	0 (0%)	100
D9	116 (97%)	3 (3%)	1(1%)	100
D10	120 (100%)	0 (0%)	0 (0%)	100
D11	94 (78%)	26(22%)	0 (0%)	100
D12	118 (98%)	2 (2%)	0 (0%)	100
D13	120 (100%)	0 (0%)	0 (0%)	100

The result on the respondents' perceptions on the quantity of HIV and AIDS news reports by the media indicated that 118 (98%) believed HIV and AIDS news information is erratic, and appear more in the media on special occasions such as the annual world HIV and AIDS day, 120 (100%) agreed that HIV and AIDS information in the media is not enough to sustain the successes recorded so far in the fight against the pandemic, and all the 120 (100%) respondents are convinced that the general public still rely on the media to be consistently reminded of the existence of this pandemic. The results also indicated that 116 (97%) of them agreed that the media is failing to regularly remind the public (particularly, the youth) that the disease is still very much around, while another 116 (97%) believed that the low level HIV and AIDS news treatment in the media is a strong indication that the media have abandoned this campaign. A total of 120 (100%) respondents are convinced that there should also be more news information in the media on the transmission, treatment, prevention, and consequences of the disease.

However, a total of 112 (93%) of respondents disagreed with the statement that the pandemic does not exist in the country anymore because it is no longer a serious topic in the society. A total of 120 (100%) agreed with the statement that government is more focused on providing condom and ARV for prevention and treatment of the disease but people also need consistent information on this pandemic. 116 (97%) of them agreed that opinion leaders and medical experts hardly talk about HIV and AIDS in the media any more, and all the 120 (100%) respondents are aware that people still die of AIDS-related opportunistic diseases but the media are silent about such development. Ninety-four (78%) of them believe they don't know enough about the state of the pandemic in the country because they rarely hear about HIV and AIDS in the media these days, but 26 (22%) disagreed. A total of 118 (98%) of them agreed that this is a nationwide problem because they have access to major news media outlets in

South Africa. Overall, all the respondents 120 (100%) are convinced that the media is not doing enough in terms of coverage of the pandemic to bring about attitudinal change to the disease.

## 5. DISCUSSION AND FINDINGS

The study on the respondents' regular sources of HIV and AIDS educational information revealed that though a large segment of the public accept and rely on the mass media, and doctors and other health givers as their regular sources of HIV and AIDS information, doctors and other health givers (69.2%) have overtaken the media as the main supplier of such information to the people. While the contribution of health officers as regular sources of information on HIV and AIDS may be due to the people's regular medical consultations with the medical professionals, and their involvements in the nation's HIV and AIDS campaign efforts including prevention, testing and treatment, it seemed the mass media have reneged reporting about HIV and AIDS. The public (32.4%) getting only a few HIV and AIDS information from the media is an indication that the media is experiencing HIV and AIDS news fatigue and have abandoned this important social responsibility. This may be because contributing dutifully and adequately in combating this pandemic by providing enough news space and time is no longer of interest to the media. This development is taking place when the disease is still very much around with much number of people getting newly infected (270,000 in 2017), the public knowledge of the disease is decreasing, they still need to be constantly reminded and well informed about this disease, and they are still interested in getting more and regular information about this pandemic. There seems to be a strong link between the above situation and the HIV and AIDS incident rate (new infections) being experienced in the province. This may be a nation-wide situation too. People are becoming less cautious and involving themselves in risky sexual behaviours that easily expose them to the infection because it is no longer in the public psyche. Meanwhile, the ARV which is currently the only hope against the pandemic can only treat this infection which does not have any cure still. Relaxing on our oars when the battle is only half won is a very risky adventure. No doubt the public may pick up some HIV and AIDS information from other sources such as bill boards, family and friends, and churches and religious organisations and CSOs as indicated by the result, the onus lies on the mass media to sustain all the efforts against this pandemic by regularly covering it. This finding is in line with that of Schwartz and Woloshins (2004), who found the media information inadequate for their audiences.

The extent of people's trust on sources of HIV and AIDS information and education correlates with their acceptance of such information and the influence it may have on them. It shows the extent such sources can be effectively utilized in communicating HIV and AIDS news information to the people. The results indicate that *Doctors and other health care givers* was the most trusted source of HIV and AIDS information and education to the public with 73.3% of respondents in the affirmative. This may be because this aspect deals with knowledge and expertise in health issues such as HIV and AIDS. Collectively, *the mass media* were the second most reliable source of HIV and AIDS information and education, but with slight variations at the level of individual media genre. Among the media, television was particularly mostly trusted by the public with 78 (65.0%). The radio came next with 72 (60%), and newspaper 70 (58%).

The result on audience perceptions on the quantity of mass media HIV and AIDS educational information communication indicated that all the respondents are convinced that South African mass media current HIV and AIDS news reporting is erratic and not enough to sustain the successes recorded in the fight against the pandemic. This is happening despite the public still relying on the media to be consistently reminded of the existence of this disease. Also, the low level HIV and AIDS news treatment in the media is a strong indication that the media have abandoned this campaign. The implication of this development is that the pandemic will no longer be seen as a serious public issue and people will tend to forget to take the necessary precautionary measures against the disease. Thus, there is high number of new HIV infections every year. More also, not having the knowledge of the current state of the pandemic in the country as indicated by most of the respondents can be linked to the extent of the media coverage of the pandemic. This may be a nation-wide situation with other provinces having the same experience because the respondents agreed they have access to the same national

media available in other provinces of the country. All these findings indicate that the media is not doing enough in terms of coverage of the pandemic to bring about public attitudinal change to the disease. People may even be going back to their normal life styles. These also revealed that the ability of the media to effectively contribute to mitigating, controlling and possibly eradicating HIV and AIDS in South Africa is quite recognized and appreciated by the general public. However, the media is not currently exerting adequate influence over this national challenge by reducing their news focus on the disease.

### **LIMITATIONS OF THE STUDY**

The data for this study was collected from four districts instead of the five districts of Limpopo Province due to lack of fund. Simple descriptive statistics was used to analyse the data. The data from the pilot study were also analysed with percentages and tables.

## **6. CONCLUSION AND RECOMMENDATIONS**

### **CONCLUSION**

HIV and AIDS is still a pandemic and has not gone away. However, the current effort by the media and other stakeholders in South Africa against the pandemic is a far cry from what it was a few years back. The media coverage of the pandemic is erratic. Thus, there is a deafening silence on the pandemic in the society causing the pandemic to go underground with possible long time debilitating consequences. The pandemic is becoming less of a serious public issue and people are tending to forget to take the necessary precautionary measures against the disease. This is adding to the incident rate in the Limpopo province in particular, and South Africa in general.

Some HIV and AIDS knowledge gaps still exist among few segments of the society indicating that sustained news coverage is needed to create continuous information update for the people. The media are expected to intensify their coverage of this pandemic, touching on all HIV and AIDS related issues. The ability of the media to effectively contribute to the mitigation and management of HIV and AIDS is well recognised by the public but the current media coverage of HIV and AIDS is scarce, irregular and spurred by event-based developments. The incident rate is still high in South Africa and increasing. There is great need for all stakeholders including the media to return to the frontline in the prevention and mitigation efforts against this disease in other to sustain the successes achieved so far against it.

### **RECOMMENDATIONS**

This study recommends as follows: Firstly, the media and other stakeholders should intensify their efforts against the pandemic to avoid the disease completely going underground. The media should do more stories on different aspects of HIV and AIDS pandemic. Producing and communicating youth friendly media content will assist in making the youth (who are the group with the highest HIV and AIDS prevalence) part of the effort against this pandemic. People should always be reminded of the existence of the pandemic in our society. Secondly, the media should constantly find better and creative ways of presenting HIV and AIDS news stories to the public in other to keep it interesting to them. Thirdly, they should always research their HIV and AIDS news to enrich the stories with factual and accurate updates and keep the interest of media consumers on the pandemic. Finally, all stakeholders in the efforts against HIV and AIDS in South Africa should endeavour to work towards achieving the needed social behavioural changes. Overall, all these efforts should focus on reducing the number of new cases (incidence) and to direct public attention to behaviours and attitude that could make them susceptible to HIV infection.

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## CRITICAL ANALYSIS OF THE RESTORATION OF PUBLIC ORDER

**Z.M. Mkhwanazi**

Tshwane University of Technology  
Email: MkhwanaziZ@saps.gov.za  
Orcid ID: <http://orcid.org/0000-0002-77555-6416>

**JT Mofokeng**

Tshwane University of Technology  
Email: mofokengt@tut.ac.za  
Orcid ID: <http://orcid.org/0000-0001-5123-0234>

**D Khosa**

Tshwane University of Technology  
Email: khosad@tut.ac.za  
Orcid ID: <https://orcid.org/0000-0001-8645-8538>

### ~Abstract~

*As South Africa's democracy has been maturing, the democratic dispensation brought along the promise of civil liberties and a human rights culture. Although these parallel developments brought prospects of accountability and legitimacy by the South African Police Service (SAPS), the restoration of public order, especially during public protests, has remained a challenge for the SAPS. The objectives of this article were threefold: to analyse the role of the Public Order Policing (POP) unit; to analyse its capacity to respond to public protests; and to determine the effectiveness of the integrated interventions of the relevant stakeholders to restore engagement and communication. A qualitative research approach utilising semi-structured interviews was utilised. Purposeful sampling was utilised to select 25 participants comprising community members, municipal officials, and POP members. These participants were chosen because of their direct involvement either in responding to public order or being part of protests, and therefore it was envisaged that their contribution would assist in understanding how protests are responded to in the Bekkersdal policing area. The results show that the restoration of public order necessitated regenerating public order characterised by low expectations of violence and a heightened respect for human rights. The findings further indicate that when the POP units mandated to fulfil these goals are effective, disruptions of public order will be minimised and the destructive consequences of those that do occur will be contained. The relevant stakeholders in collaboration with the POP unit are appropriate to respond adequately to the maintenance of safety and security during protests. The relevant stakeholders and the POP unit should enhance the effectiveness of the current strategies to be able to deal with anticipated public violence and disorder*

**Key Words:** Protests, Crowd management, Restoration of public order, Riots, Public order policing

**JEL Classification: L84**

### 1. INTRODUCTION

The restoration of public order means many things to many people (Alexander, Runciman & Maruping, 2016; Bruce, 2016; Buch, 2012; Marks & Bruce, 2014; Mofokeng, 2018). Buch (2012) asserts that the central obligation of the government is to uphold public order. Bruce (2016) points out that numerous societies are of the view that the concept "public order policing" (POP) relates to the policing of demonstrators, who might be aggrieved due to some reason, such as a lack of basic services, who are wrongly classified as dissenters in South Africa. According to Alexander et al. (2016), a further persistent source of misunderstanding is the predisposition of both the public, as well as those in the higher echelons within the law enforcement, who mistakenly or wrongfully deduce that numbers reflecting "unrest" crowd occurrences are statistics for violent protests. Buch (2012) and Masiloane and Pillay (2017:129) are of the view that public order should be viewed with a lens that determines whether the police are capable of maintaining law and order within the ambit of the prevailing

prescripts, or whether there is a need to establish the effectiveness of these prescripts in enabling the police to maintain public order during protests. The objectives of this article were to analyse the role of the POP unit; to analyse its capacity to respond to the public protests; and to determine the effectiveness of the integrated interventions of the relevant stakeholders to restore public order to bring legitimacy to the South African Police Service (SAPS).

## **2. THE ROLE OF THE PUBLIC ORDER POLICING (POP) UNIT AS AN EFFECTIVE PUBLIC ORDER SYSTEM**

Section 205(3) of the Constitution of 1996 and section 13 of the SAPS Act (No. 68 of 1995) mandate the National Commissioner of the SAPS to establish and maintain national POP capacity. Both the Constitution and section 13 of the SAPS Act mandate the SAPS to contain violence and maintain safety and security for all who reside within the Republic. Various legislative and regulatory frameworks, such as the Constitution and Police Act Standing Order of 2013, which regulates crowd management incidents, and the Criminal Procedure Act (No. 51 of 1977), afford the SAPS with provisions in one way or another regarding the use of force. The recent violent protests in Vuwani that erupted after the community lost the court case on their incorporation into the Malamulele Municipality is a classic example (Masiloane & Pillay, 2017:129). “On the other hand, the cause of violence could be a deliberate act by the protesters to attract public attention by any means. The disruptive or violent nature of the protests tends to attract huge media coverage, which one could argue advances such publicity stunts” (Masiloane & Pillay, 2017:129). Mofokeng (2018:145) states that “the prevention of violence during civil protests and avoidance of the need to resort to force by the SAPS, should be guiding principles in the management of any public order situation in South Africa”. Needless to say, during protests, the major objective of any police agency is to contain violence and maintain safety and security. Protests reveal the capability of the police to maintain and restore order using the minimum amount of force that is required to achieve their ultimate goal. This has a direct bearing on police effectiveness and efficiency in a democratic state (Masiloane & Pillay, 2017; Mofokeng, 2018).

In terms of the National Peace Accord of 1991, read together with the Constitution and the SAPS Act, SAPS officers are expected to perform at a higher standard of conduct in the execution of their duties than expected from others and in pursuance hereof, or monitor different types of protests such as crowds, protests, gatherings, marches, demonstrations, and police barricades. During the policing of crowds, the POP unit in particular is required to emphasise through the execution of its mandate that there is no place within its ranks for practices based on personal or racial prejudice, excessive force, or any unlawful actions. In view of the changing landscape in South Africa, the democratic dispensation demands that POP units are required to exercise restraint in the pursuance of public order and restoration, and are expected to use minimum force that is appropriate in the circumstances (Mofokeng, 2018; Montesh, 2012).

Bernard, Paoline and Pare (2005:203) point out that general systems theory (GST) had been nested in a long tradition in the natural, behavioural, and social sciences (Bernard et al., 2005:203). There have, however, been conflicting views among scholars both within the natural and social sciences about whether the criminal justice system (CJS) should be considered a “system”. Bernard et al., (2005:203) is of the view that “CJS was not a ‘system’ at all, observing the nonexistence of amalgamation amongst entities and the within-institution dissimilarities that occurred through diverse settings”. Several authors within the social sciences (Conklin, 1992; Hart, 1996; Roelofse, 2012; Shane, 2010) concentrating on the three constituent components of policing – namely society, the police organisation, and the individual officers – maintain that these three constituent components of policing encompass a system. For the purpose of this article, the POP units should be considered as public order systems that should adhere to in order to obtain legitimacy among the public in South Africa.

Mofokeng (2018:135) postulates that “the SAPS are authorised with preventing or managing disorder”. The South African Civilian Secretariat for Police (2016:15-16) elaborates that “the ability to deliver on this directive is reliant on the POP units being adequately structured, trained and capacitated to be able to restore public order within the constitutional perimeters of acknowledging the rights to dignity, bodily integrity and peaceful protest, and the need to remain citizen-centred for the SAPS to adequately manage crowds and public violence. The

police also require support from and joint interventions with the government departments that are the source of the community frustration that led to the protest". The protection of people who exercise their constitutional right to demonstrate peacefully against violence in general and police violence in particular is reaffirmed by the South African Human Rights Commission, cited in (Masiloane & Pillay, 2017:128), which investigated the killing of Andries Tatane by the police in the Free State province. This emphasises the need for police actions to be consonant with and uphold the rights of people to protest peacefully and unarmed Ministry of Police, cited in (Masiloane & Pillay, 2017:128).

### **3. METHODOLOGY**

A qualitative research approach utilising semi-structured interviews was utilised for this research. Purposeful sampling was utilised to select 25 participants comprising community members, municipal officials, and POP members. These participants were chosen because of their direct involvement either in responding to public order or being part of protests, therefore it was envisaged that their contribution would assist in understanding how protests are responded to by Bekkersdal police in Gauteng. This study was a qualitative exploratory investigation seeking to gather information about participants' representation of restoration of order in an effort to challenge what is exaggerated about protest policing among dominant groups. Once the proposed research obtained ethical approval, as well as permission from the SAPS, the municipality, and community members to access participants, participants were approached to participate in this study.

The participants were included on a voluntary basis. The participants' representations of the restoration of public order were analysed by taking power relations into account. This means that a method of analysis that allows for identifying themes, particularly relating to power dynamics, was needed to uncover in which context participants placed their representations. Thematic analysis is a data-analysis method that allows for the identification of themes in raw data, such as those obtained from interviews or representations (Clarke & Braun, 2013). Social conflict theory was employed as it offers a valuable theory of meaning to contextualise the praxis of thematic analysis when investigating themes produced in social conflict contexts (Clarke & Braun, 2013:120-123). Thematic analysis aims to recognise patterns of meaning across a dataset, which affords a response to the undertaken research question (Clarke & Braun, 2013). Thematic analysts are interested in what these patterns are. For instance, this research was interested in which themes emerged from the data and which themes did not (Clarke & Braun, 2013:120-123). The emphasis was on the role of themes in the production of representations. Such themes may be utilised to generate undervalued representations of policing. Three themes emerged from the findings, namely improved role clarity by the POP; lack of adequate capacity, intelligence, and planning by the POP; and restoration of public order by relevant stakeholders. These themes are discussed below.

### **4. THEMES**

#### **4.1. Theme 1: Improved role clarity by the POP**

When asked what the role of the POP unit is in restoring public order, it emerged that the majority of the participants concurred that despite the disagreement that unavoidably gravitates towards policing civil protests, the POP unit in Bekkersdal enjoyed a high level of public regard and trust. The findings also indicated that there were procedures to safeguard certain areas and to confine the crowds to minimise damage to property or threats to persons in who collaborate with community members. Thirdly, it emerged from the responses that the POP unit employed paramount promising strategies and innovative measures in order to eliminate any form of possible aggravation; earmarking leaders within crowds who incite crowds to resort to acts of violence and, in most instances, attempting to monitor or capture by video recording each protest. Some of the responses contradicted one another, where some participants were of the view that due to increased criminality within the community, such as gangsterism, the POP unit could be deployed to bring "law and order" to minimise the growing public concern about crime and gangsterism.

*The lack of capacity from the local SAPS has created confusion about the specific tasks to be undertaken by the local police and the POP unit, the coordination and*

*division of roles and responsibilities between the police and the POP, and the precise role of the different POP units (Participant 2).*

*There is overlapping of roles between the local SAPS and that of the POP unit. In these situations, POP capabilities, especially the use of lethal force, may be unsuitable to address physical violence related to problems of public order and criminality (Participant 11).*

The responses above suggest that the public was, in general, poorly informed of the POP unit's role and thought of its role only in terms of preventing and dealing with public protest and not working together with the local community. POP officials can only take into account public views if the public knows that the POP unit exists and what its mandate is. POP officials also need to be observant of the human rights culture and inform the public of their rights to protest responsibly. This will ensure that the POP unit is not visible during public protests only, but also when calm prevails. If the public is unaware of the POP unit's role, it cannot scrutinise the POP unit. The increased public awareness about the mandate of the POP unit would also reduce the stress level among POP officials when responding to public protests.

The POP units should not be seen in the same way as the Internal Stability Units of the apartheid era. In this way, the POP unit would not be viewed as a militarised unit deployed to use force and brutality. The findings showed that public confidence in the POP unit and levels of knowledge of policing were both promising. These findings offered a glimpse of hope that the POP unit in Bekkersdal was taking a step in the right direction, although cynicism and apathy were apparent from some participants. It is the authors' view that if community members and other role players have confidence in the functioning of the POP unit, it would go a long way in improving police legitimacy. Despite the mandate of the POP units, consultation with the local community regarding restoration of public order is a strategic attempt to improve the legitimacy of the POP units in South Africa. Research indicates that police consultation with stakeholders such as local communities may not necessarily have the same aims (Elliott & Nicholls, 1996; Jones & Newburn, 2001).

#### **4.2. Theme 2: Lack of adequate capacity, intelligence, and planning by the POP unit**

When asked about the POP unit's intelligence-gathering strategies, the majority of the participants concurred that violent protests and the inability of the POP units to address the recurrent complications that have been constantly raised by the affected people or communities were challenges that need strategic interventions. It is for this reason that "better intelligence" is pinpointed as the missing link or element. It also emerged that the participants from both the POP unit and the local municipality shared the sentiment that crime intelligence can be of great assistance if the POP members were to be timeously deployed, because most of the challenges relating to public protests that took place in Bekkersdal occurred abruptly. The findings also indicated political interference by local politicians. Because politicians must be seen as responsive to real public concerns, they are tempted to interfere in the performance of the POP unit resulting in unrealistic expectations on the communities. Some participants said:

*The politicians made a big impact during protests as they make promises to the community and fail to fulfil them. Politicians fight against one another, and they never reach an agreement when attempting to resolve the problems of Bekkersdal (Participant 1).*

*It was correct to deploy other members from other clusters to assist and they appreciated the fact that the army was deployed, even though it was not clear what their role at Bekkersdal was as they are not trained in crowd management and they have never worked together with the SAPS in a crowd control situation before, which was a problem when taking action (Participant 4).*

*We agree with the local police station members that politicians have a great deal of influence during protests and if they had to address the protesters, they send their junior members who are not able to take decisions. Sometime they do not show up at all (Participant 5).*

*During the unrest in Bekkersdal, the politicians were opportunistic. They sympathised with the community or demonstrators in the hope that they would vote for them. They were not objective and fought with one another, as indicated by the local police station members (Participant 10).*

*The involvement of politicians or other state agencies in crowd management causes confusion, resulting in police officers not knowing what to do. We agreed that the problem was between the protesters and the community leaders; however, it ended up being a problem between the police and the protesters (Participant 11).*

*We felt that the police were used to fight the protesters instead of protecting them. POP members, most of the time during the operations the Joint Operation Centre (JOC) or Venue Operation Centre (VOC) did not have a relevant senior official to make decisions if the situation got out of hand during an operation. There were signs of a lack of command and control during the public protests (Participant 15).*

Montesh and Basdeo (2012:89) argue that “given the relative shortage of police personnel, the South African National Defence Force (SANDF) can play in precipitating and sustaining law enforcement in civil society, can be deployed to assist them in the maintenance of law and order, especially during service delivery marches and strikes”. New recruits, as well as reserve police, in order to beef up the SAPS’s response to public order, and thus new selection and recruitment systems, will only have an impact on the SAPS on the long term (Montesh, 2012:190). Montesh (2012:190) argues that in terms of training more generally, it is in relation to the measures that are focused on members already in the service where most problems exist. Apart from human rights training, none of the measures implemented would appear to have any real potential to contribute to behavioural change in relation to the problem of brutality.

It also emerged that the majority of the participants concurred that good negotiation and communication skills were of the utmost importance during public protests. The SAPS participants also highlighted that the local community must give their support to the police in order to maximise the responses by all stakeholders to avert prolonged and disruptive public protests. The POP and community representatives indicated that members from the local police station were ill-disciplined during the protests as some of them never reported for duty, and those who reported for duty did not devote themselves to their tasks, and as a result, they leaked information to the offenders. Members from the local police station mentioned that the mayor of Bekkersdal failed to address the community when invited to do so, which contributed to distrust. Local POP members in crowd management and the majority of the participants concurred that the challenge in the Bekkersdal policing area was that the police officers were not trained in crowd management as first responders to crowd control situations, which demands the availability of trained members from POP units. It also emerged from the findings that the participants highlighted that the current population of POP members was ageing. The implications were that the cohorts of an ageing workforce were unable to run due to age and weight constraints. Even though members were very experienced, and could stand many challenges from the crowd, fitness was identified as a problem. The other challenge highlighted by the participants was the involvement of inexperienced constables who did not yet have adequate knowledge of how to respond to a violent situation. It emerged that these constables still needed to gain more experience to be able to handle any crowd management situation.

Some participants said:

*There are challenges for the POP officials to identify individuals involved in acts of criminality and violence. There is a need for the POP units in understanding social identity as the key to understanding crowds’ psychology and how to deal with them (Participant 11).*

*The POP members lack adequate skills and standards in terms of managing crowd dynamics associated with public disorder, as well as anticipate possible threat to public safety (Participant 13).*

The responses above highlight the need for POP officials to be exposed to continued training regarding understanding crowd psychology in order to respond adequately to the possible acts of criminality and violence. The concern from both the SAPS and POP members was that there was a general lack of understanding and public knowledge of the provisions of the legislation that regulates the carrying of dangerous weapons during protests, namely the Dangerous Weapons Act (No. 15 of 2013). The majority of the community participants responded that none of the people of Bekkersdal considered carrying dangerous weapons a criminal offense or that it contravenes any legislation.

### **4.3. Theme 3: Restoration of public order by relevant stakeholders**

When asked what measures were needed to restore public order by relevant stakeholders, it emerged that the participants, especially POP members, concurred that information gathering during operations should be a priority in order to assist with proper planning. The participants were of the view that policies and directives should be communicated and monitored at the grassroots level. The members felt strongly that the partnership between the police and the community needs to be improved as it would enhance service delivery regarding physical and human resources. It also emerged that the participants were of the view that improved community relations would improve integrated interventions and structures during public protests. The participants' contributions made it apparent that improved techniques and proactive deployment would reduce the unnecessary use of force. It is the view of the authors that before the commencement of public protests, as well as in the aftermath, it is essential that POP officials increase consultation with local communities in an attempt to determine the possible culprits who are suspected of inciting the crowds, and the imposition of criminal justice processes without reverting to the abuse of human rights. Depending on the nature and goals of consultation, the following steps should be incorporated by the POP unit, the local SAPS, as well as the local community, as suggested by Reisman (1995:175-176).

Reisman (1995:175-176) asserts that "*preventing* is an anticipatory public order function which ... could be applied using POP unit in the area of the study". Bernard et al. (2005:205) assert that "at a functional level, criminal justice agencies and organisations share a variety of similarities with each other that are all related to and derived from the flow of cases through the system". Furthermore, the GST argues that "each part of the criminal justice system is best understood in the context of the whole system, particularly in the context of the pressures generated by the overall flow of case processing". In the context of this article, *preventing* "anticipates the imminent rupture of public order and seeks to intervene before the rupture eventuates, with the aim of obviating it. Once a rupture has occurred, *suspending* seeks to arrest injuries by focusing on the agent of the violation. It involves an immediate response to the breach of public order, terminating the breach, and containing the destructive effects of the act. While preventing and suspending are specific to particular violations of public order, *detering* is more general" (Reisman, 1995:175-176).

"*Deterring* involves the use of various conjectural devices to craft current responses that encourage putative violators in the future to refrain from violations. Deterrence may be accomplished by credible threats of consequences for violations and/or indulgences and rewards for compliance. *Correcting* involves identifying and adjusting individual or group patterns of behavior that have generated or may generate ruptures of public order. *Rehabilitating* focuses on the victims and may involve compensation in various forms designed to redress injuries. *Social reconstructing* involves identifying social situations that generate or provide fertile ground for violations of public order, and introducing resources and institutions that can obviate such situations" (Reisman, 1995:175-176). According to Reisman (1995:175-176), "these seven goals are cumulative in the sense that an efficient public order system such as the POP unit should perform all of them, though the achievement of some goals, such as prevention and deterrence, will reduce the importance of some of the others. The common denominator of all of these goals, however, should be to protect, re-establish or create a public order characterised by low expectations of violence and a heightened respect for human rights. When the institutions", such as the POP units, "assigned to fulfill these goals are effective, disruptions of the public order will be minimised and the destructive consequences of those that do occur will be contained" (Reisman, 1995:175-176).

It is essential that the POP commanders recognise that the fundamental expectations of the public have remained relatively constant over the years. It is important to improve service delivery based on emerging trends. The “design of institutions for protecting and re-establishing public order at the international and national levels often fails to take sufficient account of the theoretical and policy problems involved in these tasks. There is no general institution that can be applied as a paradigm for all circumstances. In each context, an institution appropriate to the protection and re-establishment of public order in the unique circumstances that prevail must be fashioned such that it provides the greatest return on *all* the relevant goals of public order” (Reisman, 1995:175-176).

## **5. RECOMMENDATIONS**

### **5.1. Creating effective partnerships**

At provincial level, there are structures in place such as the Provincial Police Community Board, Provincial Joints, National Joints, South African Banking Risk Information Centre, and Community Policing Forum. These structures are normally attended by members of the community, whereby all issues that affect communities are discussed. The principles of negotiations must be employed at all times. These include patience, time, and appropriate communication aimed at facilitating lawful protest activities and obtaining voluntary compliance wherever possible. It is recommended that the police identify the leaders of protesters and develop mutual understanding so that decisions taken attempt to resolve problems and avoid misunderstandings.

### **5.2. Improvement of the intelligence-gathering process**

It is imperative that the crime intelligence community must gather information before, during, and after an event so that law enforcement can plan properly. It is recommended that within POP units, officers must be provided with proper training by the Division: Crime Intelligence on how to collect and provide information for the members to execute their tasks effectively. It is recommended that the SAPS in general should improve the quality of information on protests and be able to map trends in protests over time. In areas where armed protesters are a problem, it is recommended that information officers be deployed timeously with the necessary equipment for surveillance to gather information for proper planning. The intelligence community must be able to provide early warnings on issues that are going to take place regarding violence and to be specific on who is inciting violence.

## **6. CONCLUSION**

This study has shown the public views and perceptions in Bekkersdal regarding the maintenance of public order during protests with the aim of establishing the deployment of different policing agents or role players in operation for public order with the purpose of coordinating it properly. This included whether POP members knew their roles and responsibilities in terms of the maintenance of public order during protests. It further determined the need to enhance the effectiveness of the current strategies or approach for the SAPS to be able to deal adequately with anticipated public violence and disorder.

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**A CRITICAL ANALYSIS OF THE UNDERREPRESENTATION OF WOMEN IN LEADERSHIP POSITIONS IN METROPOLITAN POLICE DEPARTMENTS****D Khosa**

Tshwane University of Technology

Email: khosad@tut.ac.za

Orcid ID: orcid.org/0000-0001-8645-8538

**~Abstract~**

*Numerous studies have documented the persistence of gender inequality within law enforcement agencies all over the world, and South Africa is no exception. Both male and female participants downplayed outright discrimination in accounting for gender-based occupational inequalities. The purpose of this article is to examine the factors that contribute to gender inequality in leadership positions in Metropolitan Police Departments (MPDs). Historically, the police career was male dominated and women were not allowed to work in the service. Democracy, changes in law, and societal beliefs opened policing as a career to women. An extensive body of laws, policies, and programmes provide for gender equality in South Africa, therefore equal gender representation in the workplace is at a developmental stage in South Africa. The South African Employment Equity Report indicates that women hold only 29.5% of top-level management positions (Commission for Employment Equity, 2017). The MPDs indicated that, out of a sample of 600 women, only 91 (15.1%) were in leadership positions. The current gender representation in MPDs' leadership positions forms this research's problem statement. This paper is qualitative in nature. Twenty-five South African women from Ekurhuleni, Tshwane, and Johannesburg MPDs in the Gauteng province were interviewed. The transformative approach was used to enquire into participants' experiences and views about gender representation, as well as women's advancement to leadership positions in the MPDs. The results showed that culture, stereotypes, and physical fitness were perceived as barriers that hindered the representation of women in senior leadership positions. Discrimination against female officers in the workplace and unimplemented policies and procedures were also identified as hindrances. The participants recommended that the South African MPDs review their human resource practices and policies to promote a positive and constructive work environment for all employees.*

**Key Words:** leadership, women in leadership, gender, gender equality, Metropolitan Police Department

**JEL Classification: L84****1. INTRODUCTION**

There is a wealth of research that has investigated the impact of women in leadership. Gender-based discrimination is still evidenced in various workplaces. A report by Ernst & Young Global Limited (2011) reflects that there are 57.7 million people in South Africa and more than half of the population (52%) is female, yet they are under-represented in social, political, and economic spheres. Stereotypic expectations have contributed to the ongoing discrimination; that is, the exclusion of women from male-dominated sectors. This status quo was maintained in various ways. For example, Broughton and Miller (2014) are of the view that employers in the law enforcement industry seem to believe that it is not feasible to appoint females in specialist roles or senior ranks because women would not cope with the demands of the position. The police service is a sector that necessitates work and family juggling and unstructured responsibilities, therefore jeopardising female career obligations (Bandura, Caprara, Barbaranelli, Regalia & Scabini, 2011). Policy developments of the modern times advocating for flexible time to allow people to work from home were at least considered helpful to women (Kirby & Krone, 2011). The South African government has initiated policies and programmes that promote the inclusion of women in all spheres of life. However, policies alone do not seem to yield real progress. Furthermore, despite these milestones, women continue to face systemic barriers that hinder their advancement in senior leadership positions compared to their male counterparts, who continue to benefit tremendously in male-dominated jobs. While there is various literature on unequal gender representation in historically

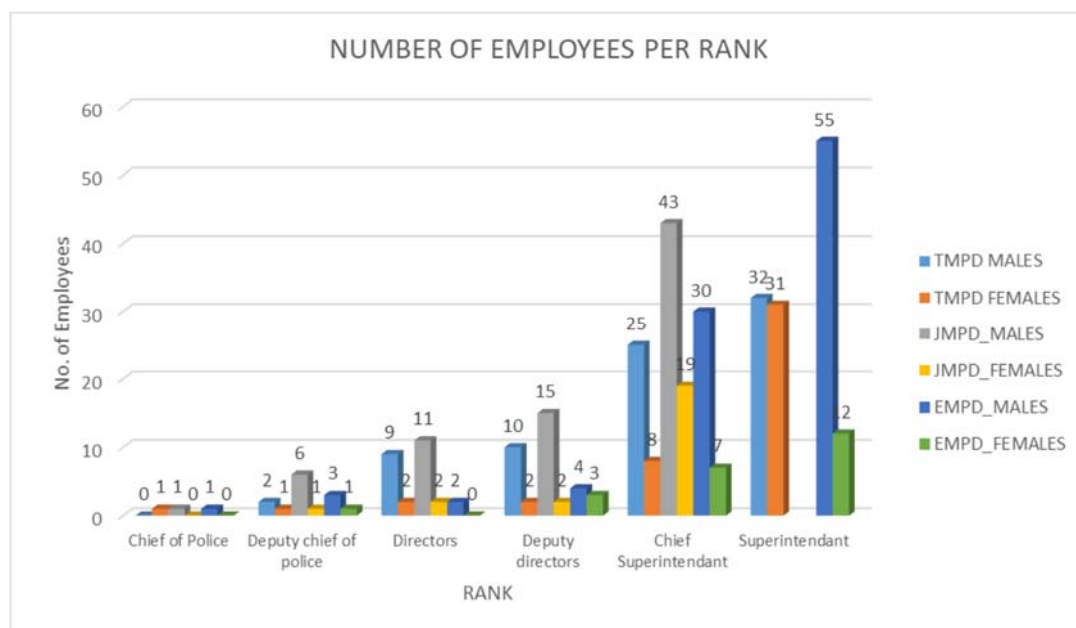
patriarchal societies, there is strong consensus in the academic literature that diversity in leadership is beneficial to society, organisations, and individuals (Shore *et al.*, 2011). There is less agreement on ways to assess impediments to diversity, specifically the inclusion strategies promoting women in South Africa’s Metropolitan Police Departments (MPDs). Gender disparity exists within specialist roles within the police service and the absence of women in senior ranks is more visible. According to Young (2000), feminist thinking emphasises the basic premise that societal structures should no longer be based on the conventional assumption that men are superior to women. This burgeoning state of societal awareness encourages gender equality and the rejection of other entrenched forms of inequality such as racism, homophobia, heterosexism, classism, and diverse theories about the relationships between gender inequality and the environment, which are the root of gender oppression (University of Massachusetts Amherst, 2015). It can be argued that the empowerment of women in MPDs requires full integration of the overlapping social roles women assume regardless of whether their work is seen as a job, a career, or a profession; and this integration should not only benefit sexual or domestic interests in the community, but should also support the changing social life of the nation within public, commercial, and industrial life.

## 2. PROBLEM STATEMENT

There is currently limited empirical research in South Africa on understanding barriers that inhibit the promotion of gender-inclusive leadership within MPDs. The underrepresentation of women in leadership positions in the MPDs continues to be a matter of concern, particularly in a traditionally male-dominated industry such as law enforcement. Research on gender and leadership has revealed that women continue to face challenges in advancing to leadership positions in this sector.

The following is an illustration of gender representation in 2018 in the Tshwane MPD (TMPD), Johannesburg MPD (JMPD), and Ekurhuleni MPD (EMPD) when the fieldwork was conducted.

**Figure 1: Gender representation in Metropolitan Police Departments (MPDs)**



## 3. HISTORICAL DEVELOPMENT OF WOMEN POLICING IN SOUTH AFRICA

Cultures, social systems, and religion have in the past promoted patriarchy and the oppression of women. In South Africa, local police services such as the MPDs are obliged to ensure participation of women in various policing structures, from community policing to strategic policing for community safety. The obligation is to diversify present opportunities to improve the state of affairs in South Africa, especially with regard to women’s participation in policing and leadership ranks. Various South African leaders have advocated for women’s inclusion

into various sectors. For example, in 1956, Sophia de Bruyn led the Women's March to the Union Buildings in South Africa, protesting against discrimination of women in society. In 2016, she addressed women and advocated for the young generation to take the initiative in the fight against inequality. She indicated that few organisations were ready to view women as the same as men (South African History Online, 2017). The revolution against gender inequality was very evident in the 19<sup>th</sup> century; many women had started challenging gender equality by ignoring the rules and customs of the time (Newham, Masuku & Dlamini, 2006). Another example is a woman named Concepcion Arenal, who was the first woman to attend university in Spain. It is reported that in 1820, to avoid detection, she had to dress like men in order to be allowed to enrol as a student at the university to study law (Newham *et al.*, 2006).

### **3.1. Factors that contributed to women's participation in the police**

Several factors contributed to women's participation in the police. These factors include a shortage of manpower in the police service and the increase of crime (South African Police Service [SAPS], 2002). Moreover, organisations such as the National Women's Council of South Africa and the National Council for Child Welfare proposed that women be appointed as members of the SAPS. These proposals resulted in the first serious changes being implemented within the policing fraternity. The proposals were followed by investigations in the late 1960s, with the aim of assessing the pros and cons of initiating women into policing (Van Kessel, 2001). The minister stated that female employees would be given specific tasks that involved women as the accused or where women were involved as witnesses, specifically in cases where women were the complainants. Similarly, female employees would also be involved in programmes aimed at the youth (De Witt Dippenaar, 1988:428-429). However, despite these good intentions to promote the advancement of women, the suggested improvements remained to a certain degree another manifestation of the perception that women are deemed inferior to their male counterparts.

## **4. POLICIES PROTECTING WOMEN'S CIVIL RIGHTS IN SOUTH AFRICA**

The legislative framework on gender equality paved the way for the establishment of institutions and entities that are charged with the responsibility of implementing policies on gender equality. Public institutions, parastatals, and government entities are established on the basis of legislation. The institutions and entities responsible for the promotion of gender equality therefore had to be preceded by the proclamation of relevant legislation. The institutions and entities that were established for this purpose include the Commission for Gender Equality and the Ministry of Women in the Presidency.

Women are increasingly participating in employment in South Africa (Labour Watch, 2015). The National Development Plan (NDP) identified the inclusion of women as a critical tool that will result in quicker elimination of poverty and reduction of inequality and thus contributing towards the achievement of the set 2030 targets.

Former president Jacob Zuma (2015) mentioned in the Status of Women in the South African Economy report that since 1994 there has been a focus on legislative reform to remove all forms of institutional discriminatory laws in the quest for a non-racial, non-sexist, peaceful, and democratic South Africa for all, in accordance with the Constitution of South Africa. An assessment of the past 20 years shows, notwithstanding the plethora of progressive legislation, that women have not advanced as rapidly in terms of socioeconomic empowerment and gender equality. Women remain the most afflicted by inequality, poverty, and unemployment, while they are often the anchors of their families (Zuma, 2015).

## **5. THEORETICAL PERSPECTIVE**

### **5.1. Glass ceiling**

Hoobler, Lemmon and Wayne (2011) are of the opinion that the invisible barrier exists as a result of discrimination against women in the workplace. A form of stereotyping, called the glass ceiling, results from behavioural perceptions of women's expected mannerisms in the workplace. These beliefs, however, contradict traditional male leadership archetypes and result in women being judged as unsuitable for leadership positions. This phenomenon explains why women only advance as high as middle management but cannot transcend into senior roles despite being educated, experienced, and visible.

Women can break through the glass ceiling, but that involves goal setting, self-assertion, and self-promotion through directive communication, determination to persevere and to achieve goals, and the need to be receptive to research and education that will advance a woman's career path (Baumgartner & Schneider, 2010). Women's empowerment entails a process of change in which patriarchal relations are challenged so that men's traditional complementary package of resources and services are provided to women, as well to ensure that equity goals are met.

## 6. METHODOLOGY

This paper utilised a qualitative research method to gain an understanding of the underlying factors that hinder women from advancing to leadership positions. The target population was approximately 3 121 metropolitan police officers who work in various positions in the three MPDs in the Gauteng province. These police officers held positions such as executives, management, and ordinary employees. The participants were selected on the basis of their position and length of service in that position. The researcher sent an email to 39 female leaders at several MPDs in the Gauteng province to invite them to participate in the study. Twenty-five women agreed to participate. The participants comprised 25 women who had held their position for at least seven or more years.

The research adopted purposive sampling. The researcher deliberately and purposively decided on the list of participants (Olutola, 2014:162). Olutola (2014:162) notes that criminal justice researchers should avoid haphazard informants, and that it is always important to select research participants with a purpose in mind. Therefore, the participants were South Africans employed in the Gauteng province, in the EMPD, TMPD, and JMPD. Eleven participants were from Tshwane, nine from Johannesburg, and five from Ekurhuleni.

The findings are based on the data that were obtained from the individual interviews. The data were transcribed and processed using Atlas.ti data-analysis software. The findings are presented based on the themes and the codes that emerged from the themes. This paper is grounded in the transformative worldview, in that it views the world through the participants' perspective. According to Creswell (2009:222-223), this philosophical worldview elaborates the views of groups whose voices are not often heard, or not heard clearly. This means that transformative research becomes a united voice for reform and change much needed by minority groups (Creswell, 2014). This may include the voices of groups who are disregarded by the industry they work in and the society they come from and live in.

## 7. BIOGRAPHICAL DATA

The participants in this paper comprised 25 females from the MPDs in Gauteng from the Tshwane, Johannesburg, and Ekurhuleni regions. The biographical data of the participants are presented according to the MPD, work experience, and age in Table 1.

**Table 1: Biographical data of the participants**

Department	Participants	Experience (Years)	Age
Tshwane	T1	13	44
	T2	11	41
	T3	8	36
	T4	11	41
	T5	10	37
	T6	9	44
	T7	7	32

	T8	8	36
	T9	11	41
	T10	10	37
	T11	14	47
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Johannesburg	J1	7	29
	J2	13	42
	J3	9	36
	J4	12	38
	J5	11	46
	J6	13	51
	J7	14	46
	J8	8	34
	J9	10	37
<hr/>			
Ekurhuleni	E1	9	30
	E2	13	37
	E3	11	35
	E4	12	34
	E5	8	33
<hr/>			

The results in Table 1 show that 11 participants were from the TMPD; their work experience ranged from seven to 14 years; and their ages ranged from 32 to 47. Furthermore, the results indicate that nine participants were from the JMPD; their work experience also ranged from seven to 14 years; and their ages ranged from 29 to 52. The results also revealed that five participants were from the EMPD; their work experience ranged from eight to 13 years; and their ages ranged from 30 to 37.

## 8. THEMES

### 8.1. Theme 1: Potential barriers to women's advancement to leadership positions

Women have been entering professional and managerial positions at the same rate as men for decades; yet they remain underrepresented at leadership levels and MPDs are not exempt from this challenge. Female leaders continue to face barriers when seeking positions on executive levels of leadership because there are still more male leaders in leadership positions and in the boardroom than female leaders.

To answer the research sub-question, "What are the potential barriers to advance women in leadership positions within MPDs?", the participants were requested to provide information about their experiences and observations on what the potential barriers to advancing women in leadership positions within the MPDs were. The research findings revealed that codes

emerged in the attempt to determine why there is little representation of women in leadership positions.

In this case, E2 mentioned *“cultural stereotype”*. This statement was supported by J1, who said: *“The problem with recruiting women is because of prevalent mentality or stereotypes.”*

E1 also mentioned that, *“[a]ctually, the men want us to feel there are certain tasks we must perform that we cannot perform”*. Some of the participants revealed that cultural issues had a negative impact, because they deprived them of the opportunity to be in leadership positions.

E2 indicated: *“They do not consider you, even if you can do well. This takes us back to the issue of male dominance, cultural stereotype, corruption, and nepotism.”* E5 also indicated *“cultural dynamics”*.

T11 felt that women needed to be empowered in order to take on other roles: *“Start occupying other roles than those in the kitchen.”*

The findings are supported by existing literature, in that the barriers to women’s advancement to leadership positions are a global phenomenon as international communities like the United States of America, the United Kingdom, and Australia have experienced similar challenges. An example of stereotype barriers is that women’s roles in policing were limited to working beside their sheriff husbands (Acker, 1990:39-58; Wilson, 2016). Employment was gendered in that work granted to women across various sectors was aligned to cultural role expectations and gender role stereotypes.

## **8.2. Theme 2: Lack of effective implementation of policies and procedures**

Legislation is important to regulate and improve organisational practices. Women still face the challenge of responding to stereotyped expectations of male leadership characteristics. To achieve the required level of economic competitiveness, it is necessary to facilitate the participation of women in various organisations. The research findings revealed that in order for MPDs to enable gender diversity, policies and processes must be in place to drive this priority.

To answer the research sub-question, *“What causes the lack of effectiveness in policies and procedures?”*, the participants were requested to provide information on their views on what causes the lack of effective implementation of policies and procedures.

J6 said: *“There is a gap, because there are still more men in top positions. Equity needs to be applied.”*

T5 indicated: *“The recruitment process is difficult for women to achieve. Physical fitness plays a major part.”*

J1 indicated: *“Although the policy says there should be equal representation, policies are totally ignored.”*

The findings are supported by existing literature (United Nations, 2010; Shields, Funk & Bredemeier, 2016). The research results indicate that various policies and procedures are not implemented in the MPDs. In this regard, the MPDs should strive to implement policy frameworks that assist in understanding rights and obligations, and the principles of conduct, rules, and formal standards of judgment to be applied at work (Shields et al., 2016). The participants perceived that recruiting women into senior management positions was problematic in MPDs as the equity frameworks were not adhered to in the MPDs. Shortcomings in the recruitment of women are recognised across the globe.

## **8.3. Theme 3: Possible remedial steps for the advancement of women to leadership positions**

Several factors were considered as indicators of possible remedial steps for the advancement of women to leadership positions, and these factors were thematised as the following sub-codes: equal, training and development, balance, mindset, motivational speakers, development strategy, and mentorship.

J9 pointed out: *“Build trust among each other; that will help males to see women as equal and capable because they are human beings.”*

T11 said: “Get speakers from outside to empower women to get rid of fear.”

This was supported by T2, who posited: “Women must stop taking a back seat and get rid of fear of the unknown.”

The majority of the participants were of the view that MPDs should provide training and development for women as one of the strategies to advance gender diversity in leadership in MPDs.

The theoretical interpretation of the codes “equal”, “mentorship”, and “mindset” is aligned to the role congruity theory of prejudice (Eagly & Karau, 2002), since the theory is premised on the assumption that people are prejudiced towards women in leadership or women aspiring towards leadership positions. The code balance is also aligned to the theory in that the theory explains the “glass ceiling” phenomenon (Eagly & Karau, 2002). Arfken, Bellar and Helms (2004) discuss the “glass ceiling” phenomenon as highlighting gender prejudice, which results in the exclusion of women from historically male-dominated positions. The participants indicated that women are still underrepresented in leadership positions and that the recruitment procedures were gender prejudiced and hence maintained the status quo of unequal gender representation in MPDs’ leadership positions.

## **9. RECOMMENDATIONS**

It is crucial that the MPDs adopt the conventional level (level 2) of Kohlberg’s stage of moral development in order to gain knowledge and understanding; practise the rights, obligations, and duties; and understand the importance of principles of conduct, rules and formal standards of judgment to be applied at work. This will assist in the transformation of conformity and stereotypical behaviour that impact on the representation of women in work places in leadership positions in the MPDs.

It is recommended that employment equity policies, training, and development be incorporated in the strategies in MPDs and that empowerment of women be practised.

It is crucial that the MPDs in South Africa as a whole review their human resource practices and policies to ensure that they create a positive and constructive work environment for all employees. By doing this, the MPDs stand a good chance of attracting top talent as employers of choice who put the aspirations of their employees first.

Another recommendation is mentorship and coaching to empower women to overcome the fear of failure and rejection and learn that rejection and failure can be used as opportunities to learn. When one learns from these experiences, it leverages strength and helps address some development areas.

It is recommended that women must be empowered to ensure that they are able to capitalise on the opportunities that are available so that the cycle of discrimination can be broken. When women are empowered, they can advocate for themselves and others.

## **10. CONCLUSION**

This paper indicated the need for mechanisms of constructive feedback from a selection of women in leadership positions in order to address shortfalls that affect women’s advancement to leadership positions. Leadership development programmes must be tailored to women advancing to leadership positions so that they are coached or mentored on how to achieve employment goals. MPDs should conduct research annually to identify barriers that impede women’s advancement to leadership positions. MPDs should use the findings to design a leadership development programme tailored for women in order to address identified shortfalls and to resolve unequal gender representation in positions.

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## UNDERSTANDING CRIME SCENE PHOTOGRAPHY: A FORENSIC INVESTIGATOR'S SILENT WITNESS

**Mr RJ Mokwena**

University of South Africa

**Dr LL Motsepa**

University of South Africa

### ~Abstract~

*The universal adoption of forensic photography in responding to various crime scenes remains a pivotal segment of criminal investigations as a silent witness to aid the police and Department of Justice and Constitutional Development. In this way, criminal prosecution in criminal courts seeks to address modern and traditional approaches to elusive crimes and criminal elements. Forensic photography is used to link criminals to multiple crime scenes, focusing on how the police perform their operations in locating and investigating crime and how the available courts deal with perpetrators. This article provides a qualitative analysis to determine the significance of crime scene forensic photography as a silent witness. Predetermined steps of secondary document analysis were followed to allow the researchers to enhance their understanding of the subject matter. The collection of data was restricted from 1984 to 2018, not in sequence. Purposive sampling was used to collect data from various databases. This study found that crime scene photography act as a shred of irrefutable evidence, which is increasingly vital in ensuring accuracy and fairness in a criminal investigation. The study postulate that the only requirement to stimulate photography as a silent witness in a criminal investigation is to allow forensic detectives to possess practical analytical abilities. Forensic photography is an indispensable source for evidence-based investigation. The value of crime scene photographs for effective criminal investigations and court-driven purposes offer essentiality to utilize advanced photography in the criminal justice system.*

**Keywords:** Crime scene, forensic photography, forensic investigation, information, illustrative evidence, investigator, silent witness

**JEL classification code: O14**

### INTRODUCTION

Forensic investigation and analysis do not start in a laboratory, but at the crime scene which, if protected well, silently provides clues without elaboration. Rohatgi and Kapoor (2014:271) cite that photographs provide investigators and others with a permanent visual record of the scene that can be analyzed or examined for later use. Therefore, universal adoption of forensic photography in responding to various crime scenes could be a pivotal segment of criminal investigations as a silent witness aid to law enforcement agencies and the Department of Justice and Constitutional Development (i.e. criminal prosecution in criminal courts). Forensic photography addresses modern and traditional approaches to elusive crimes and criminal elements. Thus, crime scene forensic photography can be used to link criminals to multiple crime scenes, focusing on how the police perform their operations in locating and investigating crime and how the available courts deal with perpetrators.

Photographs of everything – from landscapes to historical events – have preserved and illustrated history for the past 200 years. When a photograph of a forged document was presented and allowed as courtroom evidence in 1851, photography as a forensic tool was born and soon became a boon to cases of identification and scene analysis. Crime scene photography became cutting edge in the 1870s and new technologies have expanded its use ever since (National Forensic Science Technology Center [Sa]; Rohatgi & Kapoor, 2014:271-274). The objectives of crime scene photography are to record the conditions of the scene before alteration, record the location and position of evidence items collected, document the point of view of principal and potential witnesses, and document spatial relationships of pertinent items (Ogle, 2004).

Since the discovery of photography in the 18th century, photographs or pictures, video recording, and imaging have been used extensively for a variety of reasons. Leggat (1995), mentions that, in 1839, the photographic process became public. Mnookin (1998) coins phrases such as “a picture’s worth a thousand words” and “seeing is believing” to stress the significance of photographs. Even today, at every event, no matter how small or big, photographs are still taken to preserve memories. However, the emergence of photography in the police tells a different story, that of illuminating the truth. This relates to the saying “If in doubt, photograph it”. One requirement of crime scene photography is that pictures must be of good quality to ensure that they are effective for the investigative process, known as forensic photography. Information garnered from pictures taken at the crime scene is frequently used in court to reconstruct the crime scene and identify crucial pieces of evidence. Photographs are directed at storing and extracting information to achieve the objectives set by the police, such as evidence gathering from witnesses.

According to Gilbert (2010), various factors might cause eyewitnesses to view incidents either slightly or even completely differently from one another. Aspects such as perception, anxiety, fear, environmental effects, and company might influence the observation capacity of an eyewitness. Such factors, however, will not deceive what has been captured in photographs (Bertino, 2012). Although the smell and taste part of the observation is not possible in the case of photographs, photographs are able to capture the reaction of individuals (e.g. pain, crying) through their facial expressions and positions. Technical aspects such as focus, focal plane, depth-of-field, old age, and sight effects play a major role in observation. As McNeal (1984) aptly admits, human perception is an activity that selects from the infinite multitude of sensations those which emerge into consciousness.

The photo-album containing photos of crime events, suspects and sometimes witnesses in the case docket should be double-checked in order to establish the facts. The proper analysis of each photograph and subsequent compilation of the statement will give the hypothesis meaningful directives. After the interrogation of each photograph, the police may do a factual comparison with other statements in the case docket. In this way, the police can come to a more comprehensive point of view, which will be based on the reports from both information contained in the photograph and the other statements in the case docket (Bennett and Hess 2001).

This article argues that the additional purpose of a silent witness, namely forensic photograph(s), is not expected from investigators and not fully documented. Today, the ability of police detectives to conduct a proper criminal investigation that is evidence-based is influenced by their ability to analyse information concealed in the quality of crime scene pictures. Photo analysis allows detectives to enhance the investigative process with the help of nonverbal reminders. The nature and scope of crime scene photographs depend on the degree of an incident and a variety of factors, including the type of crime involved. The approach of this article seeks to emphasise the importance of the silent witness, better known as photographic evidence, even at the lowest level of the criminal investigation. In the preceding sections, researchers emphasise the significance of photographs beyond serving as memories.

## **METHODS AND MATERIALS**

This article followed a non-empirical research design, a systematic review. This study design refers to a research form that identifies, describes, appraises and synthesizes available research literature “using systematic and explicit accountable methods” (Gough, Oliver & Thomas, 2012). In this case, the predetermined steps of this research design were followed to allow the researchers to enhance their understanding of this subject. Documents [i.e. Data solicited from the electronic academic databases, books, journals, and internet sources] are something more than just a source of data since it is possible to research documents as a ‘field’ of research,” (Matthews and Ross, 2010). Data was collected qualitatively using non-probability: Purposive sampling, aided by researchers’ personal experiences, spanning the period 1984 to 2018 (i.e. not in sequence), and inclusion/exclusion criteria were applied during this process, and the keywords/phrases were used to filter relevant information on this subject based on the research problem. The qualitative content analysis (QCA) refers to a data collection method or “mixture of ‘analytic techniques’ and procedure” (Flick, 2015). Thematic

analysis (TA) was used to analyse the collected data. Matthews and Ross (2010) state that “one can ask questions of documents in the same ways as with research respondents”. For this article, the collected data was qualitative in nature, expressing the ideas contained in the document in line with the underlying approach of the reviewed document.

## PRELIMINARY LITERATURE REVIEW

It remains a ritual that in every serious crime scene, pictures are taken for later use (Rohatgi & Kapoor, 2014). However, it has become common practice in the South African Police Service that photos are only taken when it is a serious incident, such as murder, aggravated assault, and sexual assault cases. Before exploring the photographs, it is important to succinctly conceptualise what a crime scene photograph is. The word “photograph” comes from the Greek word “photo”, which refers to light, and the Latin word *graphos*, which means “to write” (Mokwena, 2012). In practice, this process of writing with light refers to the reproduction of images with a camera – in other words, taking photographs. If not altered, a photo mirrors the positions of objects at the time when it is captured. In general, the use of crime scene photos in courts illustrates their necessity during the investigation process. The contemporary way of capturing crime scene events is predominantly in mixed approaches. Each approach is screened for the presence of crucial information that can assist investigators. Photos may also contain information such as forensic crime scene clues that an investigator can use to make a decisive evaluation of physical evidence. As it is the role of investigators to provide accurate evidential information, it is important to ask the crime scene photographer to take as many pictures as possible for analysis.

Osterburg and Ward (2014) mention that two kinds of photographs are taken at the crime scene. The first kind is intended to record the overall scene. Such photographs will include the approach to the premises used by the criminalist, the point of entrance, the pathway through the premises, the various rooms the criminal entered and the location of any physical evidence. The second kind records details needed by the criminalist to reconstruct the crime or establish identity. Currently, courtrooms are flooded with digital display of advanced photography attempting to bring the scene of crime into the court. Therefore, the notable functions of crime scene photography are to provide a visual record of the scene and related areas; to record the initial appearance of the crime scene and physical evidence; to provide investigators and others with the permanent record subsequent [sic] analysis of the scene; and to provide the permanent record to the court. Crime scene photography is one of the most important steps in the entire investigation process. As one of the primary documentation components, systematic, organised visual record of an undisturbed crime scene must be achieved (Lee, Palmbach & Mille, 2001).

The nature of pictures taken at the crime scene plays an important role, despite the perception that crime scene photographs are overlooked and only used in rare situations to identify perpetrators and victims. The dynamics of photographic evidence means an investigator and the prosecution must convince someone that they are worth being presented and tested as evidence in the court of law. According to Mnookin (1998), during the 1850s and before, legal evidence usually consisted of words – spoken testimony, written affidavits, contracts, deeds, and the like. However, Bertino (2012) points out that photographic testimony plays an important role in the criminal investigation. McNeal (1984) posits that silent witness evidence is a subcategory of representational evidence such as photographs. Unlike photographic testimony, various aspects influence personal observation. According to Mnookin (1998), seeing a photograph almost functions as a substitute for seeing the real thing. Among these is the psychological effect of the scene being observed by the observer (Bertino, 2012). Although the analysis of each photograph is time-consuming, the effort is worthwhile as its outcomes can become crucial in assisting investigators in the solution of multiple criminal cases. As a result, forensic photography plays a crucial role in a criminal investigation (Li, 2010). Forensic photography refers to the accuracy of recording by a camera of a crime scene or materials of legal interest. Miller and McEvoy (2011) state that, for a police photographer, crime scene photos are statements of what was seen at the scene. The role of a photographer is to capture information relating to the scene before it is altered.

Mnookin (1998) cautions that the evidentiary purpose of photographs is important, but it is more complex and interesting. Two competing paradigms govern the understanding of the

photographs; one being its ability to transcribe nature directly and the other focusing on ways in which it was a human representation (McNeal, 1984). According to the second perspective, photographs represent humans, which, it is argued, is a false thought and misleading form of proof (Mnookin, 1998). Based on human representation, photographic details can be manipulated and misinterpreted. Despite these doctrines, it is essential for investigators to analyse each photograph properly as some evidence might appear which was not collected (Chisum & Turvey 2011). Gilbert (2010) gives a point of measurement from the photographs as a crucial aspect and states that the most important details and particulars of the case are a preamble to the analysis of the crime scene photograph. Blitzer and Jacobia (2002) support this viewpoint. In terms of criminal investigative processes, sources such as *modus operandi* (MO), the suspect, witnesses, and physical evidence are vital to solving the investigation puzzle. However, crime scene photos often expose bits and pieces unseen to both inexperienced and experienced investigators. Palmiotto (2004) contends that there are two types of evidence: direct evidence (i.e. phenomena that are real, physically tangible and factually connected to the criminal, the crime and the crime scene) and indirect evidence (phenomena that are physical but which are connected to the criminal, the crime and/or the crime scene by way of opinion or interpretation).

An example of direct evidence is an eyewitness testimony that places a suspect at the scene of the crime at the time of its commission. An example of indirect evidence is finding a possession that belongs to a suspect at the scene of the crime. From that piece of indirect evidence, an investigator might infer that the suspect was present at the scene of a crime. A crime scene photograph is categorised amongst the documentary evidence. Joubert (2010) considers the photograph as real evidence as it resembles the real object. Therefore, it is essential for the investigators to conduct a rigorous examination of crime scene photographs as real evidence to establish and verify facts. The real fact is a stab wound where the suspect's strong hand might be established. Hueske (2006) argues that characteristics such as hearing, and vision are equally essential when witnesses tell their version of events. According to Gilbert (2010), a "witness" refers to an observer who sees or knows by personal presence and perception and/or a person who is requested to testify in a case or before a judicial proceeding. Brandl (2008) posits two types of witnesses, namely primary and secondary.

The distinction between the two categories depends largely on the information provided by the witness. The primary witness refers to the observer who most likely saw the incident or event and has first-hand information about the crime. Secondary witnesses are those who heard about the crime or who has information about the planning and execution of a crime. For the purpose of this article, the witness who is referred to is the primary witness who saw the crime or some part of it (Bennett & Hess, 2001). After proper analyses of the crime scene photographs, it will be easy to tell if the witness statement is from the secondary or primary witness. In some cases, the victims are the only witnesses. This becomes a challenge as such individuals are emotionally affected and might allow fear, rage, and anger to cause them to exaggerate what had happened or to withhold information (Bennett & Hess, 2001). Table 1 shows the psychological paradigm of witnesses and complainants in observational flexibility.

**Table 1: Factors influencing witness observation**

Variables	External Factors	Emotional Factors	Psychological Factors	Personal Screening Factors
<b>Social</b>	Poverty	Anger	Illness	Religion
<b>Trade</b>	Power	Anxiety	Oldness	Education
<b>Occupation</b>	Politics	Love	Impact	Status
<b>Fear</b>	Relationship	Jealousy	Affection	Benefits

<b>Security</b>	Seniority	Excitement	Education	Consequences
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Source: Gilbert (2010)

## RESULTS AND DISCUSSION

### INTERVIEWING THE PHOTOGRAPHS: FORENSIC SCIENCE INTERVENTIONS

The term “interview” is subject to considerable semantical ambiguity. It can mean analysis, examination or interrogation. It is important that we centre our attention on the use of interview, the informative technique or method, often used for a variety of things. In this respect, the interview is like an interrogation, questioning, examination, and cross-examination to extract information from a silent witness. Not only can an interview or cross-examination be used to elicit evidence from people, but also to extract information from photos. The word “interview” is normally associated with the process one would follow to be appointed to a job. While all interviews are essentially about an exchange of information, for the purposes of this article, the word “interview” is assimilated to mean the questioning of the photograph which is believed to possess data that is of utmost importance to a criminal investigation (O'Hara & O'Hara, 2003). Bennett and Hess (2001) state that in the context of the criminal investigation, the word "interview" means the questioning of someone who is not a suspect in crime but who has knowledge or information about it.

This article suggests that a photograph cannot literally be interviewed, but it can be examined. However, what is gleaned from photos can be illustrative in the form of a testimony, a representation without biases aiding a silent witness to communicate the facts. Of course, this technique would require an investigator to possess a high degree of skill. Mnookin (1998) argues that a photograph can be used as evidence as long as it has a human being's credit to support it. An explanatory testimony of this nature would have to be corroborated with visuals sequentially illustrating crime incidents unfolding.

**Table 2: What the data gleaned from photographs entails:**

Subjects	Data to identify the subject of a photograph
<b>Location</b>	Data to identify the location. Complete address particulars. Establishing photo
<b>Photographer</b>	Data to identify the complete details of the photographer
<b>Case number</b>	Data to identify the case number particulars
<b>Time</b>	Data to identify the accurate time when the photo was taken
<b>Date</b>	Data to identify the correct date the picture was taken
<b>Description</b>	Data describing the weather condition

Source: (Gilbert, 2010)

It can be deduced from Table 2 that photographs should be taken in such a manner that they provide clear, undistorted, high-quality images that document the condition of the crime scene, evidence, and persons related to a criminal investigation. A timestamp function will be used to clearly indicate the location, a photographer, case number, time, date and related description. Therefore, the objectives of forensic photography is “to record the condition of the scene before alterations occur, To record the location of the scene, To record the position and condition of evidence, To document the point of view of the persons involved and witnesses, To document the spatial relationships of pertinent items, To convey the look of the scene to investigators, attorneys, and jurors who will not have the opportunity to view the scene first

hand, To use as a tool for crime scene reconstruction efforts, To assist in portraying an accurate picture of the crime scene during courtroom testimony and To refresh the photographer's memory of the scene" (Crime Scene Technical Manual, 2016).

With this submission, the researchers conclude that, traditionally, a statement should include a preamble with complete details and particulars of a photograph, stating the physical location where the photograph was taken, the particulars of the photographer who took the picture, the day, date and time when the photograph was taken, the precise position the photograph was taken from and the photograph sequence number. The detailed information, as elaborated on by the photograph, must also emphasise the description of each exhibit and physical evidence appearing in the photograph (i.e. quantity and quality), the exhibit number of all exhibits appearing in the particular photograph, the exact location where each exhibit is situated in the photograph, the accurate distance between each item, an explanation of how each item links and relates to the other, and how the investigation was done on each exhibit. If necessary, the investigation report is done on each exhibit in each photograph, and the signature of the photographic analyst or investigator should also be provided.

**RELEVANCE OF PHOTOGRAPHS:** McNeal (1984) asserts that relevance is demonstrated through various factors, sometimes including time, place, and personal identity. Wells, Bradford, Gilbert, John, Kramer, Ratley and Robertson (2012) argue that, whether a piece of evidence is relevant or not, depends on what the evidence is meant to prove. However, McNeal (1984) asserts that if there is a witness with personal knowledge of the subject, and if that witness verifies that the photograph fairly and accurately represents what he saw, the photograph cannot be admitted under the illustrative evidence foundation. Under section 221(1) of the Criminal Procedure Act (Act No. 51 of 1977), any statement contained in a document and tending to establish a fact shall, upon production of the document, be admissible as evidence of that fact.

**AUTHENTICITY OF PHOTOGRAPHS:** Wells et al. (2012) contend that, if a judge determines that the authenticity of evidence cannot be satisfactorily made, the judge may rule that the evidence is inadmissible. Although digital evidence is different from tangible evidence, the rules regarding its admissibility in court are no different from the inadmissibility of any type of evidence. Wells et al. (2012) emphasise that, for proper authentication, the party offering the evidence must produce some evidence to show that it is in fact what the party claims it to be. Schwikkard and Van der Merwe (2012) point out that, for a document to be authenticated, generally means no more than tendering evidence of authorship or possession depending on the purpose for which it is tendered. It also emphasises that the evidence was not tampered with to influence its objectivity in the process.

**EVIDENTIAL COMPARISON:** Producing evidence by comparing witness statements with photographs, where both say the same thing, will prove beyond a reasonable doubt that the crime had been committed in the manner stipulated in the case. Whereas in the investigation part, witness memory can be refreshed by letting the witness read his statement and see the photographs in the docket, Osterburg, and Ward (2014) warn that experienced police have learned that eyewitnesses can be mistaken and that it is not uncommon to find various reports on an identical event to be incompatible. In such an event, it is the task of the investigator to resolve such contradictions by reconstructing how the crime was committed. According to Joubert (2010), the effective preparation for the case, in the form of reflections on the content of the evidence and possible questions, will give the witness a sense of self-confidence.

**VERIFYING SUSPECT MODUS OPERANDI THROUGH PHOTOGRAPHS:** The term refers to the specific methods of operation employed by criminals during the commission of an offence, which is likely to form an identifiable pattern (Gilbert, 2010). Osterburg and Ward (2014) describe the MO as an offender pattern of operation. The author added that when the MO is collected, stored, and classified, its information can assist in the identification and apprehension of a perpetrator. Fish, Miller and Braswell (2011) refer to MO as a criminal's signature, because it refers to that which criminals leave behind in the commission of their crime, which allows authorities to distinguish one criminal from another. Prinsloo (1996) indicates that, in determining the MO of a perpetrator, the actions of the perpetrator should be examined during all phases of the crime: the planning phase, operational phase and post-offense phase, during which behavioural characteristics should also be noted. Osterburg and

Ward (2014) further explain that, when an individual has an arrest record and a unique MO is on file, an identification may occur if the MO is used again and recognised.

## CONCLUSION AND RECOMMENDATIONS

This conclusion identified several issues based on the data from the literature that enable an understanding of photographic analysis and the compilation of a report, which addresses the questions under investigation. Crime scene photographs have evidential value in a criminal investigation. As mentioned earlier, the photograph is afforded credibility because it is considered to reproduce its subject directly. The data shows that a photograph has more to offer than merely relying on the memory of a human being. This study concludes that crime scene photographs can catapult the investigation to a progressive level whereby clues can promptly steer investigators to solve crimes quicker. It is recommended that the police use photographs to verify witness and suspect information. Photographs can also be used during court proceedings as effective investigative techniques to verify the information. The researchers concede that photographs have a substantial influence on how evidential information is processed, with heightened ability. This is one of the central investigative techniques marginally used by under-skilled police to obtain evidential information. The significance of examining photographs taken at the scene of the crime is an aspect that ought to be assimilated by general detectives. Photographs should not only exist for illustrative purposes in high-profile cases but also be used by local detectives to further investigate cases, where necessary. The only requirement to stimulate photographic analysis for investigators is to possess practical analytical abilities. The challenge is overcoming a lack of skills and related photographic knowledge. In this way, photographic analysis can become an indispensable source for evidence-based investigation.

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**RESEARCH METHODOLOGIES, APPLIED IN TAX LAW AND TAXATION RESEARCH OVER THE PAST DECADE**

**MJ Preston**

North-West University

Email: Marie.Preston@nwu.ac.za

Orcid ID: 0000-0003-4373-3610

**~Abstract~**

*Research in the fields of tax law and taxation in general, is mostly dependent on a qualitative approach in terms of data found in the form of primary sources such as court cases and secondary sources such as legislation and other literature sources. Often scholars in the field of tax law and taxation studies tend to be very ambiguous with regard to the research methodology and specific research technique applied by them. Very limited information on tax law related literature was found, which specifically discussed the applicable research methodology applicable to this field of study. The main objectives of this study were: Firstly, to obtain evidence of the most appropriate research designs, methods and techniques that are applied in research projects in the field of tax law and taxation in the past decade. Secondly, to determine and scrutinise the most appropriate research design, techniques and methods applicable to this field of study. Lastly, to highlight to novice researchers, the importance of selecting an appropriate research design, method (s) and technique (s) before a research project is conducted. Unobtrusive techniques such as documentary analysis, thematic and cluster analysis, and content analysis, among others, were considered in order to address the objectives stated above. The methodological approach included a documentary and content analysis and the results were documented by way of a systematic literature review. The methodologies endowed in literature were ranked according to their frequency and conclusions are drawn from the most frequently used technique. In addition, to assist novice researchers, different research techniques were compared, summarised and categorised, by way of considering the applicability of each technique's main objective and function and practical application.*

The study found that documentary analysis and thematic analysis are the most commonly used techniques in literature reviews in the field of taxation and tax law studies.

**Keywords:**

Methodology, Research methods and techniques, Taxation and law research.

**JEL Classification:** B49, K34

**1. INTRODUCTION**

A central purpose of any academic activity is to engage in obtaining knowledge. This is achieved by developing new ways of making sense of the world. While disciplines vary in the domain, seeking, creating and questioning knowledge and proposing new understandings and explanations are common to all academic and scholarly activities (Boell & Cecez-Kecmanovic, 2014). One facet of creating a new knowledge base is interpreting research that others have undertaken and building existing knowledge through understanding, examining, questioning and critically assessing published work to advance scholarship (Boell & Cecez-Kecmanovic, 2014). Therefore, the quality and success of scholarly research greatly depends on the quality of the analysis and interpretation of literature.

According to Mentz (2014), De Villiers (2015), Swanepoel (2017) and Swart (2018) research methodology, research design, scientific theories, etc. can be very comprehensive, and therefore may be intimidating for novice researchers. One is confronted with selecting a topic, with terms like scientific knowledge and method, an appropriate research paradigm and research philosophy. Many research attempts had died an early death as a consequence of the complicated nature of scientific research.

In practice the writer found that qualitative tax law and taxation research studies in general, tend to be very ambiguous with regard to the research methodology and specific research technique applied by the researcher.

A qualitative research paradigm, method and unobtrusive research techniques are the most applied methodology in these research fields, mainly because most tax law related studies rely on primary resources such as court cases, and secondary sources, such as legislation and scholarly literature, as data collection and analysis methods. This statement proved to be correct in the findings discussed later on.

Qualitative research in this case relies predominantly on exploratory research. Hence, the appropriateness of the technique used, will depend on the nature of the social research problem that will be explored. In order to address modern research problems scholars are increasingly making use of and adapting qualitative methods and techniques to resolve research problems.

Research in South African literature indicated that no such research exists on the topic of tax law and taxation, and therefore this study is the first exploratory research in South Africa.

The primary research question to be addressed in this study is: What appropriate research methods and techniques are applicable, in terms of a qualitative research design, in the field of tax law and taxation research?

This study aims to give guidance in this regard to novice researchers, but also to explain the terms related to scientific projects in the fields of tax law and taxation in simple and understandable language.

## **2. RESEARCH DESIGN, METHODOLOGY AND REVIEW PROCESS**

This study was structured as a qualitative systematic literature review (SLR).

Many researchers, such as Ten Ham-Baloyi and Jordan (2016), as well as Piper (2013) (also refer to Smith, Devane, Begley & Clarke (2011); Kitchenham (2004)), indicated SLR to be a vigorous method to identify relevant literature and to ensure that a thorough study of scientific value, which is fair and unbiased, was conducted. SLR is designed to report on findings obtained from literature using specific methods (Gough, Thomas & Oliver, 2012).

Literature searches on the internet did not indicate any one single standard definition for the SLR methodology. The definition of Moher, Shamseer, Clarke, *et al.* (2015) mostly describe the process/design followed in this study: "A systematic review attempts to collate all relevant evidences that fits pre-specified eligibility criteria to answer a specific research question. It uses explicit, systematic methods to minimise bias in the identification, selection, synthesis, and summary of studies..." Four essential characteristics for a SLR are highlighted by them:

- a) A clear set of objectives are essential.
- b) A "systematic search that attempts to identify all studies that would meet the eligibility criteria".
- c) One should validate the findings included in the study to ensure that researcher was not bias.
- d) To systematically report on the selection process as well as findings, etc.

In addition, the PRISMA-protocol (2015), combined with the systematic review (SR) process recommended by Tsafnet, Glasziou, Choong, *et al* (2014), were also used to structure this study, and to ensure that it meets the minimum standard required of a SR. It should be noted that although the PRISMA-protocol is mainly applied in medical studies, it is only the guidelines that pertain to meta-analysis, which is not applicable to social science research in general.

### **2.1. Objectives**

Previously it was indicated that clear objectives are one of the essential characteristics of a SLR. The secondary research questions addressed by this study are underpinned by the following research objectives:

1. To identify the most appropriate research designs, methods and techniques applied in research projects of post-graduate studies, in the field of and tax law.
2. To determine and scrutinise the most appropriate research designs, methods and techniques applicable to this field of study.
3. To summarise the results in ranking order and to recommend the most appropriate methods and techniques for these types of studies.
4. To guide novice researchers in terms of the crucial aspects when considering a research design, method and technique before a research project is attempted.

### 3. FINDINGS AND DISCUSSION

The findings with regard to the different objectives are discussed in this section.

#### 3.1. Objective 1: Literature selection – criteria and process

In an effort to identify applicable literature, the EBSCO Discovery search platform used by the North-West University was applied. The data were obtained from the following databases: ScienceDirect, Scopus, Emerald Insight and HeinOnLine.

A research period of 10 years was tested due to the fact that the last scholarly articles found, which researched methodologies etc., specifically in the field of taxation, were by Shevlin (1999) and Gallagher (2004).

Broad keyword search terms were initially applied to ensure that pertinent works were not omitted. All the search terms related to “research methodology”, “research techniques”, ‘taxation’, “tax’ and/or “tax law” were either used in the searches as “keywords” to be looked for in the title of the document, in the abstract of the study or as keywords listed under the heading “subject” in the description of the document.

These results were extrapolated in tables, but because of the length thereof the tables are not reflected here. The following were found:

1. The original search delivered 628 479 results. It was soon discovered that the use of the keyword “tax” recommended all studies published in the *E-Journal for Tax Research*. It was also noted that only one study of the first 150 documents, related to research methodologies in tax law research. This was the only study therefore selected to be scrutinised.
2. No study with the “research methodology AND tax AND law” in the title could be identified. The search was further refined and the word “law” was omitted.
3. To broaden the search, the search hits were extended to include the abstract of articles. Eleven articles were identified. None of these articles, however, addressed research methodology in terms of the design, methods and techniques as applicable to the subject field of tax, let alone tax legislation or law.
4. It was found that the “basic search” delivered the most suitable literature. All literature identified by this search were further evaluated by manually searching for the terms “method”, “technique” and “tax” in the title and subject information displayed. The information considered in the abstract were also considered and a further five documents were selected for perusing in this study.
5. The above-mentioned was followed to eliminate the risk of being bias toward certain studies or authors.

As an end result, only eight scholarly articles were identified. These articles were perused and the findings summarised in a table. Again, because of the dimensions of this table, it is not reflected in this study. (The summary is available.)

Only three of these article could be used in this study. The other five article were excluded because of a lack in detail of methodological approach followed. (these articles can be requested from author)

#### 3.2 Objective 1: Research methodology applied in post-graduate studies

Doctoral and Master studies were analysed to determine how the student reflected on the research methodology applied. It was soon found that in the field of taxations studies very little attention is paid to this part of the total study.

The following can be reported:

1. The data of the North-West University were used because of the author's affiliation with this institution.
2. The period tested was from 2009 up to and including 2018.
3. In total 1936 studies were published under the banner of the Faculty of Economic and Management Sciences (EMS). These studies include theses, dissertations as well as mini-dissertations.
4. A total of 76 studies were analysed. All of these studies were conducted on the subject of taxation and most of them linked to tax law.

**Table 1: Research methodology and techniques applied in post-graduate studies**

EMS / 1936	None	Literature	Literature / critical analysis	Literature / empirical	Systematic lit. review	Descriptive analysis	Qualitative	Qualitative / legal doctrinal (legal research paradigm)	Historical / comparative	Mixed method: qualitative and quantitative	Other
76	4	41	6	1	1	2	11	9	7	12	4

Source: NWU: Electronic Theses and Dissertations Repository

Table 1 indicates the number of studies found that applied the different methodologies, methods and techniques indicated as a heading.

The data summarised in Table 1, was analysed, and the following was noted:

5. A few studies connected with more than one of the categories. For example, the study would indicate that it is a literature review, but then it will also indicate that a historical and comparative analysis were done. Providing a reason why 98 studies are listed under the different categories of research methodologies or techniques.
6. In four of the studies no methodology or the approach followed were discussed. The search was conducted for studies (theses, dissertations as well as mini-dissertations) that were specifically done on the subject of taxation. Only 76 studies fit this requirement.
  - a. Nine of the studies based their research on "legal research paradigm".
  - b. Two studies (one dissertation and one mini-dissertation) discussed the methodological approach in separate chapters.
  - c. Although most of the doctoral studies discussed their methodological approach over at least two pages or more, most of the discussion related to assumptions and theoretical background.
  - d. Only two doctoral studies discussed the methodology and research techniques applied in detail. These techniques are researched and discussed in the following section.

The conclusion can be drawn that in the field of post-graduate taxations studies, very little attention is paid to research methodology and techniques. This may be a very strong statement seeing that only one institution's repository was considered. But if the sum of literature discovered, and discussed above is considered, then it seems as if this statement is not too far from the truth.

The question one may ask, and which remains to be answered, is whether it is indeed necessary to address the issues of methodology etc. in these types of academic studies? The basis for this question stems from the fact that all 118 studies, as reviewed by the author, were awarded a degree qualification.

### 3.3 Objective 2: Applicable research design, methods and techniques

With the analyses of the post-graduate studies, of which the findings were discussed in Section 3.1 above, it was found that only 12 of the studies had employed a mixed method research design, and made use of both a qualitative and quantitative research paradigm and methods. It is therefore safe to say that the rest of the studies were all qualitative studies, which employed different methods and techniques. The meaning of a quantitative research design and methods, will therefore not be discussed in this paper.

### *3.3.1 Conceptualising and defining concepts related to scientific research projects in taxation law*

Social scientists have “to select appropriate techniques and methods to enable them to carry out their research task” (Mouton, 2001:35-40). Before different scientific research, methods and techniques are discussed in terms of Objectives 2 and 3, it is necessary to clarify in short what are meant by the concepts related to a **scientific** research project in general and taxation law in particular. It should be noted that an in-depth discussion of these concepts, especially with regard to the concept “science”, fall outside the scope of this study.

#### *3.3.1.1 Defining scientific knowledge and scientific method*

It should be noted that science is not based on taking second-hand sources at face value but is inherently sceptical. It questions all claims, irrespective of the authority and origin, until they have been tested and, furthermore, have stood the test of time (Auriacombe, 2008).

Auriacombe (2017) defined “**scientific knowledge**” as is the outcome of rigorous, methodical, and systematic inquiry, as opposed to the haphazard way in which ordinary knowledge is often acquired. Auriacombe (2017) also emphasises that scientific knowledge is inherently collaborative in nature, is based on rigorous and methodical inquiry, is evidence-based (not authority-based), and is inherently sceptical because it treats all knowledge claims as “provisional” (as opposed to absolute) (Auriacombe, 2017).

“**Scientific method**” is a term that refers to the procedures followed by researchers to arrive at conclusions (Auriacombe, 2017). The mental processes through which decisions are reached, largely determine the accuracy of the conclusions made. Facts are essential materials in thinking but must be handled scientifically to reach accurate conclusions. The scientific method therefore must follow a logical process of reasoning (Auriacombe, 2017).

Inductive reasoning, used in qualitative research, is a reasoning process where the researcher “uses the observations in order to construct an abstract or to describe the circumstances being studied” (Zalaghi, & Khazaei, 2016:3). In this research process one or more related research questions are formulated, followed by data gathering, analysis, and interpretation, which lead to the development of models or theories that explain the phenomenon under study (Auriacombe, 2017).

#### *3.3.1.2 Exploratory research*

Exploratory research is initial research (e.g. pilot studies) conducted to clarify and define the nature of the research problem or opportunity by giving ideas or insights as to how the research problem or opportunity can be addressed (Cant, Gerber-Nel, Nel and Kotze, 2003:28). The purpose of this type of research is to progressively narrow the scope of the research topic and, consequently, paraphrase the research problem clearly. According to Cant *et al.* (2003 in Auriacombe 2008), exploratory research studies are used for many purposes. The following two purposes are the most applicable to this study, namely (1) to formulate the research problem or opportunity for more precise investigation in order to formulate a hypothesis, and (2) to gather information about practical problems of carrying out the research on particular academic statements.

#### *3.3.1.3 Methodology*

Methodology considers and explains the logic and philosophy behind the use of certain methods for research instead of others; for example, it explains why qualitative methods would be better for a particular project rather than a quantitative method. Schwandt (2007:193) asserts that methodology includes the assumptions and values that serve as rationale for the research and the standards or criteria the researcher uses for interpreting data and reaching

conclusions. “Methodology is a theory of how inquiry should proceed” (Schwandt, 2007 in Auriacombe, 2017), and is therefore a system of methods and techniques employed in a study.

According to Schwandt (2007 in Auriacombe, 2017), methodologies clarify and define questions such as: (1) What comprises a research problem or hypothesis; (2) How to frame a research problem/hypothesis; (3) How to choose the research setting (sampling); and (4) Which methods are to be used to generate, analyse, and interpret scientific data.

#### *3.3.1.4 Design*

Students often confuse the concepts “research design” and “methodology”. It is important to understand that “research design” and “research methodology” are two entirely different aspects (Mouton, 2001). Very little scholarly article explains the term “research design”, in the field of qualitative research. It was, however, found that all text books on research methodology, address this topic at great length.

Flick (2018:97) stresses that it is of the utmost importance that a clear research question should be formulated, because this will be the centre around which the research will be designed. The research question will feature in every step of your research. Flick used Ragin’s definition of research design: “Research design is a plan for collecting and analysing evidence that will make it possible for the investigator to answer whatever he or she has posted. The design of an investigation touches almost all aspects of the research, from the minute details of data collection to the selection of the technique of data analysis” (Flick, 2018:128).

It can therefore be concluded that research design is a step-by-step explanation of what will be done to address the research question. Therefore, how the data will be collected and how it will be analysed. Without good planning the end result may just be a study which did not deliver credible results (University of Pretoria, date unknown).

#### *3.3.1.5 Qualitative research methodology*

In a research guide issued by the California State University (Long Beach) (2014), qualitative research is described as having the aim of “gaining a deep understanding of a specific organization or event [or topic], rather than a surface description of a large sample of a population.”

Many books, for example that of Tracy (2013) and Flick (2018), were written in recent years of the topic of research methodologies and methods. Many of them dig in deep and explain the different qualitative research approaches and theories behind the qualitative methodology in detail. Because the end goal of this study is to encourage other researchers in the field of taxation and tax law, to think about their study, all of these approaches and theories fall outside of the scope of this study. The same view is applied with regard to the different views on paradigms and different philosophical assumptions, to be found in these books and other literature.

#### *3.3.1.6 Design versus method versus technique*

The difference between design and method is therefore that the research design stipulates which methods and techniques will be utilised in the data collection process and the process of analysing such. When Gabriel (2011) was asked the question of what is the difference between methods and methodology, her response was that “methods is simply a research tool, a component of research – say for example, a qualitative method such as interviews” and that “methodology is the justification for using a particular research method.” This is a very good explanation. Qualitative data collection methods include for example structured and unstructured interviews, direct observation, participant observations as well as document analysis. Qualitative research may employ one or more of these methods to gather data.

According to Kothari (2004) the meaning of research methods and research techniques will depend on the aim of the researcher or the problem to be solved. It is often found that in practice these two terms are used interchangeable, and that researchers, when talking about methods per implication includes techniques.

“Research techniques refer to the behaviour and instruments we use in performing the research operations such as making observations, recording data, techniques of recording

data and the like. Research methods refer to the behaviour and instruments used in selecting and constructing research technique” (Kothari, 2004:7). He gave a few very good examples, of which the following is important for tax law research (Kothari, 2004):

**Table 2: Method versus techniques**

Type:	Method:	Technique
Library research	(i) Analysis of historical records	Recording of notes, content analysis, tape and film listening and analysis, etc.
	(ii) Analysis of documents	Statistical compilations and manipulations, reference and abstract guides, content analysis.

Source: Kothari (2004:7)

Methods are therefore the more general or broader term of how the research will be conducted, while techniques can be described as more specific, and will describe exactly what will be done to analyse the data and write up the findings.

### 3.3.1.6.1 Unobtrusive research techniques

When conducting tax law research (and therefore also research in the field of taxation), the study would mostly be qualitative in nature. When using for example interviews to gather data, it implies that there would have been some sort of interaction between the researcher and the respondent. When using existing documentary data, (such as judicial records, legislation, published articles, archived material) it is clear that the method applied to collect the data did not involve the “direct gathering of data from research subjects” (Connelly, 2017:1). This form of research can be referred to as unobtrusive research. The different types of unobtrusive research techniques include conceptual analysis, document analysis, documentary content analysis and historical comparative analysis. While there are many ways of quantifying the data in content or documentary content analysis, four of the most commonly used basic quantification systems include time/space measures, appearance, frequency and intensity (Singleton and Straits, 2004 in Auriacombe, 2017).

### 3.3.2 Objective 2: Findings – methods and techniques

The fundamentals of the methods and techniques employed in the studies discussed under Section 3.2, as well as the three documents identified in the EBSCO Discovery search (refer to Section 3.1 above), will be described by way of the following two tables.

**Table 3: Three methods employed**

Method:	Qualitative comparative (taxation) analysis	Doctrinal research (legal research paradigm)	Policy evaluation
<b>Rationale / Objective</b>	The main objective is to analyse and compare foreign tax laws and to develop new fields of studies and tax laws.	To analyse relevant legal texts AND to determine and interprets what law exists with regard to a specific research question.	Empirical research. These methods test the effect of taxes on different outcomes. Will be used in testing the efficiency and equity of a new tax system of tax law.
<b>Additional comments / Working</b>	Employs comparative research as well as the functional approach. QCA analyses combinations of causal factors. "QCA combines strong points of both qualitative and quantitative methods, aiming at "meeting the needs to gather in-depth insight into different cases and to capture their complexity, whilst at the same time attempting to produce some form of generalization" (Rihoux & Lobe, 2009:472 in Befani, 2013:1)".	Always uses secondary data. Employ the following steps: (1) Assembles relevant facts, (2) Identify the legal issue, (3) Analyse the issue with the view of determining the applicable law, (4) Study background material, (5) Find relevant primary material, (6) "synthesising all the issues in context", (7) Conclusion. (2015:10).	Will normally be applied in a mixed-method study with a quantitative component. Negative; not applicable to all tax reform policies. Important that there should be a "credible way to compare those who were affected by the reform to those who were not" (Harju; 2014:89).
<b>References:</b>	Befani (2013)	Kharel (2018)	Harju (2014)

Of these three the doctrinal research method was used the most in the sample of research projects that were selected for the purposes of this study.



**Table 4: Five techniques to be discussed**

Technique	Cluster analysis	Content analysis	Delphi	Document analysis	Thematic analysis
<b>Rationale / Objective</b>	Cluster analysis is used to classify or group subjects or certain types of behaviours which is similar together. Scott and Knott (1974) described these clusters as "reasonable homogeneous groups." Example: if taxpayers' return submission behaviour are measured, cluster analysis can be applied.	This techniques is applying explicit rules of coding.	"The Delphi method is a structured process for accumulating knowledge from a pre-selected group of experts via a series of questionnaires combined with controlled opinion feedback" (2015:186)	DA is "various procedures involved in analysing and interpreting data generated from the examination of documents and records relevant to a particular study" ( Cath <i>et al</i> , 2017:5)	Similar to cluster analysis, but "patterns of meaning (themes)" are identified across data sets. These themes should be 'judged' on the hand of the research topic and - question. For example: to group similar tax legislation of different countries together.
<b>Additional comments / Working</b>	Cluster analysis will only be used in very specific types of studies. This technique employs mathematical analysis to group or cluster the data.	There are 3 approaches that can be followed in content analysis: conventional, directed and summative. This article applied the directed approach. There are 8 steps in content analysis. The following are a few important steps: : (1) design the coding frame - deciding on the categories; (4)divide material into these units of coding; (5) test the coding frame; (7) code the material; (8) interpreted and present findings.	Greatest criticism relates to how the researched defines and choose the so-called experts. Positive - "method can be used as a legal research and / or decision making tool" 2015:204).	First establish a set of criteria which will be used to analyse the documents. Then analyse the documents and for example record the frequency of data found linking with a specific criteria.	It is a flexible and accessible approach. Easy to use by novice researchers.
<b>References:</b>	Hennig <i>et al</i> (2015); Scott and Knott (1974)	Farrar <i>et al</i> (2013)	Guglyuvatyy and Stoianoff (2015)	Cath <i>et al</i> (2017)	Braun <i>et al</i> (2018)

Table 4 discusses the most popular research techniques. Although most studies did not specifically indicate the technique employed, it could be gathered from the dialogues that most had employed either document or thematic analysis. It should be noted that some resources see document analysis as a method and not a technique.

#### 4. CONCLUSION AND RECOMMENDATIONS

The research question to be addressed in this study was: What appropriate research methods and techniques are applicable, in terms of a qualitative research design, in the field of tax law and taxation research?

Of the 1936 post-graduate studies analysed as well as the articles identified by way of the internet search, most were conducted under the umbrella of qualitative research methodology. As was seen, the majority of these studies were conducted as literature reviews (LR). A LR is but one of the methods that can be employed to collect and document data in the form of documents. While the studies implied that the LR was either the methodology followed or the analysis technique applied, it is actually more correct to conclude that document- or thematic analysis were the techniques mostly applied to analyse the data gathered. The author is of the opinion that these techniques will prove to be of most value for novice researchers in the field of tax law and taxation research. SLR and normal LR would be the most applicable research methods that a novice researcher can apply. This being said, it should be remembered that your research question and -design will definitely influence the choice of methods and techniques applied. It is therefore recommended that the researcher carefully plans/designs his or her study on the hand of a carefully formulated research question, and then only decide on a research method and the applicable research techniques that will best address and answer the research question.

The article does not assume that correct or ultimate understanding can be achieved in terms of triangulating these techniques with other research methods, but instead is interested in the process of developing a general understanding of the methodological approaches to improve theoretical foundations of scholarly work in taxation law.

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## **CORRUPTION AS AN IMPEDIMENT TO GOOD GOVERNANCE IN THE SOUTH AFRICAN PUBLIC SECTOR**

**D.C. Ukwandu**

School of Public Management, Governance and Public Policy, College of Business and Economics, University of Johannesburg.

Email: damian@uj.ac.za

Orchid ID: 000-0002-0065-9118

**M.A. Ramakgolo**

School of Public Management, Governance and Public Policy, College of Business and Economics, University of Johannesburg

Email: meagaboramakgolo@gmail.com.

Orchid ID: 000-0002-0065-9118

### **~Abstract~**

*The concept of corruption is one of the most debated phenomena in the world. It has been observed that the concomitant effects of corruption on the South African public sector has contributed to poor governance. Corruption deprives the government of much-needed funds to execute projects, undermines the legitimacy of the state, and distorts political stability. The objective of this article is to investigate how corruption impedes good governance in the South African public sector. The methodology entailed a desktop analysis of literature and official documents to conceptualise the area of investigation. Conceptual research was deployed. The results of the article show that the law is too cumbersome and slow to address the crime of corruption. The law needs to be updated, reviewed, and made more severe. It must include asset forfeiture and prison terms with no options of fines. The research concludes that there is a need to educate and enlighten civil servants on the corrosive nature of corruption and its effect on stifling the socioeconomic development of the country. Presently, many civil servants are not aware of the broad ramifications of their actions for the country as a whole.*

**Key Words:** Corruption, Governance, Public sector

**JEL:** H83

## **1. INTRODUCTION**

### **1.1. Brief overview of the themes in the article**

This article starts with an introduction that comprises an assessment of the incidence of corruption in South Africa. The introductory part also contains the motivation and objectives of the study. It also shows the research methodology utilised in the article, with the first part of the theoretical framework being a discussion of the meaning of corruption. The second part deals with a brief discussion of corruption in the South African context. It contains a brief overview of the incidence of corruption in both the apartheid and post-apartheid South African public sector. The third part deals with the effects of corruption on good governance. The last part presents the conclusions and recommendations.

It is estimated that state capture wiped out a third of South Africa's R4.9-trillion gross domestic product (Merten, 2019). This means that political corruption during the second term of Jacob Zuma's presidency obliterated almost four months of labour and productivity in the economy. This is the tip of the iceberg and shows the deleterious effect of corruption if it is not nipped in the bud. Corruption in government renders good governance almost impossible. It robs Treasury of the necessary funds to execute much-needed infrastructural projects that are crucial for the alleviation of poverty, the creation of jobs, and stimulating the overall socioeconomic development of the country.

The methodology used in this research is a conceptual framework that involved a rigorous overview of literature pertaining to the themes under consideration in order to arrive at grounded and objective conclusions and recommendations. The motivation or objective of this research is to unravel the manner in which corruption affects good governance and development in the South African public sector. The concept of corruption remains one of the

most debated phenomena in the world (Johnston, 1996). With the historic transformation to a democratic dispensation in South Africa, underpinned by the commitment of the Constitution to core values such as transparency, responsiveness, accountability, and openness, the state took the moral high ground by publicly committing to tackle corruption (Vandome, 2013:16). The rise in incidents of corruption in post-apartheid South Africa brings to the fore the need to educate the public and civil servants in general on the deleterious effects of corruption and its consequences for good governance. For a country battling with the triple challenges of poverty, inequality, and unemployment, it is not difficult to connect the link between the fleecing of the public purse and the severe deprivation it effects on the poor. This is because millions of poor South Africans depend on the government to provide vital social and infrastructural facilities to them.

## **2. THEORETICAL FRAMEWORK**

### **2.1. Corruption**

Theories, views, perspectives, and assumptions of corruption indicate that it is one of the most debated phenomena in the world (Johnston, 1996). The phenomenon is highly diverse and complex. There are many distinctive forms, levels, and types of corruption. The perception of what constitutes corruption influences the strategies designed to combat it (Camerer, 2009:11). In a general context, the concept of corruption denotes the “perversion of anything from the original state of purity”, and it is defined as a transition from something that is good to something that is bad (Leys, 1965:216). Lodge (1999:57) defines corruption as negligence or lack of performance of recognised duty or an exercise of power that is unwarranted with the motive of gaining some advantage. In this instance, the establishment of corruption cases points to the existence of standard behaviour of which an action breaks the law.

Corruption manifests in all political systems. Its characteristics can be evidenced in either authoritarian or democratic regimes; from communist to capitalist governments. Corruption has the potential to impact all classes of society, monarchies, all state organisations, at all times (Alatas, 1990:3). In a democratic country such as South Africa, it is offensive. This is because a corrupt act is inherently undemocratic as it involves exercising public duty contrary to the interests of the electorate. This is so because the citizens pay the taxes that keep the public officials in their jobs. It means public officials are employed to perform their duty in an effective manner (Independent Commission Against Corruption of New South Wales, 1993:317). Andvig and Fjeldstad (2000:14) state that there are forms of corruption that the general public can expect to find in any given administration. The following are the most common in a developing country such as South Africa:

- Bribery: This is a form of corruption where a public official receives money or pays someone money to secure a personal benefit (Andvig & Fjeldstad, 2000:14). These benefits or favours received by officials include fraudulent acquisitions of documents such as government projects, suppliers, and contracts. In South Africa, the common term used to euphemise a bribe is a “cool drink”.
- Fraud: It is unethical behaviour that involves using false representation or distortion of information to gain an unjust advantage (Visser & Erasmus, 2002:319). It mostly occurs when state agents and politicians take a share for “closing their eyes” to economic crimes (Qwanzura, 2012:10).
- Extortion: The utilisation of coercion or persistent demands by the government to extract incentives or other resources from society, individuals, and/or businesses. Extortion is regarded as an informal form of taxation (Andvig & Fjeldstad, 2000:17).
- Favouritism: It is unethical behaviour that is biased toward one person or a group at the expense of other people (Asorwoe & Klutse, 2016:505). It is a form of discrimination towards another group based on clan type, tribe, ethnic, or religious grouping. In South Africa, some white people see the affirmative action policy as discrimination against them in favour of black people (Republic of South Africa, 2002).

## **3. CORRUPTION IN THE SOUTH AFRICAN PUBLIC SECTOR**

According to Tanzi (1998:3), not only is corruption not a new phenomenon in South Africa, it has a long history both in the country and on the continent. The absence of reliable data has been a typical issue of corruption research both in South Africa and on the continent. It has mitigated the effort of conducting a thorough historical analysis of corruption in South Africa (Adetiba, 2016:30). For example, most corruption evidence under the apartheid government was allegedly destroyed shortly before transitioning to democratic rule (Bell & Ntsebeza, 2001:13). This is because it bridged the transformation between the current democratic system and the era of colonialism and apartheid (Bell & Ntsebeza, 2001:13).

In order to ground the long history of political corruption in South Africa, it is crucial to view the distinct dispensations that show that corruption is deeply rooted in colonial and apartheid South Africa (Pityana, 2010:31). Some authors argue that some events in precolonial African traditions reverberated in the colonial, apartheid, and post-apartheid history of corruption in South Africa (Ntsebeza, 2006). This is evidenced in that in many precolonial African communities, patronage was deeply anchored in the traditional authority structure, and characterised by patrimonialism and kinship.

### **3.1. Corruption in apartheid South Africa**

It has been established that the apartheid government had its own configuration. This configuration was motivated not only by race but also by politics and economy, with a unique manifestation of corruption (Smith, 1990:30). This means that apartheid was characterised by separate economic exploitation, development, political domination, and selective incorporation (Smith, 1990:30). During this period, the government had a codified and structured segregation and class formation, which helped it to define a new political, social, and economic order. The entrenched racial policies conferred special privileges and rights to the white population (Guelke, 2005:43). Unlike the colonial regime, the apartheid government system was structured with defined economic, political, and economic bodies of rule. Like other authoritarian regimes, the regime allowed for the concentration of resources of the state in the hands of a ruling class that comprised white elites (Guelke, 2005). The regime also operated with a high degree of press censorship and secrecy (Harris, 2000).

The apartheid era was highly bureaucratic. Government records were strictly guarded from the public sphere (Harris, 2000). The regime expected public officials to have clearances to be able to access specific public records. Coupled with these measures, there was oppression and censorship of the press and oppositional voices through various forms, including assassination of “perceived regime opponents” (Bell & Ntsebeza, 2001:13). The regime was determined to suppress information, which manifested in the destruction of scores of public records prior to the transition to a democratic government (Bell & Ntsebeza, 2001:13).

According to Harris (2000:30), there was “a large-scale sanitation of its memory archives”. This was aimed at keeping particular information out of the public domain and out of reach of the new democratic government. Reports have indicated that a substantial part of the corrupt acts that took place under the apartheid regime was in collaboration with the private sector (Van Vuuren, 2006:35). These corrupt acts, including kickbacks and bribery involving large sums of revenue, were common. It was alleged that secret bank accounts were opened that served as conduits to launder the proceeds of corruption. This was done through questionable and fraudulent transactions, specifically meant to stash money abroad (Van Vuuren, 2006:36). Funds meant to be utilised for development initiatives were instead utilised to fund the regime’s nefarious practices outside and within South Africa (Van Vuuren, 2006:36). Evidence from the literature shows the gargantuan scale of corruption under apartheid. Scrutiny of its transactions showed that the government used R60 billion inappropriately through the special defence account (Nevin, 2006). Secret dealings and bribery became particularly rampant when an embargo was placed on arms and oil deals (Hyslop, 2005). There were practically no limit to the scale of corrupt acts within the central government, even in the homelands of South Africa, where daily administration was managed by traditional chiefs under the regime and were characterised by corruption and rent-seeking (Hyslop, 2005:781). The government ensured that white people were employed in strategic positions in the public sector through a created system of patronage (Bell & Ntsebeza, 2001:21). According to Bell and Ntsebeza (2001:22), apartheid society was described as “a multi-layered web of patronage, manipulation and deceit”, and had a major hold on the apartheid government with powers to

shape executive decisions and policies in the interest of white people rather than the interests of the country. In 1991, the apartheid government realised the negative impact of allowing corruption to thrive and established the Office of Serious Economic Offences (OSEO) (Adetiba, 2016:33).

The OSEO was established to urgently and effectively deal with economic offences (Camerer, 1997:36). In apartheid South Africa, public sector corruption became so pervasive that the OSEO had to prioritise its cases based on the interest of the public. Priority was also considered on the basis of the amount of funds involved and the urgency of solving the cases (Camerer, 1997:36). The Reserve Bank had a department that dealt with issues relating to foreign exchange fraud, although the Reserve Bank itself was not a transparent institution then. Some of the structures put in place to facilitate corrupt acts under the apartheid regime were maintained after the transition to democratic rule (Hyslop, 2005:785).

### **3.2. Corruption in post-apartheid South Africa**

The former president of South Africa, Nelson Mandela, said in 1994 that “little did we expect that our own people when they get the chance, would be as corrupt as the apartheid regime. This is one of the things that has really hurt us” (Snidert & Kidannett, 2013:269). This statement by the former president shows that the culture of corruption in the public sector did not end with the end of apartheid. It in fact metamorphosed into different parts and became more endemic and systemic under the new democratic government in post-apartheid South Africa. A report on corruption labelled South Africa as one of the eight most corrupt countries in Africa. Post-apartheid South Africa was grouped alongside Kenya, Nigeria, Uganda, Mozambique, Angola, the Democratic Republic of the Congo, and Ghana (Open Society Initiative for Southern Africa, 2017). Political corruption has become more systemic and this appears to be as a result of the free flow of information in the public sphere, as opposed to the apartheid government that thrived on secrecy (Kgosimore, 2001:101).

South Africa’s performance on the Corruption Perception Index (CPI) indicates that corruption has been persistent over the years. The CPI ranks countries on a scale of ten, where countries that score between six and ten are viewed as less corrupt (Mungiu-Pippidi, 2011:67). Countries with a score below five are regarded as corrupt. Even though the accuracy of the CPI measuring is contested as it focuses on the assessment of private individuals’ corruption in the public sector (Adisa, 2013:55; Hussein, 2005:93), the CPI has assisted international development partners and policymakers with a perspective on the level and scale of corruption in the rated countries. It remains the most reputable, reliable, and widely accepted index of assessing corrupt practices globally. The index covers close to 200 countries. The problem with accessing data on corruption informs the continued reliance on this measurement (Pityana, 2010:10).

South Africa is rated poorly in comparison with other countries in the Southern African Development Community. The country has continued to float between 4.1 and 4.5 out of ten since 2011. These scores indicate an issue of chronic corruption in South Africa; calling for urgent and strategic interventions. The initial intervention of the new democratic dispensation in confronting the issue of corruption was to repeal the previous apartheid policies and laws, which were ambiguous and complex in the definition of corruption. The new national government after apartheid made new laws to stem the tide of corruption in the public sector (Kondlo, 2009:324). Since the demise of apartheid and the establishment of constitutional democracy in the country, there has been an astronomical increase in incidences of abuse of power and resources, bribery, procurement corruption, and nepotism in the public sector (Kondlo, 2009:324). According to Corruption Watch (2014:9), these types of corruption happen in all spheres of government: nationally, provincially, and locally. Corruption hotpots are inclusive of housing, licensing, schools, state departments, political offices, and the traffic and immigration sectors of the economy.

Presently, there is evidence of corruption in the South African central, provincial, and local government. This is spread across distinctive agencies and departments such as housing, education, health, defence, land reform, etc., which costs the public sector millions every month (Grobler & Joubert, 2014). One of the acts of corruption that occurred in democratic South Africa is the arms deal scandal, which involved a number of public servants across the

departments of Defence, Treasury, Public Works, and the Presidency. The negative impacts of political corruption in democratic South Africa cannot be overemphasised. Corruption in the public sector erodes resources and endangers sustainable development. It is not completely surprising that after 25 years of democracy, the country is still grappling with infrastructural, employment, and housing deficits (Kroukamp, 2006:211). The above synopsis of the most commonly known incidences of corruption in post-apartheid South Africa illustrates that acts of corruption are still pervasive in modern and democratic south Africa.

### **3.3. The nexus between public sector corruption and good governance in South Africa**

Governance is the exercise of control and utilisation of authority over society and the management of its resources for economic and social development. Doig (1995) states that governance involves the manner of exercising power by the government in the distribution of economic and social resources. The manner and nature of the distribution of government resources are what makes poor and good governance. Furthermore, Bilney (1994:17) argues that good governance entails a responsive and sensitive administration that is amenable to the needs of its citizens. It is also a government that is effective in coping with emerging challenges in society by implementing and framing appropriate measures and laws. Confronting corruption depends on the extent to which ordinary citizens perceive a government to be legitimate; the state must therefore be committed to improving the general public welfare (Okeke, 2010).

Aderonmu (2012) suggests that there is an enormous responsibility for leaders to control corruption and restore the hope of ordinary citizens through good governance. Sustainable development will remain elusive unless good governance with accountability is in place. Good governance is requisite to promote human rights in various ways. It promotes public participation in government, involvement in policymaking and decision making, and fosters the accountability of elected public officials. The notion of good governance that is not affected by corruption engenders a broader representation of societal interest in policy formulation and implementation. This shows in policies that do not deprive and disadvantage minority groups in society (United Nations Office of the High Commissioner for Human Rights [UN OHCHR], 2007). Moreover, the UN OHCHR (2007) stresses that a democratic country should not only be conceived as an end in itself. This global body believes that a society must be geared in a way that protects and preserves the economic, political, and social rights of the citizens in a country. In the African context, the Constitutive Act of the African Union, adopted in July 2000, promotes the principles of good governance and democracy. One of the objectives of the New Partnership for African Development (NEPAD) is to foster and protect democracy, human rights, and good governance (Matlosa, 2007).

The increase in incidences of corruption that snowballed into the establishment of the Commission on State Capture illustrates the endemic nature of the crime in the new South Africa. This has also increased the need for a closer enquiry into the nature of the toxic relationship between good governance and corruption. This is because corruption has compromised the hallowed intentions of the South African government in its commitment to good governance since the onset of democracy in 1994 (Masipa, 2015:1). The central role of the government can be understood in the implementation and formulation of national anti-corruption policies in the role of governing and providing services to its citizens (Masipa, 2015:1).

Systemic corruption destroys the very fabric of transparency, accountability, and good governance in the country. The public sector comprises state of institutions that are state owned and controlled by the executive arms of the government (Phillips, 1997). Corruption happens when these spheres of government circumvent the roles of the civil service (Phillips, 1997). Most acts of corruption are motivated by monetary benefit, material gain, and by the capture of power. Acts of corruption can particularly lead to the “privatisation of state resources” by civil servants (Vandome, 2013:18). This results in a situation where state resources are utilised for selfish and private interest. It is the abuse of common good and converting it into private good.

Political parties are one such entity that benefits from gaining access to power. This can be realised through, for instance, “the politicisation of government functions” such as intelligence



and security services (Rose-Ackerman, 1999). Political parties by nature do not only desire power in order to execute common good. They also want it to ensure that their ideology, values, and perspectives become the dominant way of doing things in society. In some instances, those values may be at odds with the needs of society. Good governance can therefore be compromised by acts of corruption. Political corruption is not just motivated by the need to “capture rents” but also by the need to remain in power or to win continuously.

The Council for the Advancement of the South African Constitution (CASAC) report of 2011 states that “corruption does undermine the rule of law and delays plans for development”. This report is of the view that “corruption prevents the government from achieving and fulfilling its constitutional obligations, undermines the rule of law and erodes legitimacy” (CASAC, 2011). Corruption affects good governance as it inhibits good governance. This absence of good governance has resulted in the astronomically high number of service delivery protests that characterise life in the country today. In these incidences of absence of service delivery to citizens, the state loses its legitimacy and credibility (UN OHCHR, 2007). When this becomes endemic, frustrated and disappointed ordinary citizens usually withdraw into political apathy. This shows in the way the citizens turn away from the government and its activities, migrate, and withdraw from democratic process processes.

Kaufmann (2004) states that it is very challenging to control and address corrupt activities in South Africa. The challenge of dealing with corruption is that the people who are corrupt are not homogeneous. This means that policies enacted to help eradicate corruption may not be effective if they fail to take into consideration the differences within the ranks of the corrupt people (Kaufmann, 2004). All these issues make it difficult for any state to devise mechanisms to solve corruption issues (Pillay, 2011).

#### **4. RESULTS**

Despite the efforts of the state to manage corruption, it continues to be a problem in the South African public sector. One of the problems with curbing corruption is lack of strict enforcement regulations, which results in ineffective anti-corruption frameworks and an increase in political corruption (Dintwe, 2013:555). It is one thing to establish and implement laws and policies in the South African public sector, but the problem is enforcing these policies. Sardan (2014:30) states that political corruption will persist if the South African government does not take measures for corrupt public servants seriously. Hence, as long as the enforcement of appropriate policies and laws is ineffective and lacking, corruption will continue (Sardan, 2014:30).

According to Davis (2009:4), the problem with fighting corruption is the lack of access to real data. It requires resources and time and it is difficult to identify accountable officials to facilitate public access. Therefore, the Promotion of Access to Information Act provides the public with rights to access to critical records. The inability to access information compromises accountability, thereby making disclosure a career-ending exercise (Davis, 2009:5). Corruption in the public sector has constrained development and fundamentally inhibited good governance (Pillay, 2004:586). The complex political landscape in South Africa is the contributing factor to the rise of corruption. Corruption has adversely impacted trust and stability and has damaged the ethos of democratic principles and values (Pillay, 2004:589). Even though the South African government has designed instruments and policies to combat corrupt activities, practical problems have emerged since the end of apartheid. The difficulty with combating corruption sometimes lies in insufficient coordination between the various anti-corruption strategies within the public service.

#### **5. CONCLUSION**

In order to eradicate the scourge of corrupt activities in South Africa, the following tools and principles need to be followed and adhered to:

- i) The South African Constitution (Act No. 108 of 1996)

Chapter 10 of the Constitution sets out basic principles and values to be used in every sphere of government that governs public administration. The principles and values encourage anti-corrupt public administration. Some of the principles and values included in the Constitution are as follows:

- Promote and maintain high standard of professional ethics;
- Development-orientated public administration;
- Resources must be utilised in an effective, efficient, and economic manner; and
- An accountable public administration.

Section 195(1) of Chapter 10 of the Constitution sets out the basic values and principles to govern public administration. This includes a public administration that is accountable and promotes a high standard of professional ethics. The significance and relevance of this in this context are underpinned by the fact that eradicating corruption requires a distinctive approach.

ii) The Prevention and Combating of Corrupt Activities Act (No. 12 of 2004)

Section 34 of this Act provides an obligation to report corrupt activities of any person that holds a position of power in public administration. The Act provides for the following:

- Authority to investigate any individual with ambiguous wealth is provided to the National Directorate of Public Prosecutions;
- Authorises the creation of a register for tender defaulters within a period of six months by the minister;
- Any person who holds a position of authority must report corrupt activities; and
- Courts are granted extraterritorial jurisdiction in respect of corrupt activities committed outside South Africa in certain circumstances, particularly if the person who committed the crime is a South African citizen.

There is still an existing gap of knowledge on the theory and manifestations of corruption in South Africa. There is a need for new prevention mechanisms and more education and enlightenment programmes for the whole civil service regarding the corrosive nature of corruption in the country. It may not be possible to eradicate corruption completely, but citizens need to declare war on corruption in order to effectively contain it. One way that corruption can be reduced is for the government to introduce mass awareness programmes to educate citizens on the debilitating effects of corruption. Another solution will be to create an enabling law that would severely punish every civil servant convicted of corruption. The law must include forfeiture of assets and jail terms with no options of fines.

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**ANALYSING THE RELATIONSHIP BETWEEN E-COMMERCE ENABLERS AND E-COMMERCE ADOPTION: A CASE OF SMMEs IN SOUTH AFRICA**

**Patrick Ndayizigamiye\***

University of Johannesburg  
E-mail: ndayizigamiyep@uj.ac.za  
Orcid ID: 0000-0001-5721-6070

**Refiloe Gladys Khoase**

University of KwaZulu-Natal  
E-mail: khoaser@ukzn.ac.za  
Orcid ID: 0000-0001-6558-6127

**Joseph Jere**

University of KwaZulu-Natal  
E-mail: Jeren@ukzn.ac.za  
Orcid ID: 0000-0002-2211-512X

**~Abstract~**

*South Africa is currently experiencing a steady growth of the e-commerce business. Indeed, South African companies that have an online presence are able to leverage e-commerce to attract customers and make online profits. However, despite the dynamic nature of technology innovations, factors that relate to e-commerce adoption have not been widely investigated. Particularly, there is a need to investigate the enablers that significantly relate to e-commerce adoption in order to make an informed decision about future e-commerce ventures. It is in this context that this paper analyses the relationship between e-commerce enablers and the adoption of e-commerce in the specific context of small, medium and micro enterprises (SMMEs). The study used a quantitative research approach and a survey as the research design. Questionnaires were administered to 247 SMME owners and managers in the Durban and Pietermaritzburg areas of the KwaZulu-Natal Province in South Africa. Spearman correlation analysis was used to determine whether there was any significant relationship between e-commerce enablers and SMMEs' adoption of e-commerce. Findings showed that having a company-wide strategy to adopt e-commerce and technology-related enablers within a firm, significantly related to the adoption of e-commerce within the surveyed SMMEs. Hence, this paper advocates that SMMEs should appropriately align e-commerce to their business strategy. The starting point should be to define the strategic value of e-commerce to their business, and then develop an e-commerce implementation plan that is aligned with the identified strategic value. In addition, this paper suggests that SMMEs should gradually endeavour to have technological capabilities such as an email address, internet access, a website, a computerised database of customers, a computerised database of suppliers and a computerised inventory of products and services as they progress through the e-commerce adoption ladder. On the other hand, this paper suggests that public and private interventions geared toward supporting South African SMMEs should also focus on IT support.*

**Keywords:** e-commerce, enablers, adoption, South Africa

**JEL Classification:** M19

**1. INTRODUCTION**

The pervasive nature of information technology (IT) enables small and medium enterprises to expand their market reach, enhance their business relationships with suppliers and provide convenient means to conduct business transactions (Rahayu & Day, 2017; SagePay, 2017). Electronic commerce or e-commerce is one of the innovative use of IT. E-commerce can be defined as "sharing of business information, maintaining business relationships, and conducting business transactions by means of Internet-based technology" (Poon & Swatman, 1999:9). Although e-commerce enables entrepreneurs to expand their businesses into new markets, entrepreneurs are confronted with a lack of knowledge of the right IT applications

needed to make e-commerce more appealing and relevant to their businesses. This is due to their small sizes and their relatively limited budgets (Olatokun & Kebonye, 2010).

In South Africa, there is an increase in revenues generated through e-commerce (Smith, 2017). However, technology-related factors that may enable SMMEs to adopt e-commerce have not been widely investigated in the South African context. For instance, a previous study (Ndayizigamiye, 2014) has revealed that there is no significant relationship between SMMEs' internal IT capabilities and e-commerce adoption. Specifically, the study has found that the presence of IT skills and the availability of technological resources do not significantly relate to the adoption of e-commerce. However, the study is not specific about the kinds of technological resources and IT skills that have been investigated. Similarly, there is a dearth of empirical studies literature that have investigated the relationship between e-commerce strategy and SMMEs' adoption of e-commerce in the South African context. Hence, this paper attempts to answer the following question: Is there any relationship between e-commerce enabling factors and South African SMMEs' adoption of e-commerce? This paper subsequently has the following two objectives: to assess whether there is a significant relationship between having an e-commerce strategy and e-commerce adoption by South African SMMEs, and to assess whether there is a significant relationship between having technology capabilities and adopting e-commerce within the South African context. In South Africa, SMMEs are generally defined as businesses that employ fewer than 200 full-time employees (South African National Small Business Amendment Act, 2003).

## **2. E-COMMERCE ADOPTION**

A number of studies indicate that several small and medium enterprises in developing countries have not leveraged the opportunities that internet-based technologies provide to extend their market reach (Bai, Law & Wen, 2008; Humphrey, Masnell, Pare & Schmitz, 2004). In the same vein, Mpofu and Watkins-Mathys (2011) opine that ICT adoption within SMMEs is limited to basic technologies such as e-mails. Garg and Choeu (2015) state that reasons for such limited adoption of internet-based technologies include ICT-related costs, limited knowledge of ICTs, low literacy of SMME owners/managers, ICT regulations, lack of perceived benefits, culture and customer/supplier preferences. In the specific context of e-commerce adoption, Cragg, Caldeira and Ward (2011) stipulate that generally, e-commerce is not adopted because organisations are not ready to adopt it. Furthermore, Ndayizigamiye and Khoase (2018) have found that there is a significant relationship between e-commerce adoption and the level of computerisation within SMMEs. Karagozoglu and Lindell (2004) argue that e-commerce strategies adopted by SMMEs are extensions of their existing physical business models. They have found that, although small firms have benefited from e-commerce through increased sales and profits, online procurement has been marginally successful. This is due to the high costs of establishing e-commerce platforms and related technologies. On the other hand, McGregor and Vrazalic (2008) argue that SMME owners do not adopt e-commerce because they either perceive it to be very complex or not appropriate to their businesses. In the South African context, Ndayizigamiye and McArthur (2014) have found that compatibility with existing companies' technology infrastructure significantly relates to SMMEs' adoption of e-commerce.

Cloete, Courtney and Fintz (2002) argue that e-commerce activities span from entry-level activities to sophisticated activities. Entry-level activities include websites and e-mails whilst advanced sophisticated activities include, amongst others, online payments, online purchasing and customer services. Akkeren and Cavaye (1999) indicate that it is unlikely that advanced e-commerce technologies are adopted before entry-level technologies are put in place. This implies that entry-level e-commerce activities are the enablers of the advanced e-commerce activities such as online payments, online purchasing and customer services. Thus, Cloete *et al.* (2002) define three stages involved in planning for e-commerce adoption. The first stage involves setting advertising static pages and e-mails for the purpose of communicating with clients while the second stage refers to database integration which involves interactive web catalogues. This second stage also involves transaction processing through a website by means of shopping cart technology and secure payments. The final stage is a fully fledged e-commerce which includes all the information processing capabilities of the previous stages with additional features such as "interactive features, personalisation and

Customer Relationship Management” (Cloete *et al.*, 2002:3). In the same vein, Foley and Ram (2002) argue that SMMEs firstly adopt a website for advertising purposes, and then later incorporate buying and selling features. From here onwards, their businesses are gradually transformed into e-businesses with more complex systems that enable personal or customised relationships with customers.

Taylor and Murphy (2004) have identified steps (also termed the “adoption ladder”) that SMMEs in the United Kingdom (UK) follow when developing their online businesses. It has been noted that many SMMEs start with an e-mail address for communication purposes. They then seek more exposure of their businesses to the market by building a website. When the website embeds buying and selling options, the SMMEs embark on an e-commerce strategy which evolves into an e-business model. The e-business model is achieved by streamlining offline business processes with the adopted online strategy. The e-business can even evolve to the extent that SMMEs gradually become virtually integrated firms (Mazzarol, 2012). Recently, Abdullah, White and Thomas (2016) have developed the “e-business measurement evolution model” which includes social media, mobile applications and cloud service as part of the e-business adoption model.

### **3. E-COMMERCE ENABLERS**

Cloete *et al.* (2002) argue that the following e-commerce technology-related capabilities are enablers of e-commerce adoption within the context of South African SMMEs. They posit that SMME business goes through the three stages of e-commerce adoption (that is static web pages and e-mails, database integration and transaction processing) by opening a company’s electronic e-mail address, setting up a company’s access to the internet, building a computerised database of a company’s customers and suppliers, and finally, implementing a computerised inventory of products and services. Moreover, they have also identified that a company strategy for developing e-commerce is an impetus towards e-commerce adoption. Based on Cloete *et al.*’s (2002) findings, this paper analyses whether the identified technological capabilities and having a company strategy for developing e-commerce relate to e-commerce adoption in the current South African SMMEs context.

#### **3.1. E-commerce strategy**

Bharadwaj and Soni (2007) found that, in the context of the United States of America, SMMEs that had an e-commerce strategy experienced an increase in their profits, a decrease in costs associated with marketing activities, enhanced corporate image, quicker response to customers’ requests, increased productivity and better access to markets, to name a few. Tan, Sharma and Theng (2009), on the other hand, emphasised the need for an online strategy geared towards product differentiation rather than a competitive strategy solely based on price. Ayuma (2011) established that in Kenya, there was a strong relationship between the e-commerce strategy and performance of commercial banks; that is, having an e-commerce strategy was correlated with the banks’ performance. Specifically, the adoption of an e-commerce strategy gave the banks a competitive edge over their rivals. Particularly, banks that had adopted an e-commerce strategy were sufficiently equipped to respond to (and were more appealing) to customers’ needs. She further concluded that the main contributing factors to e-commerce adoption were the payment systems and customer support services. In addition to these two factors, other factors that influenced e-commerce adoption across the surveyed banks were the need for electronic advertising, electronic marketing, online orders and delivery.

Karjalutoto and Huhtamaki (2012) argue that micro businesses go through three stages before e-commerce is strategically adopted within the firms: firstly, they use the internet for information; secondly, for communication and thirdly, for transaction purposes. They further argue that owner-manager characteristics, firm resources and environmental factors are the driving factors of this process.

#### **3.2. Technology-related enablers**

According to Tagliavani, Ravarini and Antonelli (2001), using e-mails effectively may help SMMEs to acquire new customers, obtain customers’ feedback, establish new business relationships with industry stakeholders, create brand loyalty and carry out market research.



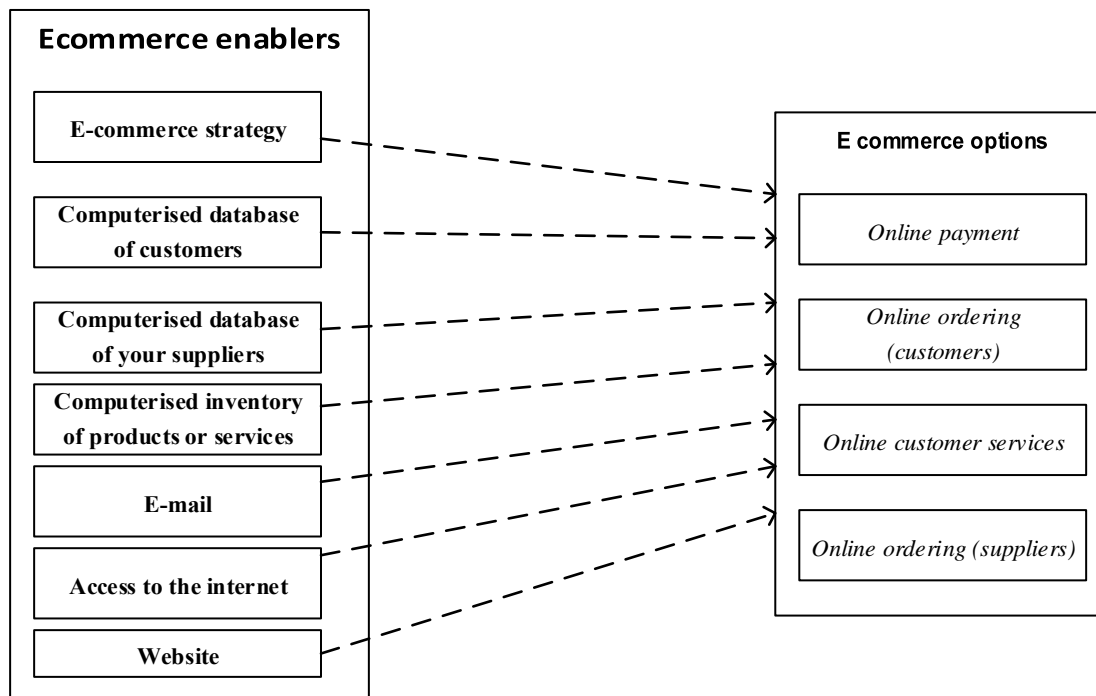
In this case, a firm must have some means to connect to the internet via an internet connection line provided by an internet service provider (ISP). On the other hand, a website increases a business' exposure to potential customers by promoting its image and enhancing customer service quality. A website also allows SMMEs to differentiate themselves by narrowing their scope of activities to specific customer needs through web-based market research. Leong, Stanners and Huang (1998:2) add that the most important website objectives are "to enhance the corporate image, increase brand or product awareness and to provide better customer service". The website may provide marketing-related information including prices and stock levels, allowing customers to check the availability of products and services online. In this case, a firm will require expert skills in terms of website design, a domain name and web-hosting providers in order to publish and maintain its presence on the World Wide Web (WWW). In South Africa, a survey within SMMEs has indicated that websites are key contributors to i) establishing contact with customers, ii) updating inventory, iii) firm sustainability, iv) business growth, and v) competing for market share (Goldstuck, 2012). In view of the increasing adoption of the internet by South Africans, a web presence is an imperative for South African SMMEs (Goldstuck, 2012).

Kiplangat, Asienga and Shisia (2015) argue that a database of customers can enhance the responsiveness of a firm to customers' preferences. In this case, such a database is not just a repository of customer data but a strategic tool that can be used for customised marketing and customer attraction initiatives. A database of customers, when linked to a website, allows a firm to track its customers' interactions (DeLone & McLean, 2004). In the context of e-commerce, a database of customers enables a firm to track customers' shopping preferences and can, therefore, be used to suggest or offer specific products or services tailored to individual customer preferences.

#### **4. CONCEPTUAL FRAMEWORK**

Cloete *et al.* (2002) identified the following factors as the enablers of e-commerce adoption in the South African context: e-commerce strategy, computerised database of customers, computerised database of suppliers, computerised inventory of products or services, e-mails, the internet and a website. In line with these findings, a conceptual framework depicted in Figure 1 was adopted to assess the correlation between each one of the four e-commerce options (online payment, suppliers' and customers' online ordering and online customer services) and the commerce enablers.

**Figure 1: Conceptual Framework**



Source: Author's own

## 5. METHODOLOGY

A survey was conducted amongst Durban and Pietermaritzburg SMMEs in South Africa. Data was collected by means of a self-administered questionnaire from 360 SMME owners and managers conveniently sampled. Usable responses were collected from 247 SMME owners and managers (69% response rate).

The questionnaire comprised three sections. Section A captured demographic information of the participants and general characteristics of their businesses. Section B assessed whether SMMEs had adopted any or all of the four e-commerce options: customer online payments, customers placing orders online, providing customer services online and placing orders with suppliers online. The adoption of any of the four e-commerce options was the dependent variable in this study. In this section, respondents were required to provide nominal responses (Yes or No). Section C assessed whether the SMMEs had or were planning to have the following e-commerce enablers in the future: i) e-commerce strategy, ii) computerised database of firm customers, iii) computerised database of company suppliers, iv) computerised inventory of company products or services, v) a company e-mail address, and vi) company's access to the internet. In this section, respondents were requested to provide their responses on a Likert scale of 1 ("Have it now") to 5 ("Never"). These e-commerce enablers were the independent variables that were correlated with the dependent variable (adoption of any of the four e-commerce options).

## 6. DATA ANALYSIS

The data analysis process entailed performing the Kolmogorov and Shapiro tests (normality tests), descriptive statistics, reliability and validity tests and the Spearman correlation (between the e-commerce enablers and the four e-commerce options).

### 6.1. Normality tests

The Kolmogorov and Shapiro tests were run to establish whether variables representing e-commerce adoption were normally distributed against each e-commerce enabler. The results showed a non-normal distribution ( $p < 0.05$ ); hence the need to apply non-parametric tests. Therefore, the Spearman correlation test was chosen as the suitable non-parametric test to assess whether there was a significant relationship among items from section B of the questionnaire representing e-commerce adoption, and section C of the questionnaire representing e-commerce enablers.

## 6.2. Descriptive statistics

Out of the 247 participants, 89 were from Durban SMMEs while 158 were from the Pietermaritzburg area. Most of the participants from Durban were SMME managers (46.1%) while in Pietermaritzburg, most participants were SMME owners (55.1%). In addition, most respondents in Pietermaritzburg were aged between 26 and 35 (47.5%) while in Durban, most respondents were above 35 years (47.2%). Moreover, most respondents both in Durban and Pietermaritzburg were males and most of the respondents' SMMEs in both locations were in the retail sector. In Durban, most SMMEs had been established for four to less than seven years (33.7%) while in Pietermaritzburg, most SMMEs had been established for one to less than four years (37.3%). Further frequency analysis revealed that the majority of non-adopters in Pietermaritzburg had e-mail addresses and internet access while less than 40% of non-adopters (for each e-commerce option) in both locations had a website. In terms of the size of the business, most SMMEs in Durban (N=65, 73%) had fewer than 10 employees; hence, they were very small businesses (according to the SMME classification by the 2003 South African National Small Business Amendment Act), followed by small-sized businesses (N=14; 15.7%). In Pietermaritzburg, most of the surveyed SMMEs were also very small businesses but were fewer than those in Durban (N=50, 31.6%), followed by medium-sized businesses (N=44, 27.8%) and small businesses (N=41, 25.9%).

Table 1 below depicts that in Durban (Dbn), the mode score for all e-commerce enablers is 5 (on a Likert scale of 1 = "Have it now" to 5 = "Will never have it") except for e-mail addresses and internet access (both have a mode score of 1 = "Have it now"). This means that most SMMEs in Durban did not have any intention of having any of the e-commerce enablers except an e-mail address and internet access. Hence, SMMEs in the Durban area were at stage 1 of the e-commerce adoption ladder (Molla & Licker, 2005). On the other hand, most SMMEs from Pietermaritzburg (Pmb) had all the enablers in place (i.e., mode score of 1 = "Have it now"). Hence, most SMMEs in Pietermaritzburg were equipped to move up on the e-commerce adoption ladder.

**Table 1. Descriptive statistics**

Business location		Computerised database of customers	Computerised database of suppliers	Computerised inventory of products or services	E-mail address	Access to the internet	Website	E-commerce strategy
<b>Dbn</b>	<i>N</i>	80	78	79	82	86	88	81
	<i>Mean</i>	3.46	3.74	3.44	2.20	2.06	3.39	3.36
	<i>Mode</i>	5	5	5	1	1	5	5
<b>Pmb</b>	<i>N</i>	126	125	130	131	130	139	124
	<i>Mean</i>	2.65	2.34	2.25	1.57	1.49	2.06	2.23
	<i>Mode</i>	1	1	1	1	1	1	1

## 6.3. Reliability and validity tests

Factor analysis was performed to establish the validity of the research instrument. The results depicted in Table 2 showed that two factors emerged from the variables that represented e-commerce enablers. Factor 1 included computerised database of customers, computerised database of suppliers, computerised inventory of products or services, and a website. Factor 2 included an e-mail address and internet access.

Molla and Licker (2005) argue that in developing countries, e-commerce is generally adopted in four stages. Firstly, firms have an internet connection and an e-mail address. In the second phase, they establish a website for advertisement purposes. The third stage involves making the website interactive with customers. In this instance, customers may forward their queries through the website. In the fourth stage, the website incorporates functionalities that enable

financial transactions to be performed through the website such as online purchasing and customer services. This last stage is termed *web integration* which entails even more integration of suppliers and customers into the online strategy through the website. At this stage, almost all the business transactions are conducted online. Based on the stage model of Molla and Licker (2005) and the adoption ladder model of Cloete *et al.* (2002), factor 2 can fit into stage one of the adoption ladder while variables of factor 1 can fit into the four remaining stages.

**Table 2. Factor Analysis**

Factor	Variable	Factor loading	Factor loading
		Durban	Pietermaritzburg
Factor 1	<i>Computerised database of customers</i>	0.913	0.956
	<i>Computerised database of suppliers</i>	0.894	0.950
	<i>Computerised inventory of products or services</i>	0.823	0.937
	<i>E-commerce strategy</i>	0.758	0.767
	<i>Website</i>	0.632	0.821
Factor 2	<i>E-mail</i>	0.932	0.902
	<i>Internet</i>	0.875	0.897

#### 6.4. Correlation analysis

Due to the non-normal distribution of the dependent variables (the four e-commerce options) against the independent variables (e-commerce enablers), the Spearman correlation was deemed to be the appropriate statistical test to depict the nature of the relationships between the independent variables and the dependent variables. Table 3 shows that in Durban, e-commerce strategy, computerised database of customers, access to the internet and a website are significantly and positively correlated with each of the four e-commerce options at 95% confidence level. However, computerised database of suppliers, computerised inventory of products or services and an e-mail address are not correlated with customers' online payment. In addition, in the Durban area, access to the internet is not significantly correlated with online customer services. In Pietermaritzburg, all the enablers are positively correlated with each of the four e-commerce options at 95% confidence level (Table 4).

**Table 3. Correlation Between E-commerce Enablers and E-commerce Adoption (Durban)**

Enabler	Statistics	Online payment	Online ordering (customers)	Online customer services	Online ordering (suppliers)
E-commerce strategy	<i>Rho</i>	.300**	.433**	.263*	.458**
	Sig. (2-tailed)	0.007	0.000	0.018	0.000
	N	81	81	81	81
	<i>Rho</i>	.370**	.407**	.455**	.511**

Enabler	Statistics	Online payment	Online ordering (customers)	Online customer services	Online ordering (suppliers)
Computerised database of customers	Sig. (2-tailed)	0.001	0.000	0.000	0.000
	N	80	80	80	80
	<i>Rho</i>	0.208	.278*	.261*	.423**
Computerised database of suppliers	Sig. (2-tailed)	0.068	0.014	0.021	0.000
	N	78	78	78	78
	<i>Rho</i>	0.218	.384**	.344**	.476**
Computerised inventory of products or services	Sig. (2-tailed)	0.053	0.000	0.002	0.000
	N	79	79	79	79
	<i>Rho</i>	0.209	.336**	.221*	.279*
E-mail address	Sig. (2-tailed)	0.060	0.002	0.046	0.011
	N	82	82	82	82
	<i>Rho</i>	.279**	.320**	0.202	.358**
Access to the Internet	Sig. (2-tailed)	0.009	0.003	0.062	0.001
	N	86	86	86	86
	<i>Rho</i>	.605**	.484**	.511**	.517**
Website	Sig. (2-tailed)	0.000	0.000	0.000	0.000
	N	88	88	88	88
	<i>Rho</i>	.697**	.602**	.637**	.667**
E-commerce strategy	Sig. (2-tailed)	0.000	0.000	0.000	0.000
	N	124	124	124	124
	<i>Rho</i>	.805**	.686**	.744**	.736**
Computerised database of customers	Sig. (2-tailed)	0.000	0.000	0.000	0.000
	N	126	126	126	126
	<i>Rho</i>	.759**	.724**	.763**	.752**
Computerised database of suppliers	Sig. (2-tailed)	0.000	0.000	0.000	0.000
	N	125	125	125	125
	<i>Rho</i>				

**Table 2. Correlation Between E-commerce Enablers and E-commerce Adoption (Pietermaritzburg)**

Enabler	Statistics	Online payment	Online ordering (customers)	Online customer services	Online ordering (suppliers)
E-commerce strategy	<i>Rho</i>	.697**	.602**	.637**	.667**
	Sig. (2-tailed)	0.000	0.000	0.000	0.000
	N	124	124	124	124
Computerised database of customers	<i>Rho</i>	.805**	.686**	.744**	.736**
	Sig. (2-tailed)	0.000	0.000	0.000	0.000
	N	126	126	126	126
Computerised database of suppliers	<i>Rho</i>	.759**	.724**	.763**	.752**
	Sig. (2-tailed)	0.000	0.000	0.000	0.000
	N	125	125	125	125

<b>Computerised inventory of products or services</b>	<i>Rho</i>	.810**	.705**	.719**	.744**
	Sig. (2-tailed)	0.000	0.000	0.000	0.000
	N	130	130	130	130
<b>E-mail address</b>	<i>Rho</i>	.472**	.427**	.494**	.423**
	Sig. (2-tailed)	0.000	0.000	0.000	0.000
	N	131	131	131	131
<b>Access to the Internet</b>	<i>Rho</i>	.538**	.503**	.530**	.456**
	Sig. (2-tailed)	0.000	0.000	0.000	0.000
	N	130	130	130	130
<b>Website</b>	<i>Rho</i>	.801**	.714**	.745**	.679**
	Sig. (2-tailed)	0.000	0.000	0.000	0.000
	N	139	139	139	139

## 7. CONCLUSION

This paper investigated the relationship between e-commerce enablers and the adoption of e-commerce. The paper had two objectives. Firstly, to investigate whether there was a significant relationship between having an e-commerce strategy and e-commerce adoption. Secondly, to assess whether there was a significant relationship between technology capabilities and e-commerce adoption. The findings revealed that having an e-commerce strategy was significantly correlated with e-commerce adoption by SMMEs located in Durban and Pietermaritzburg. All other e-commerce enablers were significantly correlated with e-commerce adoption by SMMEs located in Pietermaritzburg. However, in the Durban area, enablers such as a computerised database of suppliers, a computerised inventory of products or services and an e-mail address were not correlated with SMMEs' adoption of customers' online payments. In addition, in the Durban area, access to the internet was not significantly correlated with online customer services.

This paper contributes to the knowledge of factors that need to be considered when planning for e-commerce adoption. The authors recommend that SMME owners define the strategic value of e-commerce to their businesses and then develop an e-commerce implementation plan that is aligned with the identified strategic value. The authors also postulate that SMMEs should gradually endeavour to have technological capabilities such as an e-mail address, internet access, a website, a computerised database of customers, a computerised database of suppliers and a computerised inventory of products and services as they progress through the e-commerce adoption ladder. Olatokun and Kebonye (2010) argue that SMME owners often do not have knowledge of the right IT applications that are needed in order to make e-commerce more appealing and relevant to their businesses. Hence, it is suggested that public and private interventions geared toward SMME support also include the provision of IT support, especially for SMMEs that are willing or ready to embark on the e-commerce adoption journey.

In the era of social media and cloud computing, there are other factors such as social and technical factors, privacy and security that are not part of the scope of this study but need closer attention. The authors suggest that future research investigates the impact thereof on the adoption of e-commerce. The authors further suggest an empirical research that looks into the factors that make SMMEs move from one e-commerce adoption ladder to another in the specific context of developing countries.

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**THE INFLUENCE OF SUPPORTING INSTITUTIONS INTERVENTIONS ON SMMEs  
MANAGERIAL COMPETENCIES**

**Lusambya Lukendo Moise**

University of KwaZulu-Natal

Email : 217063404@stu.ukzn.ac.za

Orcid ID: 0000-0001-9390-3003

**Refiloe Gladys Khoase**

University of KwaZulu-Natal

Email: Khoaser@ukzn.ac.za

Orcid ID: 0000-0001-6558-6127

**Evelyn Derera**

University of KwaZulu-Natal

Email : dererae@ukzn.ac.za

Orcid ID: 0000-0002-9762-4295

**Patrick Ndayizigamiye\***

University of Johannesburg

Email : ndayizigamiyep@uj.ac.za

Orcid ID: 0000-0001-5721-6070

**~Abstract~**

*SMMEs are important contributors to South Africa's socio-economic development. Consequently, interventions have been introduced by the South African government through public and private supporting institutions to assist the establishment and growth of SMMEs. Despite these interventions, SMMEs continue to experience various challenges, leading to their failure few years after their establishment. Various scholars have identified lack of managerial competencies as one of the main factors leading to the high failure rate of SMMEs. Although the South African government has instituted several interventions to promote the establishment and growth of SMMEs, little research has been conducted to assess the impact of such interventions on managerial competencies of SMME owners/managers. Hence, this study aims to examine the impact of receiving training on developing managerial competencies of SMME owners/managers. The nature of this study is descriptive. A quantitative survey was conducted in the Pietermaritzburg city of South Africa, using a sample of 148 SMME owners/managers who were selected using a combination of convenient and snowball sampling methods. Spearman correlation and linear regression tests are the statistical methods used to analyse and interpret the data. Findings show that there is a positive and significant relationship between receiving business training from government supporting institutions and having conceptual skills while receiving business training from private supporting institutions is significantly and positively correlated with having technical skills and having conceptual skills. However, the provision of business training does not have a significant influence on having human skills. This paper presents two regression models that depict the effect of receiving business training from public and private supporting institutions on the managerial competencies of SMME owners/managers. The paper recommends that public and private supporting institutions evaluate their business training interventions to ensure that they have a positive impact on developing human skills.*

**Keywords:** Supporting institutions, interventions, SMMEs, managerial competencies, business training

**JEL Classification:** M19

## 1. INTRODUCTION

Small Medium and Micro Enterprises (SMMEs) are important contributors to the socio-economic development of countries (Ayandibu & Houghton, 2017; Blackburn & Jarvis, 2010; Cant, 2016; Hassan & Mohamed, 2015; OECD, 2017). In South Africa, SMMEs are regarded as significant drivers of economic growth, job creation and poverty reduction (Herrington, Kew & Mwanga, 2017; Department of Labour, 2017). As stated by the Small Business Development Department Report (2015-2016), SMMEs in South Africa constitute 98% of registered enterprises and contribute 47% of the total labour force (DSBD, 2016).

Due to the importance of SMMEs, interventions have been introduced by the South African government through public and private supporting institutions to support the establishment and growth of SMMEs in an attempt to stimulate national economic growth. Through these supporting institutions, SMMEs have access to both financial and non-financial support (SEDA, 2017). Despite these interventions, SMMEs continue to experience various challenges, leading to their failure few years after their establishment (Fatoki, 2014; Leboea, 2017; Lose, 2016). The high failure rate of SMMEs is one of the major impediments to economic growth in South Africa (Leboea, 2017; Lose, 2016; Nemaenzhe, 2010).

Various scholars have identified lack of managerial competencies as one of the main factors leading to the high failure of SMMEs (Abor & Quartey, 2010; Lose, 2016; Nieman & Nieuwenhuizen, 2014; Nieuwenhuizen, 2011; Tarwirei, 2015; Tushabomwe-Kazooba, 2006; Urban & Naidoo, 2012). As cited in the Small Business White Paper (1995) of South Africa, there is a need to assist SMMEs to acquire managerial competencies. A study conducted by Van Scheers (2011) has confirmed that SMME owners need counselling and training services to enhance their managerial competencies. Although the South African government has instituted several interventions to promote the establishment and growth of SMMEs, little is currently known about the impact of such interventions on developing managerial competencies of SMME owners/managers. Therefore, this paper attempts to address this gap by investigating the impact of receiving business training on the managerial competencies of SMMEs owners/managers within the context of South Africa.

## 2. MANAGERIAL COMPETENCIES

Parry (1996) defines competency as a set of related skills, attitudes and knowledge that influences a key aspect of one's responsibility or role (job) which relates with performance. It can be measured against acknowledged norms and enhanced through training and development. The proposed definition has been accepted and used by many scholars in research pertaining to managerial competencies (Barber & Tietje, 2004; Hsieh, Lin & Lee, 2012; Hunt & Wilhelm, 2000; Vaishya, Jha & Srivastava, 2016).

The performance and success of an organisation largely depend on its skilled workforce (Bashir, 2017). According to Stankevica (2016), SMMEs need skilled managers at all levels of management because managerial efficiency is amongst the factors that contribute to the success of an enterprise, particularly in the case of SMMEs. Entrepreneurs need managerial competencies in order to perform tasks and activities related to business functions (Nieuwenhuizen, 2009). There are several theoretical models that have emerged to explain the concept of managerial competency. The following section discusses the theoretical framework adopted in this study, that is, Katz competency framework.

### 2.1. Katz competency framework

The Katz competency framework is a model developed by Robert Katz (1955; 1974) to explain the skills (competencies) of an effective administrator. Katz (2009) has suggested that effective administration (i.e., management or leadership) relies on three fundamental developable skills: conceptual, human and technical skills. According to Katz (2009), all three sets of skills are essential for managing firms successfully. Jones, George, and Langton (2017) have also indicated that effective managers need these three sets of skills to manage their organisations effectively and efficiently. They have further noted that the lack of any one of these types of managerial skills can lead to organisations failure. The Katz competency framework has been adopted in this study because it highlights three important managerial skills that affect the effectiveness of managers.

**Technical skills.** Technical skills, also known as functional competencies, indicate an understanding of and ability in a particular precise activity or discipline, especially one including strategies, procedures, systems or methods. Technical skills relate mainly to working with processes or physical things (Katz, 2009). As stated by Katz (2009), an effective leader or manager needs adequate technical skills to achieve the tasks for which he or she is responsible. A manager needs sound knowledge of technical activities that he or she must supervise (Smit, Cronje, Brevis & Vrba, 2011).

**Human skills.** Human skills are also called interpersonal skills (Ling, 2007; Nieuwenhuizen, Badenhorst-Weiss, Rossouw, Brevis & Cant, 2008; Weber, Finley, Crawford & Rivera Jr, 2009) or generic skills (Sidek & Mohamad, 2014). These skills refer to the ability of the manager to work successfully as a group member and to build collaborative effort within the group he/she leads (Schermerhorn, 2011). Human skills involve understanding and motivating individuals and groups (Katz, 2009). Human skills are needed by managers at all managerial levels (Nieuwenhuizen et al., 2008). Team building, communication skills, motivation and leadership skills (Jones et al., 2017; Weber et al., 2009) are some of the examples of human skills that managers need to develop.

**Conceptual skills.** Also referred to as cognitive skills (Abbaszadeh, Eyni & Rabiei, 2012), these skills refer to the ability of a manager to understand and see the firm as a whole. It involves identifying how the different functions of the enterprise rely on one another and how changes in any one business function influence all the others. Conceptual skills extend to visualising the relationships of the individual business to the industry, the community as well as the political, economic and social fabrics of the country (Katz, 2009). Conceptual skills involve integrating and coordinating all the functions of the enterprise towards a general objective (Katz, 2009). Conceptual skills allow managers to make decisions that affect the business as a whole, to see the big picture and to think strategically (Nieuwenhuizen et al., 2008; Smit et al., 2011). According to Katz (2009), an effective leader needs enough conceptual skills to identify the interrelationships of the different issues related to his position in order to take action that will likely yield the best results for the entire organisation. Decision-making, problem-solving skills, strategic thinking and creative thinking (Javadin, Amin, Tehrani & Ramezani, 2010; Ling, 2007; Weber et al., 2009) are some of the conceptual skills needed by managers.

### **3. SUPPORTING INSTITUTIONS INTERVENTIONS**

Given the role that SMMEs play in the economic growth of countries around the world, interventions have been designed to support SMMEs. In the context of this study, the term *supporting institutions intervention* refers to any assistance offered by private or government institutions with the purpose of developing SMMEs (Khoase, 2015; Smorfitt, 2008). An entrepreneur or business owner can obtain support from a wide range of personal or individual sources and institutional sources (Van Aardt & Bezuidenhout, 2014). This research focuses on institutional sources of support. According to Van Aardt and Bezuidenhout (2014), institutional sources of support refer to assistance offered by government and related organisations, by educational institutions and by business associations and professionals. These supporting institutions provide valuable support with regard to generating financial support and non-financial support (Van Aardt & Bezuidenhout, 2014) to help entrepreneurs and business owners operate professionally and grow their enterprises with the aim of contributing to economic growth, job creation and poverty reduction (Asafo-Adjei, 2015; Sospeter & Nchimbi, 2018). This paper emphasises the non-financial support (also called business development services or BDS) provided by public and private supporting institutions. Specifically, it focuses on the provision of business training.

#### **3.1. Provision of business training**

Business training is the most general type of business development services provided by supporting institutions. Training is essential to enhance business owners' managerial skills. According to Ferreira (2007), training is a systematic and organised process through which entrepreneurs and business owners acquire skills, knowledge, information and attitudes required to accomplish their business objectives. Training aims to influence and change the

working habits of a business owner and his levels of performance in order to become more productive (Ferreira, 2007).

The South African government recognises the significance of training in promoting the small business sector and hence, has established different supporting institutions and programmes to offer training to SMMEs. However, despite the availability of these interventions, little is still known about the impact of training intervention on SMMEs managerial competencies in South Africa. Mwaanga (2014) has investigated the impact of training on SMMEs in Zambia and revealed a positive impact of training on business performance and managerial skills. He has further shown that training provided by supporting institutions improves various business skills such as strategic skills, decision-making skills, interpersonal skills and technical skills. These findings are further supported by Asafo-Adjei (2015) who investigated the impact of training on managerial skills in Ghana and found that training has a positive impact on managerial and technical skills.

Within the South African context, some studies indicate that business training contributes significantly to developing managerial skills of SMME owners/managers (Clover & Darroch, 2010; Dladla & Mutambara, 2018). Dladla and Mutambara (2018) have evaluated the impact and effectiveness of training and supporting interventions offered to small businesses through the Expanded Public Works Programme (EPWP) in the Pretoria region. They demonstrate that the training intervention provided through the EPWP as part of the government's initiative is making a positive impact to improve business management skills of SMME owners and managers. Additionally, Clover and Darroch (2010) also report that access to training to acquire skills is a major factor influencing the success of SMMEs in South Africa because improving skills increases the ability of an entrepreneur to overcome many challenges. On the other hand, a study conducted by Mathibe and Van Zyl (2011) suggests that training programmes offered by private supporting institutions have not always been effective in terms of developing the managerial skills and other related business skills of entrepreneurs in South Africa.

#### **4. METHODOLOGY**

This study adopted a descriptive research design, the survey as the research strategy and a structured questionnaire as the data collection instrument. The target population for this study consisted of the owners and managers of registered SMMEs in the Pietermaritzburg Central District (CBD) in South Africa. The sample size was 228 registered SMMEs operating in the Pietermaritzburg CBD. The sample size was generated using an online sample size calculator (SurveySystem, 2012). A sampling frame of 231 registered SMMEs obtained from the Msunduzi Municipality database in Pietermaritzburg was used to generate the sample size. The sample size was calculated at a margin of error (confidence interval) of 1% and confidence level of 99%. Out of 228 registered SMMEs (original sample size), 148 registered SMMEs or 65% of the required sample participated in this study.

Convenience sampling, coupled with snowball sampling, was used as the sampling methods to identify and recruit research participants. Convenience sampling was used to identify the initial research participants in the target population and thereafter the researcher used the initial respondents to identify the other respondents in the target population. The questionnaire comprised closed-ended questions. The questionnaire was divided into three sections. Section A aimed to collect the demographics of the respondents. Section B aimed to collect information regarding the managerial competencies that SMME managers had (technical skills, human skills and conceptual skills). Section C aimed to capture the sources of acquiring managerial competencies (such as government supporting institutions, private supporting institutions) and the business development services provided by these supporting institutions.

The questionnaire was pre-tested on a convenience sample of eight owners and managers of SMMEs registered and operating in Pietermaritzburg in South Africa. The Cronbach's alpha coefficient was used to test the reliability of grouped variables under each section within the questionnaire. Factor analysis (construct validity test) was executed to evaluate the validity of the constructs encompassed within the dependent variables. Data was analysed using Spearman correlation and linear regression analysis. In this study, the independent variable is business training while the dependent variables are the conceptual, technical and human

skills, all measured on a Likert scale of 1 (strongly disagree) to 5 (strongly agree). Different studies (Afshari, Honari, Kargar, Naghshbandi & Jabari, 2012; Esfandnia, Khezeli, Bayat, Ojaghi & Esfandnia, 2016; Mostafa, Habib, Farzad & Nahid, 2012; Shamsi, 2017; Suresh & Kodikal, 2015) have used a 5-point Likert scale to measure the three types of managerial skills developed by Katz (2009).

## **5. RESULTS AND DISCUSSION**

### **5.1. Reliability of the research instrument**

The Cronbach's alpha test was run to establish the internal consistency of the Likert-scaled responses. Sekaran and Bougie (2016) argued that for a questionnaire to be reliable, the Cronbach's alpha coefficient of the grouped items must be equal to or greater than 0.7. The Cronbach's alpha coefficient for the grouped items under managerial competencies (that is technical, conceptual and human skills) is 0.889. Hence, responses pertaining to these constructs could be deemed reliable.

### **5.2. Validity of the research instrument**

A factor analysis test was executed to evaluate the validity of the constructs encompassed within the dependent variables. The dependent variables were constructed based on the three constructs of the Katz competency framework (2009), namely technical skills, human skills and conceptual skills. The factor analysis tested the validity of the human skills and conceptual skills variables only, as the technical skills construct had only one variable. The factor analysis (Principal component analysis) reveal that all variables pertaining to the conceptual skills fit within one component and the same applies to the human skills. Thus, one can deduce that the variables, which measure the conceptual skills as well as those that measure the human skills, are valid.

### **5.3. Demographics of respondents**

Most respondents were males ( $n = 92, 63.0\%$ ) compared to females ( $n = 54, 37.0\%$ ). Most respondents' age was between 26 and 35 ( $n = 58, 40.0\%$ ), followed by 36 to 45 ( $n = 41, 28.3\%$ ). Fifty-three ( $37.9\%$ ) of the respondents were business managers, followed by business owners ( $n = 49, 35.0\%$ ). Most respondents had a bachelor's degree as their highest qualification ( $n = 37, 25.9\%$ ). As expected, the majority of the SMMEs were formally registered ( $n = 129, 88.4\%$ ). Most SMMEs had a total number of employees ranging between 1 and 5 ( $n = 92, 63.0\%$ ), followed by 6 to 20 ( $n = 42, 28.8\%$ ).

### **5.4. Correlation between receiving business training and having managerial competencies**

A Spearman correlation test between receiving business training and having managerial competencies indicates that there is no significant relationship between having technical skills and receiving business training from government supporting interventions ( $p\text{-value} = .081 > 0.05$ ). The findings further show that there is no significant relationship between having human skills and receiving business training from government supporting interventions ( $p\text{-value} = .100 > 0.05$ ). However, the results further suggest a positive relationship between having conceptual skills and receiving business training from government support institutions ( $\rho = .194, p\text{-value} = 0.021 < 0.05, n = 141$ ). In addition, the Spearman correlation test results reveal that receiving business training from private support institutions is positively related to SMME owners/managers having technical skills ( $\rho = .260, p\text{-value} = 0.002 < 0.05, n = 139$ ) and conceptual skills ( $\rho = .265, p\text{-value} = 0.002 < 0.05, n = 140$ ).

### **5.5. Linear regression analysis between receiving business training from government supporting institutions and having conceptual skills**

A linear regression analysis was performed to assess the effect of business training on the dependent variable (conceptual skills). Findings reveal that the dependent variable varies in relation to the independent variable, that is, "receiving business training from government support institutions". The non-standardised coefficient B for business training (BT) is 0.116, meaning that, for each one unit increase in receiving business training from government support institutions, there is an 11.6% increase in conceptual skills of SMME owners/managers. The regression analysis further shows that the independent variable,

“receiving business training from government support institutions”, significantly predicts the dependent variable “conceptual skills” ( $p\text{-value} = 0.007 < 0.05$ ). Thus, the regression model can be drawn as follows:

**Conceptual skills of SMMEs’ owners-managers=  $3.996 + (0.116*BT)$  where BT means receiving business training from government support institutions.**

These findings are consistent with the findings by Asafo-Adjei (2015) and Mwaanga (2014) who have revealed that business training has a positive impact on managerial competencies such as conceptual skills. Additionally, Dladla and Mutambara (2018) have found that receiving training intervention from the Expanded Public Works Programme (EPWP) as a government initiative impacts positively on improving the business management skills of SMME owners and managers. Clover and Darroch (2010) also report that access to skills training supplied by the government is a major factor influencing the success of SMMEs in South Africa because increased skills training improves the ability of any entrepreneur to overcome many challenges.

#### **5.6. Linear regression analysis between receiving business training from private support institutions and acquiring technical skills**

A linear regression analysis between receiving business training from private support institutions and acquiring technical skills shows how much the dependent variable “technical skills” varies in relation to the independent variable “receiving business training from private support institutions”. The non-standardised coefficient B for business training (BT) is 0.180, meaning that, for each one unit increase in receiving business training from private support institutions, there is an 18.0% increase in technical skills of SMME owners/managers. The regression analysis further shows that the independent variable “receiving business training from private support institutions” significantly predicts the dependent variable “technical skills” ( $p\text{-value} = 0.001 < 0.05$ ). Thus, the regression model can be drawn as follows:

**Technical skills of SMMEs’ owners-managers=  $3.655 + (0.180*BT)$  where BT signifies receiving business training from private support institutions.**

The above results concur with those of Mwaanga (2014) and Asafo-Adjei (2015) who have also found that business training provided by supporting institutions has a positive impact on the managerial skills such as technical skills. Mwaanga (2014) indicates that training provided by private supporting institutions is beneficial to SMMEs as it improves various skills such as technical skills. However, Mathibe and Van Zyl (2011) suggest that training programmes provided by private supporting institutions have not always been effective to develop the managerial skills of entrepreneurs in South Africa.

#### **5.7. Linear regression analysis between receiving business training from the private support institutions and acquiring conceptual skills**

A linear regression analysis between receiving business training from private support institutions and acquiring conceptual skills shows how much the dependent variable “conceptual skills” varies in relation to the independent variable “receiving business training from private support institutions”. The non-standardised coefficient B for business training (BT) is 0.130, meaning that, for each one unit increase in receiving business training from private support institutions, there is a 13.0% increase in conceptual skills of SMME owners/managers. Furthermore, the regression analysis indicates that the independent variable “Receiving business training from private support institutions” significantly predicts the dependent variable “conceptual skills” ( $p\text{-value} = 0.001 < 0.05$ ). Hence, the regression model can be described as follows:

**Conceptual skills of SMMEs’ owners-managers=  $3.871 + (0.130*BT)$  where BT means receiving business training from private support institutions**

The above results concur with those of Mwaanga (2014) and Asafo-Adjei (2015) who have also found that business training offered by private supporting institutions has a positive impact on the managerial skills such as conceptual skills. Mwaanga (2014) has shown that training offered by private supporting institutions is beneficial to SMMEs because it improves various managerial skills such as conceptual skills. However, Mathibe and Van Zyl (2011) suggest

that training programmes provided by private supporting institutions have not always been effective to develop the managerial skills of entrepreneurs in South Africa.

## 6. CONCLUSION AND RECOMMENDATIONS

The purpose of this study was to investigate the impact of business training interventions from public and private supporting institutions on the managerial competencies of SMME owners and managers in the South African context. Through a combination of correlation and regression analysis, this study found that receiving business training from public supporting institutions had a significant and positive effect on having conceptual skills while receiving training from private supporting institutions had a significant and positive effect on having technical as well as conceptual skills.

It is important to note that none of the business training interventions (either from public or private institutions) had a significant impact on all three aspects of managerial competencies altogether (technical, conceptual and human skills combined). In fact, the findings reveal that none of the interventions had a significant influence on having human skills. However, SMME owners/managers need to acquire all these three skills to become competent managers (Jones, George & Langton, 2017).

Based on the above findings, it is recommended that the government and other supporting institutions re-assesses the provision of business training towards SMMEs. Scheduling monitoring and evaluation of current business training interventions will assist in finding the gaps and then devise remedial actions. As the findings reveal a lack of significant influence of business training intervention on human skills, it is important that the supporting institutions re-design their training programmes to ensure that they instil human skills in SMME owners/managers.

Moreover, it is important that SMME owners/managers do not rely on one set of interventions to develop their managerial competencies. The results portrayed in this study suggest that SMME owners/managers will benefit more by accessing training opportunities from both public and private supporting institutions. In addition, SMME owners/managers may need to find alternative ways of acquiring human skills through, for instance, various team-building skills, communication skills, as well as motivational and leadership skills development programmes.

The authors acknowledge that more research needs to be done to ascertain the impact of training on SMME owners/managers' managerial competencies. Thus, a much wider study with a much bigger sample should investigate further the claims made in this paper. Particularly, it would be interesting to investigate how the effect of business training interventions on SMME owners/managers' managerial competencies differs across the various SMME sectors.

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## EXPLORING FACTORS CONTRIBUTING TO LOW STAFF MORALE: A CASE STUDY OF A GOVERNMENT DEPARTMENT IN LIMPOPO

**Thokozile Vitalia Mdluli**

Southern Business School  
Email: 21020273@sbs.ac.za  
Orcid ID: 0000-0003-1938-6831

**Henk de Jager**

Southern Business School  
Email: hdejager@sbs.ac.za  
Orcid ID: 0000-0002-9881-973X

### ~Abstract~

*The influence of low staff morale on service delivery is well documented. Understanding what influences staff morale can assist the employer in identifying aspects that need to be improved to provide a more conducive environment for employee performance. The main objective of this research was to explore factors that contribute to low staff morale in a selected public sector institution. A qualitative research approach was followed. Semi-structured interviews were conducted with middle and senior managers with a minimum of seven years' experience (n=10). Theme analysis was applied. The results of the study show that factors such as the frequent change in leadership and management, a high incidence of unfair labour practices and grievances that are not resolved are some of the major contributors to low staff morale in this department. Other factors mentioned are the non-implementation of the performance management system and a lack of opportunities for promotion. Some of the major recommendations resulting from the research include: the appointment of competent senior managers who will complete their contractual obligation to the department; the implementation of the performance management system in line with the public service regulations and the application of sound labour relations practices in line with the regulations, policies and relevant legislation.*

**Key Words:** Government Department, Limpopo, Service Delivery, Staff Morale.

**JEL Classification:** M5

### 1. INTRODUCTION

The present competitive global working environment requires of organisations to employ a skilled, productive and motivated workforce (Mello, 2013). The public sector is no exception and employees should be able to perform their work to the best of their ability. This will only be achieved if employees are taken care of through proper leadership and performance management training, and skills development.

Employees are often subjected to poor management and leadership that lead to low morale in the organisation. If employees are not well taken care of, productivity will be compromised and service delivery negatively affected. It is important to identify the causes leading to behaviour such as continued late coming, absenteeism and resignations. The main objective of this research was to explore factors that contribute to low staff morale in a selected public sector institution. This study will therefore focus on factors that contribute to low morale among employees.

In 2015/16 the selected department's annual report highlighted issues of low staff numbers, low morale and a poor attitude among individual employees. These directly contribute to poor performance and service delivery within the selected public sector institution. This was confirmed by the Auditor General's report of 2016/17 that highlighted poor service delivery as a key challenge within the public sector institution. The fact that people play an important role in service delivery has highlighted the need for a study to identify what factors are contributing to low staff morale. Moreover, understanding what influences staff morale can help the employer to identify aspects within the organisation that need to be improved to provide a

more conducive environment for employees to deliver the expected high levels service to the population of the area.

## **2. LITERTURE REVIEW**

### **2.1. Employee morale conceptualised**

Employees are an indispensable asset of any public institution (Mello, 2013). The subject of low morale and performance has therefore become a central theme in the debate on the implementation of human resource policies and practices in government organisations.

Morale is defined as an intangible concept which refers to how positive and supportive a group feels towards the organisation to which they belong. It includes the special feelings members of the group share with each other such as trust, self-worth, purpose, pride in one's achievements, faith in leadership and organisational successes (Haddock, 2010). The definition also refers to the general level of confidence or optimism experienced by a person or a group of people, especially if it affects discipline and a willingness to perform and execute tasks for an institution (Haddock, 2010; Seroka, 2009).

Morale is a very important factor which contributes to the willingness of people to work, which leads to their happiness and determines their productivity in the working environment. When employees enjoy high morale, individuals work enthusiastically towards the achievement of organisational goals and objectives. High morale reduces absenteeism and labour turnover in an institution. Low morale leads to inefficiency, waste, low productivity, unrest and ill-discipline among employees. Good morale is a state of well-being that stems from a sense of purpose and confidence in the future. There is no one factor that consistently explains good or poor morale; it is a combination of related factors (Finger, 2005).

Morale can be a fuel that drives an organisation forward in a positive strategic direction, or the fuel that feeds the fires of employee discontent, poor performance and absenteeism (Ewton, 2007). When employees enjoy high morale their productivity improves and so does service delivery which benefits the ordinary citizens. Millet (2010) mentions the following reasons underpinning the importance and effect of high levels of staff morale, improved productivity, performance and creativity, high attention to detail, a safer work environment, an increased quality of work being produced and less leave being taken.

To summarise, high morale among employees leads to staff arriving at work early in order to improve service delivery, improve communication among employees and between management and its employees. It also reduces time wasted on gossip, improves development and results in higher levels of creativity.

### **2.2. Factors that affect staff morale**

The following are some of the factors that have the capacity to influence the effectiveness and morale of employees if they are not part of the DNA of the organisation.

#### **2.2.1. Communication**

Communication is defined as the channels used to give feedback to staff members about issues affecting the organisation. Problems with communication are solved to prevent problems of trust, problems of creating interdependence among common objectives, agreement, and the distribution of rewards and the problem of understanding (Haddock, 2010). Communication breakdowns in an organisation create distrust and lead to rumours that might send negative messages to employees thus affecting their morale in performing their duties. Employees lack loyalty towards one another and the organisation and this results in an ineffective workforce. When employees feel that their positions are at risk when management does not engage with them, their morale is affected.

#### **2.2.2. Organisational culture, management and leadership**

In most organisations employees, do not leave the organisation, but leave the culture and management. Poor staff morale spills over in activities that affect the organisation's performance and productivity suffers (Makawatsakul & Kleiner, 2003).

If the organisation has an immoral culture in terms of managing and leading, the effect has a destructive effect on staff morale and faithfulness. Kinjerski and Skrypnek (2006) state that low staff morale is displayed by lack of confidence and uncommitted management in the organisation. According to Drew (2011) organisational culture disturbs employees. When there is no leadership in an organisation, it becomes obvious that there will be no service delivery and productivity because everybody will conduct themselves contrary to the principle of good governance. Bowles and Copper (2009) postulate that to merge staff morale with organisational performance is a critical management issue that needs constant attention. High staff morale provides a competitive edge in good times and periods of decline; it supports organisations as it retains and nurtures them.

Some problems are caused by political leadership as outlined in the letter addressed to the Member of the Executive Council, (April, 2015). Politicians use the “spoils system” to bring their friends and comrades into the organisation. Mello (2013) indicates that the “spoils system” is an employment practice in which politicians employ officials that are loyal to the political party in power. Some of the political recruits do not have qualifications or competencies for those positions resulting in frustration among the internal employees and lowering their morale.

### **2.2.3. Commitment to the vision and mission of the organisation**

The lack of a clear vision and mission within the organisation influences employees to become disordered and distracted from what needs to be done (Haddock, 2010). It becomes problematic if employees do not know what they must achieve or which projects to support. This will have a direct impact on the organisation’s ability to accomplish the organisational goals and eventually lead to dissatisfaction and low staff morale with a devastating effect on service delivery.

## **3. RESEARCH DESIGN**

### **3.1. Research approach**

A qualitative approach was adopted for the present study, using the grounded theory within an interpretative paradigm. This, according to De Vos, Strydom, Fouché and Delport (2017) and Bryman and Bell (2017) aims mainly to understand the reality which is discovered by means of a systematic, interactive, and methodical approach. Qualitative research, in its broadest sense, refers to research that elicits participants’ accounts of meaning, experience and perceptions. It produces data in participants’ own written and spoken words. Qualitative research is therefore concerned with understanding, rather than explanation; entails naturalistic observation, rather than controlled measurements and the subjective exploration of reality from the perspective of the outsider.

### **3.2. Research strategy**

A case study strategy was selected to conduct the research. The case study strategy was considered most appropriate, as the researcher wanted to investigate a contemporary phenomenon in the real-life context (Creswell, 2012). The researcher selected multiple case studies as part of the design and as the unit of analysis. For this study the unit of analysis was middle and senior managers from a selected government department in Limpopo.

### **3.3. Research setting**

The study focused on a selected government department in Limpopo functioning in the following districts – Capricorn, Vhembe, Waterberg, Mopani and Sekhukhune.

### **3.4. Sampling**

The study employed a purposive convenience sampling technique. According to Creswell (2012), De Vos *et al.* (2017), and Bryman and Bell (2017), purposive sampling requires the researcher to select people or sites who can best help him or her to understand the phenomenon. The inclusion of participants in such a study is based on their capacity to provide expert opinions and answer the research questions (Quinlan, 2011).

The population consists of individuals, groups, organisations, human products and events, or the conditions to which they are exposed (Welman, Kruger & Mitchell, 2005; De Vos *et al.*,

2017). The target population for the study consists of the selected government department functioning in five districts in Limpopo. A sample of employees in middle and senior management positions with a minimum of seven years' experience in the department (n=10) was selected, based on their expert knowledge of the department's policies, procedures, structure and mandate.

### 3.5. Data collection

Within the context of qualitative research, observation and interviewing are usually used to collect relevant data (De Vos *et al.*, 2017). For the present study, data were collected by means of one-on-one and focus-group interviews. According to Babbie (2007), De Vos *et al.* (2017) and Bryman and Bell (2017), focus groups or individual interviews as a qualitative method of assessment encourage the free flow of ideas. These interviews are typically directed by one moderator, but he or she could be assisted by a scribe or team members (Babbie, 2007).

Dawson (2007) mentions that, during the interviews, the facilitator may reflect on emerging themes, adapting and changing methods if participants raise issues that were not thought of initially when planning the interview.

### 3.6. Data analysis

Analysis, in research is defined as the process of identifying; disaggregating, categorising, comparing and relating something in order to better understand it (Newsome, 2016).

Qualitative analysis is a non-numerical examination and interpretation of observations for the purpose of discovering underlying meanings and patterns of relations (De Vos *et al.*, 2017; Bryman & Bell, 2017). For the present study, data were analysed by means of inductive thematic analysis (ITA), which draws on inductive analytical methods that include identifying and coding themes emerging from the data. This is also referred to as *content analysis* (De Vos *et al.*, 2017; Bryman & Bell, 2017). The data were coded to establish patterns that could aid the understanding of the large volume of information obtained during the focus-group interviews. Content analysis provides the researcher with the ability to analyse data in a systematic and rigorous manner (Crossman 2017; Thyme, Wiberg, Lundberg & Graneham, 2013).

## 4. FINDINGS

Table 1 presents the six themes from the combined responses of the participants that have emerged most often from the interviews. The themes appear from the most to least frequent themes.

**Table 1: Themes from the interviews**

Themes	
1.	Changes in leadership positions
2.	Employees lack aspirations and motivation
3.	Poor implementation of performance management system
4.	No training incentives for employees
5.	Lack of promotion for internal employees
6.	Grievances and handling of complaints

### 4.1. Theme 1: Changes in leadership positions

There are two main issues to be discussed in this section, namely, changes in leadership and transfers that have an impact on staff morale in the department. Employees are not performing to their maximum because they are scared of being transferred to other sections without

adhering to proper procedures and regulations that govern these transfers. There have been six Accounting Officers in less than six years. Instead of allowing a five-year contract period for one candidate to expire, they are removed or suspended due to the breakdown in the relationship between the political head and the administration as reported by the Public Service Commission.

Each Accounting Officer implements his own transfers of employees without due processes. This impacts on the low morale of staff because it targets those who are powerless and vulnerable in the institution. Grievances were lodged with the Public Service Commission (Annual Report: 2015) on illegal transfers of employees implemented by the Accounting Officer without good cause. These are still being handled according to grievance procedures and regulations in the public service. Participants stated the following:

- "I'm uncomfortable and not happy about the changes taking place in the Department every time because each Head of Department employed want to implement his/her own priorities without looking at the interest of employees". Deputy Director, Operations, 52 years old, 21 years' experience.
- "Change in the leadership makes us worry because we are not sure what the new leadership is expecting from us". Director Finance, 44 years old, 10 years' experience.
- "When new management come we get frustrated because we are moved from one position to the other without being equipped with the necessary skills to perform". Deputy Director, Service Delivery, 47 years old. 12 years' experience.

#### **4.2. Theme 2: Employees lack aspirations and motivation**

The competitive global working environment today requires organisations to employ a skilled, productive and motivated workforce (Mello, 2013:107). In the heart of any government system, agency or organisation, it is the personnel that shape its operations. Human resource management plays a significant role in an organisation. The success with which an institution will effectively and efficiently accomplish its mission and vision is greatly determined by the skill, will power and morale of its employees. What is raised here is essential and is reflected in the national government's vision of an orientated public service administration as expressed in the White Paper on the Transformation of the Public Service (South Africa, 1995) and the White paper on the Reconstruction and Development (RDP, 1994). Participants stated the following:

- "I don't get recognition from my supervisor". Deputy Director, Operations, 45 years old, 15 years' experience.
- "When I try to complain about the treatment I will be victimised". Manager, Batho Pele Principles, 49 years old, 10 years' experience.
- "I get scared to point out my views about doing my job effectively". Deputy Director, Events Management, 37 years old, 7 years' experience.

#### **4.3. Theme 3: Poor implementation of performance management system**

The Batho Pele principles advocate the view that the effective management of employee performance is the key to service delivery. The effective management of employee performance in South Africa is directly linked to the effectiveness of public service delivery. Unfortunately there is such a decidedly negative perception of performance management in the public service that its purpose was rendered insignificant (Mafunisa, Sebola & Tsheola, 2012).

The selected department adopted a performance management and development system policy. However, most participants expressed dissatisfaction with the system and reported a breakdown in the relationship between themselves and their managers. Participants stated the following:

- "I'm not satisfied with performance bonuses because I don't get along well with my supervisor which means when we do assessment is personal rather than work based". Deputy Director, Communications, 48 years old, 18 years' experience.

- "Payments of bonuses depends how well you get along with your supervisor". Deputy Director, Communications, 48 years old, 18 years' experience.

#### **4.4. Theme 4: No training incentives for employees**

The quality of an organisation is to a large extent determined by the quality of its employees. The success of an organisation depends on employing individuals with the relevant skills to successfully perform their tasks as required to accomplish the organisation's strategic goals. They should also play a role in improving and developing those who lack the required skills to achieve its mandate through organisational development programmes. Education and training must by means of national qualifications empower individuals to improve their quality of life and contribute to the development targets in the national economic plan (Erasmus & Van Dyk, 2003). In general, the employees expressed their dissatisfaction with the way training is planned and executed in the department. Participants stated the following:

- "Training is for some special employees because not all are given the opportunity to attend them". Deputy Director, Events Management, 37 years old, 7 years' experience.
- "The Department does not offer training fairly but selectively". Manager, Operations, 38 years old, 8 years' experience.
- "It is difficult to work effectively because there is lack of training opportunities". Manager, Operations, 38 years old, 8 years' experience.

#### **4.5. Theme 5: Lack of promotion for internal employees**

Promotion of employees plays a vital role in acknowledging the role of employees in the workplace. Doing so according to known principles has a positive impact on motivation and the level of productivity of the employee. Employees in the department expressed their dissatisfaction of the way the department and management deal with internal promotions. Participants stated the following:

- "Management is not offering us opportunities to be promoted to a higher level, even though we apply for different positions". Assistant Director, Information Technology, 35 years old, 8 years' experience.
- "There is favouritism when it comes to promotions and that is demoralising". Deputy Director, Events Management, 37 years old, 7 years' experience.

#### **4.6. Theme 6: Grievances and handling of complaints**

In general, the managers express a serious concern about the way grievances and complaints are being handled in the department. A lack of dealing with complaints, the possibility of victimisation and poor management of complaints has led to a high level of dissatisfaction among middle and senior management in the department. Participants stated the following:

- "I am not happy with how grievances are handled in the department, there is no feedback". Manager, Operations, 38 years old, 8 years' experience.
- "When you lodge a complaint, you will be victimised". Deputy Director, Events Management, 37 years old, 7 years' experience.
- "Grievances are delayed that you end up giving up". Manager, Batho Pele Principles, 49 years old, 10 years' experience.

### **5. DISCUSSION AND RECOMMENDATIONS**

The main objective of the study was to investigate factors affecting the morale of employees in the selected public sector institution. The key findings suggest that employees are unhappy and do not enjoy their working environment because they feel neglected by management and the system. The impact of low morale on service delivery, as highlighted in the literature, cannot be underestimated and is an issue that needs to be addressed through the implementation of sound human resource practices and policies in the department. The research findings in general identified some of the inherent behaviour and practice deficiencies in the department that contributed to the low morale of employees.



The study has emphasized the lack of management in motivating and encouraging employees to perform their work duties optimally. It seems clear that the lack of a broader framework to ensure that employees are well taken care of does not exist. This obviously has a negative impact on the working relationship among employees, impacting negatively on service delivery in the province. There seems to be a misleading perception of happiness among personnel. When investigating the actual dynamics in the department it is clear that they are struggling to perform at their best to maintain high levels of productivity.

In order to provide employees with a working environment conducive to high productivity, it is of vital importance to adhere to the legislative framework governing the public service administration. Policies and regulations should be implemented in such a way that employees are treated fairly with the aim of improving morale, performance and subsequently service delivery.

The following recommendations are made.

In terms of promotion it is recommended that the department must provide more opportunities for existing staff to be promoted internally. The White paper on the Transformation of the Public Service 1994 and the Public Service Act (103 of 1994) provide measures to be considered when promoting staff members.

It is strongly suggested that, when dealing with grievances and complaints, management should implement all regulations and policies governing grievances in the public service to avoid employees having to wait for a protracted period to resolve their problems.

Changes in leadership positions should be limited to ensure continuity in the senior management cadre. It is recommended that the office of the premier should comply with public service regulations when employing leaders in the department.

Performance bonuses should be paid in accordance with the public service regulations and performance management system policies. The leaders within the department need to ensure that the performance management system is implemented in a fair manner, measuring employees against a clear set of performance indicators and standards.

Communication is critical and the organisation should always provide feedback to its employees on issues affecting them through the different available channels. Clear and consistent communication will increase the level of trust between employees and between the leadership and lower ranking officials. This should result in less rumour mongering.

Employees should be appointed to positions with the best fit between their skill set and job requirements. This will assist in creating an environment where employees can perform to the best of their abilities. It will contribute to a more conducive work environment with fewer negative incidences and grievances, less stress and improved productivity.

Lastly, the matter of training and development must be placed high on the agenda of priorities to be attended to. The aim must be to provide all employees with a fair opportunity to improve their skills and competency with the aim of increasing productivity and enhancing service delivery.

## **6. CONCLUSION**

To achieve high levels of service delivery, it is important to improve the overall wellbeing of employees by ensuring that they are well taken care of by management. This has to be done through sound human resource management practices and policies as described by the public service regulations. It is only with the leadership's commitment to the country's development that public employees can strive to achieve success and satisfaction within the working environment.

However, it also needs to be highlighted that employees must be encouraged to develop their own individual plans to improve their skills and competencies. This will result in more resourceful, motivated and dedicated employees within the public service.

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## FACTORS INFLUENCING GENERATION Y STUDENTS ATTITUDES TOWARD SMARTPHONES AND THEIR PURCHASING INTENTIONS

**Ephrem Habtemichael Redda**

North-West University

Email: Ephrem.Redda@nwu.ac.za

Orcid ID: 0000-0002-0233-1968

**Nkosinamandla Erasmus Shezi**

University of Johannesburg

Email: nshezi@uj.ac.za

Orcid ID: 0000-0003-3070-8969

### ~Abstract~

*The purpose of this study is to investigate factors that influence Generation Y students' attitudes and their purchasing intentions toward smartphone brands in selected South African higher education institutions. This study used a quantitative research method. Data were collected using a self-administrated questionnaire from university students registered at two public higher education institutions (HEIs) in South Africa; one traditional university located in Gauteng, and the other, a university of technology, located in the Free State. The questionnaire used in this study was developed from previously validated scales. Descriptive analysis, correlation analysis and multivariate regression analysis were applied to achieve the research objectives. The results of the study indicate that price, brand image, applications and functionality of smartphone brands are the main factors that influence Generation Y's consumer attitude toward smartphones. Furthermore, the study has found that applications, price and brand image are the drivers of Generation Y's purchasing intentions toward smartphone brands. In addition, Generation Y's attitude was found to be a predictor of purchasing intention in respect of smartphone brands. This study reveals that Generation Y university students are the most informed group of consumers when it comes to technology products such as smartphone brands. Manufactures of smartphone brands need to take note that functionality, applications, brand image and price of smartphones are crucial antecedents of attitude to this technologically savvy group. Furthermore, marketers should emphasise the product innovations of their smartphone brands during their marketing efforts in order to attract and keep Generation Y consumers as the most profitable segment. Building a strong brand image, improving usability and product design of smartphones, as well as offering them at reasonable prices would go a long way in enhancing consumer attitude and influencing consumer purchasing intentions among Generation Y students.*

**Keywords:** Attitude, branding, Generation Y, smartphone, purchasing intentions

**JEL Classification:** M31 Marketing

### 1. INTRODUCTION

The term 'smartphone' refers to the technological advancement of ordinary cell phones from simple phone calls to video calling and Internet browsing. Recently, smartphone brands have featured internet connections, camera, television, music, information sharing, bill payment options and location finding. This advancement resulted in a new concept called 'smartphones'. In this article, we define a smartphone as an advanced technological device featuring multi-functions of operating systems. Smartphones have played a significant role in changing the way individuals communicate with others (Park *et al.*, 2013). Zheng and Ni (2006:1) describe a smartphone as a next generation, multifunctional cell phone that provides voice communication and text messaging capabilities and facilitates data processing as well as enhanced wireless connectivity.

Smartphones are becoming increasingly popular especially with the young age cohort commonly referred to as Generation Y. This advancement of smartphones is attractive and compatible with Generation Y, as they are the only generation born in the world of advanced information technology. Generation Y is the cohort that is made up of the youth population in a given country. Accordingly, the Generation Y cohort is defined as individuals born between

1986 and 2005 (Market, 2004:21). As the title suggests, this study is focusing on Generation Y university students. The majority of these individuals are students enrolling for a tertiary qualification (Bevan-Dye, 2012). Correspondingly, the Generation Y cohort is the most educated generation of all other generations (Crampon & Hodge, 2009:3). Cabral (2011) highlighted that education influenced Generation Y individuals to be more technological literate and active in the usage of social media such as Facebook, Twitter and emails. Generation Y students have become an important consumer group when it comes to smartphones (Koutras, 2006). Studying their attitude and purchase intentions of smartphone brands is crucial marketing research imperative. This paper, therefore, aims to investigate factors that influence Generation Y students' attitudes and their purchasing intentions toward smartphone brands in selected South African higher education institutions.

Attitude refers to the degree to which an individual person has a favourable or unfavourable evaluation of the behaviour of interest (Ajzen & Fishbein, 1980). An attitude is a favourable or unfavourable expression toward something (Nekmahmud *et al.*, 2017:207; Harun *et al.*, 2015). This explanation may suggest that Generation Y consumers may have a favourable and unfavourable attitude towards smartphone brands. The positive attitude of smartphone users is very important to attract new users and retain existing consumers (Nekmahmud *et al.*, 2017). Smartphone brand manufacturers should therefore strive to be creative enough to build a positive attitude in order to attract new customers and retain existing ones. This could be done by featuring newly updated operating systems in their smartphone brands. For example, brands such as LG, Motorola and Samsung have operating systems such as Android (Van Camp, 2018). Clearly, such operating systems play a huge role among Generation Y students in influencing favourable attitudes and purchasing intentions. Literature suggests that consumer attitude is a predictor of purchasing intentions of consumers (Yang *et al.*, 2014).

Behavioural intention are motivational factors that influence an individual's behaviour (Ajzen, 1985). According to Zeithaml (1988), purchase intention refers to one's willingness to purchase a product and his/her assessment of alternative options based on preference, experience and external factors. Therefore, it can be described as the tendency of consumers to take actual purchase action (Zeithaml, 1988). It can also refer to consumers' willingness to buy certain types of products that depend on internal and external factors (Haba *et al.*, 2017). According to Younus *et al.* (2015), internal factors include previous experience related to advertising, while external factors include gathering information from the market or from peers. The concept of purchasing intention is also related to favourable and unfavourable intentions toward a brand among consumers. For example, when consumers praise the brand and express preference for one advertiser over the others (Bush *et al.*, 2004), while unfavourable intentions can lead to switching brands and spreading negative word-of-mouth.

Consumers conduct advanced searches allowing them to purchase the right product that meets their needs and wants (Rahim *et al.*, 2016). In today's market, consumers have many choices of smartphone brands that can satisfy their needs and wants (Rahim, 2016). If a consumer has a positive purchase intention towards a specific brand, then a positive brand engagement will promote a purchase of that specific brand (Martins *et al.*, 2019). In other words, the consumer will purchase a certain brand after evaluation (Younus, 2015). In the same way, Generation Y use all features attached to a smartphone brand during their evaluation process. Over the recent past, several studies (Xizi, 2014; Ling, 2014; Mohammed, 2018:3225; Ling, 2014) have found that factors such as functionality, applications, price, design and image influence the purchasing intentions of smartphone brands.

Literature, as will be expounded in the section that will follow, suggests that consumers' attitude towards and intention to repurchase smartphone brands are influenced by several factors such as applications, functionality, usability, product design, brand image, customer support and price.

## **2. LITERATURE REVIEW**

### **2.1 Applications**

An application is referred to what is featured within a smartphone brand. These applications require a type of operating system such as iPhone Operating System (Apple) IOS, Android and Windows installed on the smartphone (Rahim *et al.*, 2016). These features are commonly

known as 'apps'. Furthermore, these features of apps enable the smartphones to perform several activities compared to any other ordinary phone. For example, smartphone owners can download and install (Global Positioning System) GPS coordinates for directions. According to Chun and Maniatis (2009), smartphone brands such as Apple, Blackberry and Google Android are enjoying explosive adoption. Smartphone brand owners can be viewed as the early adopters of the next generation devices that enable advanced services (Verkasalo *et al.*, 2014). Generation Y are known as educated and interested in technology, meaning they move with times as early adopters. Smartphones of Generation Y are typically loaded with certain applications such as Facebook and Twitter that make them become more active in using their phones (Cabral, 2011:8). This suggests that applications play a vital role in influencing attitude and purchasing intentions among Generation Y towards smartphone brands. According to the study conducted by Ling (2014:66), application features do influence purchasing intentions among Generation Y female consumers. In line with this argument, this study postulates that application features of smartphones do influence attitude and purchasing intention among Generation Y university students toward smartphone brands.

## **2.2 Functionality**

The functionality of a smartphone can be described as the task performed by any smartphone brand. The functions of an ordinary phone were to make calls between two individuals. Due to advancement and technological innovations, smartphones have been introduced with additional functions such as displaying photos, playing videos, checking and sending e-mails, and surfing the web (Pandey & Nakra, 2014). These functionalities of smartphones relate closely to Generation Y as they are the only Generation who grew up in the world of advanced technology. Correspondingly, Generation Y are viewed as the most technological savvy as they communicate through emails, texting, rely heavily on social media and cannot imagine a world without the internet and cell phones (Kane, 2019). The functionality of a smartphone would be useless without accommodating and satisfying all the mentioned needs of Generation Y. The core functionality of smartphones is the installation of advanced applications. In support, the study of Xizi (2014) revealed that the functionality of the smartphone influences positive attitude and purchasing intentions among Generation Y. Similarly, this study is proposing that the functionality of a smartphone influences attitude and purchasing intention among Generation Y university students toward their smartphone.

## **2.3 Usability**

Functionality and applications attached to a smartphone brand play a vital role in influencing the usability of devices. Hongu *et al.* (2015:2080) simply define usability as an easy use of a smartphone brand. The majority of consumers using smartphone brands are the Generation Y segment. These consumers enjoy living in the world dominated by technology. They spend most of their time on different social media such as Twitter and Facebook, and utilise video calls as a source of communication (Jainarain, 2012; Cabral, 2011). Furthermore, Generation Y find it easier to read e-books compared to ordinary books (Tang & Chaw 2016). Clearly, Generation Y consumers find it easy to use their smartphones brands as it enables them to engage in different activities. Furthermore, Generation Y are well known as a technology savvy consumer segment that adopt newly released technological products. However, an empirical study conducted by Mohammed (2018) has found that usability does not have practical significance in influencing consumer attitudes and purchase intentions.

## **2.4 Product design**

Improvements in technology have made modern smartphones slimmer and smaller than previously developed devices. The design of smartphones is the differentiation of smartphone brands among other brands. The design of the smartphone is not the same as features; design refers to the physical attributes of the smartphone. Back in the days, phones were designed as flip phones (e.g. Motorola V3 "Razor" and push phone such as Samsung E250 in the market). In contrast, smartphones in modern days are designed without flipping and pushing. Nowadays, smartphones are designed with big screens and without buttons to press. For example, LG was the first manufacture of curved smartphone brands (The Time, 2019). Smartphone brands designed with larger screens could be more attractive to Generation Y students, as this generation is labelled as technology savvy reading e-books and watching

video online. Correspondingly, in a study by Tang and Chaw (2016:63), Generation Y prefer e-books, audio and video to physical books. Similarly, the study by Mohammed (2018) indicates that product design influences purchasing intention among consumers. Likewise, this study proposes that the design of smartphones does influence attitude and purchasing intentions among Generation Y university students with respect to smartphones.

## **2.5 Brand image**

Image is the reflection of a specific brand in the consumers' mind Calvo-Padal and Levy-Mangin (2015) explained corporate image as the reflection in consumers' minds towards the overall impression of the company. The corporate image of smartphone brands is defined as expressive love consumers hold towards a specific smartphone manufacturer. For example, consumers might prefer Samsung to Nokia. Clearly, corporate image influences brand preferences among generation Y consumers. It is argued that Generation Y are the most brand conscious group (Fernandez & Lean, 2009). Currently, the smartphone market is dominated by different smartphone brands and owned by the majority of Generation Y. The study of Ling (2014) confirmed that brand image has an influence on purchasing intentions among Generation Y consumers. Similarly, this study postulates that the image of a smartphone does influence attitude and purchasing intentions among Generation Y university students.

## **2.6 Customer support**

Customer support is described as a part of after-sales service, which is a response to customer questions and attending to customer requests quickly (Kim *et al.*, 2016). For example, smartphone manufacturers, such as LG, have a consumer support service where all consumer questions and requests are launched by means of emails, telephonically and online chats (LG electronics, 2019). Such manufacturers of smartphone brands need to prioritise requests from Generation Y consumers as they are known as the only generation cohort who understands and uses smartphones' brands more often and may therefore request customer support. Furthermore, this is important since Generation Y are recognised as a group of consumers who are always seeking a quicker response (Shabrin *et al.*, 2017). According to the study conducted by Kim *et al.* (2015), consumer support influences consumer attitude. As consumer support influences consumer attitudes, it may further influence purchasing intentions. Therefore, this study postulates that consumer support influences attitude and purchasing intentions among Generation Y students.

## **2.7 Price**

The amount of money paid for the exchange of a product is called price. Price can be defined as the amount of money charged to consumers for purchasing a product or service (Strydom, 2011). A smartphone is considered a product as per the definition given. These smartphones are manufactured by different brands that charge different prices. The brand name of a smartphone could influence the price of the smartphone. Brand names such as Samsung, BlackBerry, Apple HTC, Nokia and LG are smartphones mostly purchased by customers (Rahim *et al.*, 2016). Some of these smartphone brands are owned by Generation Y. Kim and Hahm (2012) highlight that Generation Y have more spending power, and are heavy users of smartphone brands, more so than any other generation. In addition, Generation Y are also brand conscious. Therefore, Generation Y are willing to spend more money in purchasing preferred smartphone brands. In the same way, the study of Ling (2014) revealed that price does influence purchasing intention among Generation Y female consumers. In keeping with this finding, the study postulates that the price of a smartphone does influence attitude and purchasing intentions of smartphones among Generation Y university students.

## **3. RESEARCH METHODOLOGY**

Descriptive research design and quantitative research method were employed in order to achieve research objective of this study.

### **3.1 Participants**

Generation Y university students were the target population of the study. This group of participants were students registered at two South African public higher education institutions;

one labelled a university of technology, and the other labelled a traditional university. Convenience sampling, an example of non-probability sampling was used during the data collection process.

Data were collected by means of a self-administered questionnaire. Data of this study were collected during May 2018 from the Free State (Mangaung region) and Gauteng (Sedibeng region) in South Africa. Questionnaires amounting to 275 were completed, and this sample is deemed sufficient for the type of analysis required in this study (Blanche *et al.*, 2006; Malhotra, 2010). Like any other South African study, the study had participants who belonged to four main ethnic groups (black, white, Indian and coloured). The study was dominated by female (61.6%) participants, whereas the male (38.4%) participants were in the minority population group.

### 3.2 Research instrument

The questionnaire used in this research comprised two sections (Section A and B). Section A comprised demographic information of the participants, while Section B included items in the form of questions to be rated using a Likert scale (1-7). Items used in the scale of the study in capturing the responses of Generation Y students were adapted from the previously validated scales. The items for the factors were adapted from Kim *et al.* (2016) while items for the attitudes and intentions constructs were adapted from Azjen and Fishbein (1980) and Azjen (1985). The instrument included applications (three items), functionality (three items), usability (three items), product design (three items), brand image (three items), customer support (three items) and price (three items). The attitudes construct comprised four items and the intention construct had three items.

### 3.3 Data analysis

The statistical analysis utilised in this study included three types of analyses, namely descriptive statistics, correlation analysis and multivariate regression analysis. The statistical program IBM SPSS version 25 for Microsoft Windows was employed to analyse the collected data.

## 4. RESULTS AND DISCUSSION

### 4.1 Reliability and validity of results

Table 1 reports Cronbach's alpha and correlation coefficients. The Cronbach's alpha was computed for all the antecedents/constructs to determine the internal-consistency reliability of the scales used. As demonstrated, the Cronbach alpha coefficients ( $\alpha$ ) for all of the constructs were above the threshold of 0.70 (Hair *et al.*, 2010), which concludes good internal-consistency reliability of the scales used.

**Table 1: Cronbach's alpha and correlation coefficients**

Variables	( $\alpha$ )	1	2	3	4	5	6	7	8
Functionality (F1)	0.867								
Usability (F2)	0.737	.474**							
Product design (F3)	0.876	.548**	.336**						
Applications (F4)	0.759	.492**	.420**	.603**					
Price (F5)	0.805	.264**	.335**	.244**	.326**				
Customer support (F6)	0.880	.377**	.234**	.325**	.404**	.391**			
Brand image (F7)	0.809	.462**	.313**	.494**	.522**	.306**	.658**		
Attitude (F8)	0.878	.355**	.313**	.258**	.395**	.366**	.276**	.384**	
Intentions (F9)	0.792	.107**	.237**	.040**	.328**	.324**	.148**	.208**	.501**

\*\* . Correlation is significant at the 0.01 level (2-tailed)

Furthermore, as can be seen from Table 1, there were statistically significant ( $p \leq 0.01$ ) positive relationships between each pair of the antecedents/constructs, suggesting a nomological validity of the measurement theory (Malhotra, 2010). Another important inference that can be made with respect to the correlation of the variables is the absence of multicollinearity issues.

As can be observed from Table 1, none of the correlation coefficients are 0.90 or higher, suggesting no obvious multicollinearity issues between the variables (Hair *et al.*, 2010).

Furthermore, collinearity statistics, namely tolerance statistics and a variance inflation factor (VIF), were computed to ascertain the absence of multicollinearity problems between the variables of this study. The tolerance statistics for all the variables were above the 0.10 threshold level, and the variance inflation factor (VIF) was below the cut-off of 10, providing further support for the absence of multicollinearity between each of the constructs (Pallant, 2013). Having ascertained the absence of multicollinearity issues, multivariate regression was conducted to determine the factors influencing Generation Y students' attitudes towards smartphones and their purchasing intentions.

## 4.2 REGRESSION ANALYSIS

### 4.2.1 Factors influencing Generation Y students' attitudes towards smartphones

Seven factors, namely functionality, usability, product design, applications, price, customer support and brand image, were entered as explanatory/independent variables, and consumer attitude was entered as a dependent variable. The proposed model, comprising seven antecedents, reported in Table 2, was significant, and explained approximately 24 percent (adjusted R square = 0.243) of the variance on consumer attitude suggesting that there could be other influencing factors that are not included in this model or study.

**Table 2: Estimates of beta coefficients of the model: Generation Y's attitudes towards smartphone**

Antecedents of attitudes	Unstandardised coefficients ( $\beta$ )	Coefficients standard error	Standardised coefficients ( $\beta$ )	T-values	P-values
Functionality	.119	.055	.151	2.173	.031
Usability	.073	.068	.067	1.070	.286
Design	.087	.058	-.107	-1.493	.137
Application	.190	.070	.197	2.726	.007
Price	.170	.044	.228	3.844	.000
Customer support	-.151	.047	-.079	-1.085	.279
Brand image	.177	.061	.226	2.911	.004

Among the seven factors, four were found to have a statistically significant influence on Generation Y students' attitudes towards smartphones brands at the  $p < 0.05$  level of significance (functionality: 0.031, application: 0.007, price: 0.000 and brand image: 0.004). The results reported in Table 2 indicate that functionality ( $\beta = 0.151$ ), brand image ( $\beta = 0.226$ ) and price ( $\beta = 0.228$ ) are the main factors influencing consumer attitude. The size of the beta coefficients suggests that price ( $\beta = 0.228$ ) has the strongest contribution to explaining consumer attitude levels among Generation Y students, followed by brand image ( $\beta = 0.226$ ), application ( $\beta = 0.197$ ) and functionality ( $\beta = 0.151$ ).

### 4.2.2 Factors influencing Generation Y's purchasing intentions towards smartphones

A multivariate regression analysis was conducted to determine the influence of the seven factors, namely functionality, usability, product design, applications, price, consumer support and brand image on the purchasing intention of smartphones among Generation Y students. An adjusted R square of 0.164 was obtained, indicating approximately 16 percent of the variance on purchasing intentions of Generation Y students can be explained by the model containing these seven variables. This suggests that factors not included in this model could influence Generation Y consumers' intentions to purchase smartphones, which, in turn, suggests an area for further investigation. In contrast, only two of the factors were found to have a statistically significant influence at the  $p < 0.05$  level (application: 0.000 and price 0.000). The sizes of the beta coefficients indicate that application ( $\beta = 0.312$ ) has the highest contributing factor in explaining the purchasing intentions of Generation Y students towards smartphones, followed by brand price ( $\beta = 0.249$ ) and brand image ( $\beta = 0.223$ ).



**Table 3: Estimates of beta coefficients of the model: Gen Y purchasing intentions**

Generation purchasing intentions	Y	Unstandardised coefficients ( $\beta$ )	Coefficients standardised error	Standardised coefficients ( $\beta$ ) Beta	T-values	P-values
Functionality		-.077	.052	-.108	-1.482	.139
Usability		.102	.065	.103	1.558	.121
Design		-.091	.056	-.124	-1.637	.103
Application		.273	.067	.312	4.093	.000
Price		.168	.042	.249	3.981	.000
Customer support		.052	.045	-.088	-1.150	.251
Brand image		.075	.058	.223	2.910	.004

#### 4.2.3 The influence of consumer attitude on purchasing intentions

As a last step in determining the purchasing intentions of Generation Y students towards smartphones, a simple regression analysis was performed to determine the influence of purchasing intentions on attitude. An adjusted R square of 0.248 was obtained, inferring that consumer attitude levels with respect to smartphones can approximately explain 25 percent of the variance in attitude of Generation Y students. A beta coefficient ( $\beta = 0.501$ ) at the  $p < 0.05$  level of significance was also calculated (0.000), highlighting the significance of consumer attitude on purchasing intentions. This is quite significant and cements the theory that suggests that consumer attitudes are a prerequisite to purchasing intentions among Generation Y students in respect of smartphone brands.

#### 4. CONCLUSION AND RECOMMENDATIONS

From the findings of the study, it can be concluded that price, brand image, application and functionality of smartphones are the main factors that influence consumer attitude. Furthermore, the study has found that application, price and brand image are the drivers of Generation Y's purchasing intentions towards smartphones. Three factors, namely price, brand image and application are found to concurrently influence both the attitudes and intentions of Generation Y consumers in the purchasing decisions of smartphones.

In addition, consumer attitude is found to be a predictor of consumer intentions in respect of smartphones. In a nutshell, the study has determined product features and corporate factors, namely price, brand image, application and functionality of the smartphones are important factors that can influence the success of marketing activities directed to Generation Y students.

This study discovered that Generation Y students are up to date and fully informed about smartphone brands. Manufactures of smartphone brands and marketers, especially those who were not identified in the study, are advised to produce higher quality devices, as Generation Y are technologically savvy and smart. Manufactures of smartphone brands, especially those not popular in the market, are advised to strive for a positive corporate image in order to attract more consumers, specifically Generation Y. Furthermore, marketers should emphasise the product innovations of their smartphone brands during their marketing efforts in order to attract and keep Generation Y consumers as the most profitable segment.

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**THE ROLE OF COMMUNITY POLICING FORUM IN PREVENTING XENOPHOBIC VIOLENCE: A CASE OF UMLAZI TOWNSHIP IN DURBAN, SOUTH AFRICA**

**Mdlungu, Tandiwe**

University of Fort Hare

Email: [tmdlungu@ufh.ac.za](mailto:tmdlungu@ufh.ac.za)

Orcid ID: <http://orcid.org/0000-0001-7751-3873>

**Tshivhase, Thompho**

University of Fort Hare

Email: [ttshivhase@ufh.ac.za](mailto:ttshivhase@ufh.ac.za)

Orcid ID: <https://orcid.org/0000-0001-9673-8525>

**~Abstract~**

*South Africa has been plagued by a spike in xenophobic violence particularly targeted at foreign informal business owners. This paper explored the pivotal role played by the Community Policing Forums CPF in preventing xenophobic attacks against foreign nationals. The aim of the study was to explore the role of the CPF in the prevention of xenophobic violence against foreign shop owners and street vendors in Umlazi, one of the largest townships in Durban. A qualitative approach was used in this study and explorative research design was applied. The findings of the study reveal that, there is a poor working relationship between the CPF, local community leaders and foreign business owners in townships. Foreign shop owners feel isolated and neglected by the CPF because they are not South Africans. CPF members admit that they do not focus the protection of foreign national shop owners. All the respondents revealed that there is a great deal of mistrust, fear and alienation between CPF, community members and foreign national shop owners. Based on research findings, the research recommended that the local community members and foreign nationals should all form part of the policing bodies of their respective communities to fight victimization aimed at foreign shop owners.*

**Keywords:** CPF; Xenophobia; Violence; Foreign shop owners; Alienation.

**JEL Classification:** K42

**1. Introduction**

International migrants are lauded for their enterprise, hard work and business acumen in successfully establishing and growing small enterprises in countries of settlement. Although these unsung heroes face considerable economic and social challenges, they make a vital contribution to economic growth, job creation, and social cohesion. However, in South Africa, foreign entrepreneurs are more often victimised (Crush & Chikanda, 2015). South Africa has 2.2 million legal immigrants and closes to one million undocumented foreign nationals. Gauteng has the highest proportion of foreign-born workers, numbering about 8% of the working population, followed by Limpopo and Mpumalanga at 4%, while in the North West and in Western Cape the figure stands at 3% (Statistics South Africa, 2018). Adding to the socio-economic frustrations of South Africa are soaring crime rates and unemployment rates. According to Statistics South Africa (2019), South Africa's unemployment rate is one of the highest in the world increasing up to a record 28% in the current year. Since the advent of democracy in 1994, foreign entrepreneurs have been consistently portrayed by the government and the media as unwanted parasites, as driving South African small business to the wall, as taking jobs from citizens and as engaged in disreputable business practices (Crush & Chikanda, 2015). Consequently, xenophobic violence increased.

Violence against foreign nationals and internal migrants has been an on-going feature of post-Apartheid South Africa. While the most intense period of attacks took place in May 2008, similar Patterns of violence began long before and have yet to stop (Polzer, 2010). Since 1994, tens of thousands of people have been harassed, attacked, or killed because of their status as outsiders or foreign nationals. During this period, what might be termed xenophobic violence has increased across townships and informal settlements (Landau, 2011). According to United Nations High Commissioner for Refugees Regional Office for Southern Africa

(UNHCR ROSA) (2014) in 2011, at least 120 foreign nationals were killed, five of them burnt alive, 100 were seriously injured, at least 1,000 displaced, and 120 shops and businesses permanently or temporarily closed through violence or selective enforcement of bylaws. In 2012, the number of violent incidents increased, at least 250 incidents were recorded resulting in 140 deaths and 250 serious injuries. In 2013, an average of three major violence incidents was recorded per week<sup>12</sup> with attacks regularly reported in many areas across the country during 2014.

Furthermore, from March 2014, an estimated 300 incidents of violence against asylum seekers and refugees had been reported, an estimated 200 shops had been looted and 900 persons had been displaced. The South African Police Services (SAPS) were overwhelmed by the increase in violence against foreigners and required support and assistance from all relevant government departments.

The curbing and combatting of xenophobic violence against foreign shop owners have been a daunting task. Goldsmith and Lewis (2000) argue that the victory in battling xenophobic violence can only be achieved when there is a collaboration between the criminal justice authorities, communities and other important role players such as Community Policing Forums (CPF). According to the Department of Safety and Security (2000), Crime prevention has been a priority for Government since 1996 when the National Crime Prevention Strategy (NCPS) was launched. The National Crime Prevention Strategy displays that averting crime instead of relying on judicial practice to capture and sentence offenders is key to making public spaces safer.

The NCPS policy is centered on the knowledge that the SAPS on its own cannot reduce crime. Thus, the SAPS Act (68 of 1995) legislated Community Police Forums (CPF) as the only recognised consultative forum designed to permit communities to make their policing concerns known to the police. Community Policing Forum is a platform where community members, organizations (Non-Government Organizations, Business, youth organizations, women organizations, School Governing Bodies), other relevant stakeholders (provincial government, local government, and traditional authority) and the police meet to discuss local crime prevention initiatives (Nkwenyane, 2011). The main aim of CPFs is crime prevention. Therefore, this paper explored the role of Community Policing Forums (CPF) in the prevention of xenophobic violence specifically against foreign shop owners.

## **2. Nature and extent of Xenophobic violence in South Africa**

Xenophobic violence has existed in our community for a long time. Xenophobia is regarded as attitudes, prejudices, and behavior that reject, exclude and often vilify persons based on the perception that they are outsiders or foreigners to the community, society or national identity (Crush & Chikanda, 2015). While xenophobic violence can be executed by either a large population or a fraction of people but with broad popular support or complicity.

Its manifestations include murder, assaults causing bodily harm, looting and vandalism, robbery, arson attacks, burning of property, immolation, displacement, intimidation and threats, eviction notices, etc. It must be understood that in some circumstances, intimidation and the threat of violence cause substantial socio-economic damage and are thus of the same order as overt physical attacks (Gerring, 2009). In South African xenophobia manifests in various forms, ranging from everyday street-level abuse to discrimination and harassment by government officials and recurring bouts of popular xenophobic violence in varying intensity and scale. This comes at the hands of citizens, government officials, the police, and private organisations contracted to manage and provide services, promote urban development and community safety (Misago, Freemanle & Landau, 2015).

Xenophobic violence was most intense and widely scrutinised in May 2008 when attacks across the country left at least 62 dead, 670 wounded, dozens raped, more than 100,000 displaced. Millions of Rands worth of property was also looted, destroyed or appropriated by local residents in just over two weeks (Crush, 2008). Although the country has not witnessed the violence of the intensity seen in May 2008, the incidence of violence has not decreased. Rather, there is a growing recognition, even among some government officials, that violent attacks on foreign nationals have taken on disturbing proportions. Since May 2008, attacks against foreigners, most notably foreign shop owners and workers have resulted in an ever-

growing number of murders and injuries at the hands of individuals and gangs (Misago, Freemanle & Landau, 2015).

The Xenophobic attacks target mainly Somali, Ethiopian, Bangladeshi and Pakistani nationals, operating small businesses in townships and informal settlements across the country. The attacks are often organised following or during 'service delivery' protests or when allegations surface that a foreigner has killed or wounded a local resident (Misago, et al, 2015). Furthermore, the key trigger of violence against foreign shop owners in specific locations is localised competition for political (formal and informal) and economic power. Leaders, and aspirant leaders, often mobilise residents to attack and evict foreign nationals as a means of strengthening their personal political or economic power within the local community. In many instances, violence has been organised by business owners' intent on eliminating competitors (Polzer, 2010).

### **3. Community Policing Forums**

Community Policing Forum (CPF) are essential elements of our communities, they refer to a forum established in terms of Section 19(1) of the South African Police Service Act (68 of 1995). CPFs are initiatives which establish communication and partnerships among businesses, residents, and organisations with the goals of preventing crime, fear of crime, and disorder (Cardarelli, McDevitt & Baum 1998). In addition, the SAPS Sector Policing (2013) outlines the role of CPFs and they include; to mobilise and organise the community to take action against local crime, to act as liaison between the community and police station, and to act as crime prevention officer (i.e. being responsible for all plans and projects to address crime in the community).

Likewise, the role of the community in CPF is to attend the community policing sub-forum meetings, discuss action plans with the sector commander; participate in neighbourhood initiatives and to take ownership of the community policing in the enforcement of the law (Malatji, 2016). Despite the formations of community policing forums, xenophobic violence against foreign shop owner is still prevalent in communities. These attacks continue to result in deaths, serious injuries, looting and burning down of foreign shop owners. Foreign business owners also continue to receive vicious threats and terrorising eviction notices from local community members (Misago, Freemanle & Landau, 2015).

### **4. Methodology**

The study adopted a qualitative approach. Qualitative research is an objective way to study the subjective human experience using a non-statistical method of analysis (Langford, 2001). In addition, Creswell and Clark (2017) define qualitative research as a means for exploring and understanding the meaning individuals or groups ascribe to a social or human problem. The study adopted a qualitative approach because the primary interest is in the participants' viewpoints and their multiple realities. The research design of the study was exploratory in nature.

Neuman (2007) states that explorative mode of inquiry is used to explore a new topic or learn more about issues which little are known. This design is used to begin the process of building knowledge about a problem and to investigate a phenomenon where little knowledge exists.

In the context of the paper, the exploratory research design was used to enquire more about the involvement of CPFs in combatting xenophobic violence against foreign shop owners.

#### **4.1. Study area**

This study was carried out in Umlazi section G. Umlazi is a township on the east coastline of KwaZulu-Natal in South Africa, positioned south-west of Durban. It is recognized as a black township that is about 8,500/km<sup>2</sup> (22,000/sq. mi). The general population of Umlazi is estimated to be around 600 000 people Umlazi is divided into sections using alphabets from A to Z with additions of AA, BB, and CC. About 30% of the houses are shacks but most have been taken down due to the construction of RDP houses (Bengu & Mthembu, 2014). There are two major tertiary education institutions namely, the Umlazi Coastal College and the Mangosuthu University of Technology. Mangosuthu highway is the most popular road in Umlazi, it has two shopping Centre recently built, the Philani Megamall and the Megacity mall,

which are at the entering point of Umlazi. The booming economy has also led to an increase of small business around the township and inviting a great number of foreign business owners and street vendors.

#### 4.2. Sample of the study

The sample of the study was drawn using the purposive and snowballing sampling technique. The researchers used their judgment and selected participants that were informed or information-rich on the phenomenon being investigated. However, where the relevant participants could not be identified, snowballing was used. The subject of foreign nationals shop owners as victims of crimes can be a sensitive issue and victims are often unknown. The researcher identified one participant that lead to the discovery of others. The sample consisted of 15 participants. This number was considered sufficient because the numbers reflected the range of participants that make up the population. This number of the sample was best fitting to avoid saturation of information. The participants were divided into three groups; (5) CPF representatives, (5) local community members of Umlazi and (5) foreign street vendors and shop owners. The sample size was based on the qualitative argument by Babbie (2010) stating that gathering information from fewer subjects in their natural settings or environment enables the researcher to gather more detailed information about the concept under investigation.

**Table 1: CPF Members Demographic Information**

Participants	Age	Sex	Marital status	CPF position
1	31	M	Married	Chairperson
2	40	F	Single	Treasurer
3	35	M	Single	Secretary
4	55	M	widow	Additional member
5	43	F	Married	Additional member

**Table 2: Foreign Shop Owners Demographic Information**

Participants	Age	Sex	Marital status	Years' operating business	Nationality
6	30	M	Married	3	Ethiopian
7	27	M	Single	5	Somali
8	33	M	Single	5	Pakistani
9	38	M	Married	7	Somali
10	29	F	Married	4	Pakistani

**Table 3: Local Community Member Demographic Information**

Participants	Age	Sex	Marital status
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1	50	M	Single
2	35	F	Married
3	39	F	Single
4	43	M	Married
5	27	F	widow

### **4.3. Data collection**

For the purpose of data collection, semi-structured interviews were utilised. The researcher conducted one-on-one interviews with the participants. This allowed the researcher to interact with the participants as well as note non-verbal cues throughout the interview process. The researchers opted for interviews because it would allow a deeper understanding of the CPF member, foreign shop owners and local community member's roles in preventing xenophobic violence. Data was collected in a manner that is nondiscriminatory and sensitive. The researcher adhered to all the ethical considerations needed in order to conduct such a study. The ethical considerations included; confidentiality, anonymity, voluntary participation, informed consent and avoidance of harm. Participants decided on the appropriate venue, interview date and times convenient for them. Opting to use English, participants answers were recorded with an audio recorder and later transcribed.

### **4.4. Data analysis**

Data were analysed using thematic analysis method. This method involved data-coding. The coding divided data into different parts by using a classification system. Materials belonging to one category were assembled and primary analysis was performed. Thereafter major themes on the topic being investigated emerged.

## **5. Major findings and discussions of the study**

The CPF is a policy and strategy aimed at achieving more effective control over crime, reducing the fear of crime, improving police services and police legitimacy through a proactive reliance on community resources which seek to change crime-causing conditions (Malitji, 2016). The National Crime Prevention Strategy (NCPS) indicates that in order to fight crime effectively, local communities, CPFs and SAPS should work in partnership. With the spike in xenophobic violence targeted at foreign shop owners, participants were questioned about the role of CPF in fighting these incidents the following major themes emerged.

### **5.1. Lack of safety and security**

Part of CPF crime prevention responsibility includes attacking the conditions that contribute to, or result in crime (Pillay, 1998). Community policing dictates that the community must become involved in protecting itself. People can become involved in a variety of ways. They can form neighbourhood watches or patrols, report criminal or suspicious activities, become involved in sports or educational activities for disadvantaged youth, assist nongovernmental agencies in providing social services to the disadvantaged, or volunteer services (Pillay, 1998).

The members of CPF were asked about their role helping prevent xenophobic violence targeted at foreign shop owners. Many of them revealed that they do not have control over crime let alone xenophobic violence against shop owners. They claimed that they do not have resources to curb the violence against foreign shop owners. With the high number of socio-economic issues plaguing the township CPF members are often ambushed by xenophobic attacks against foreign shop owners in the community. CPF members indicated that they are unable to control the rage and looting done by the community members towards foreign shop owners. Here are some of the responses;



*“Here in section G, I cannot even warn the shop owners when the community is going to attack or loot because members of the community do not plan it. They will be protesting for service delivery and then somehow they end up stealing and attacking the foreign shop owners”p2*

*“When community members are beating and stealing from the foreign shops, I call the police, but they take very long to come and the mob of community members overpower me, I do not have resources to restrain or stop the mob besides informing the local police to come”p4*

*“there is no clear role played by the CPF or the local police in making sure we do not become victims of the violent attacks against us and our shops, they do not assist us. When we report the cases, the criminals are not arrested and they again come to victimize us. We lose our lives or our stock and we sometimes have to relocate and that is expensive”p7*

From the findings, it is evident that there is no functional role played by the CPFs in preventing xenophobic violence against foreign shop owners. CPF reveal that they are powerless when it comes to making sure they protect foreign shop owners from xenophobic violence target at them. Contrary to these findings, in her study, Polzer (2010) indicates that in many areas where xenophobic violence occurred CPF member in the area refused to let the violence spread. They either protected foreign residences or assisted them to evacuate the area temporarily while protecting their belongings. In relation to lack of resource cited by the CPF members, Kempen (2015) asserts that CPF members must, after meeting with the local station commissioner, formulate a community safety plan prior the end of each financial year for that station area. A community safety plan must set out; the action steps, programs or projects which the CPF plans for the next financial year in order to promote the achievement of the programs or projects to be funded; and how such action steps, programs or projects will promote the achievement of the objectives. The program aimed at the prevention of xenophobic violence against foreign shop owners should form part of the safety plans.

## **5.2. Lack of a working partnership**

When asked what kind of partnership does CPF, community members and foreign nations have the majority of the respondents pointed out that there was no partnership between the three role players. Most of CPF members blame the foreign shop owners for their lack of involvement in the community dealings. Although they face the same problems faced by the majority of community members, they do not assist in coming up with remedies to the violence present in communities. Participants had this to say

*“We do not have any foreign national in our local community policing committee because only South Africans attend elective meetings. The foreign national isolate themselves and say it is our government that is failing everyone.”p13*

*“We are not part of the CPF; they do not consider us as community members like them when it comes to social welfare such as safety, protection and sometimes health.”p6*

Contrary to other foreign shop owners, some foreign shop owners praised the partnership with CPF. These shop owners revealed that some of the CPF members in his area even by from his shop, when the is going to be a strike or protest in the area, shop owners get warned beforehand.

*“One of the CPF members stays close to my shop; she buys from me almost every day. So I tell her when something is not right. She will come and tell me if the community members will embark on a strike so that I will not open or runaway.”p10*

The above findings show that there is alienation between local community members, CPFs and foreign shop owners. Shop owners are often viewed as outsider and not part of the local community members. Also, foreign shop owners alienate themselves by not being more involves and actively part taking in community activities. To confirm these findings, Harris (2002) posits that South African hostility encourages foreigners to leave South Africa, and to feel impermanent while living in the country. Consequently, non-South African communities have been established largely along national lines, and do not span nationality divisions.

Rather, they exist as discrete networks, representing particular nationalities. These local communities have developed as safe havens and comfort zones for migrants. The CPF has a broader function that incorporates fear reduction, order maintenance, and community health. Policing derives its role and agenda from the community rather than dictating to the community. Community policing rests on the belief that only by working together with people will the police be able to improve quality of life. Moreover, Community engagement is often best accomplished through the establishment of partnerships (Larsson, 2010). Xenophobic violence being no different can also be combatted through a working partnership between foreign business owners and CPF representatives in the local communities.

### **5.3. Absent relationship**

According to Palmiotto (2011) relations are an important focus of policing today, especially under the community-policing model. Oliver (2004) adds that it is very important for police and other public agencies and individuals in the community to have an opportunity to identify problems and find solutions together, but with the poor relationship between the two role players, it is therefore highly impossible.

When asked about the nature of the relationship between CPF and foreign shop owners, the majority of the foreign shop owners were not aware of CPF members or their function in society. In addition, they revealed that they do not have any working relationship CPF members. A participant stated;

*"I do not know any CPF member in Umlazi section G, even when I get robbed by the thugs they do not come to help us in the store. The only people I see is the police van now and then, this is what reduces chances of me getting robbed sometimes."*p7

CPF members, on the other hand, maintain that foreign shop owners isolate themselves and are reluctant to officially report criminal incidents that happen to their shops. Community members added that it is only during the protest, when loot occurs that they decide to report the crime.

*"We do not have a relationship with them because they do not want to officially report the criminal cases to the police for reasons known to them. We will only hear around the community that they were robbed."*p5

The finding of the study exposes that the relationship between CPF, local community member and foreign shop owners is dysfunction or none existent. Successful community policing requires collaboration between the police and other role players. In agreement to this view Carter and Redelet (2002) state that for a decent relation or connection, the CPF and community members are required to demonstrate an eagerness to and passion for working together.

## **6. Conclusions**

The CPF is seen as essential in reducing and preventing crime in South African communities for all that live in them. However, foreign shop owners continue to experience a hike in xenophobic violence aimed at them and the role of CPF is unclear. There is a lack of functional partnership or working relationship between local community members, CPF members, and foreign shop owners. It seems none of the parties are fully aware of each other or what each other's role is in curbing the prevalences of xenophobic violence. While foreign shop owners operate in isolation, local community members blame them for the existing alienation. Local community members indicate that foreign shop owners show a lack of interest and involvement in the local community issues resulting in feelings mistrust and fear between local community members and foreign shop owners.

## **7. Recommendations**

The study recommends protection campaigns in order to understand and address xenophobic violence within local communities. Foreign shop owners should form part of the local policing structure so they can be represented. To achieve this, there should be a relationship between CPF member, local community members, and foreign shop owners. More community engagement and active involvement in preventing crime should be a priority for all that live in a local community.

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## ETHICS AND INTERGRITY: CAN THEY IMPROVE CONSTRUCTION PRODUCTIVITY IN SOUTH AFRICA?

**Dr. Marcellus Orando**

Department of Civil Engineering  
Vaal University of Technology  
Email: mercelluso@vut.ac.za  
Orcid ID: <https://orcid.org/0000-0001-9892-2828>

**Dr Anthony Kiryagana Isabirye**

Department of Human Resource Management  
Vaal University of Technology  
Email: anthonyi@vut.ac.za  
Orcid ID: <https://orcid.org/0000-0003-3601-2241>

### ~Abstract~

*Ethics and integrity in managers and employees are seen as vital with regard to improving productivity. The objectives of the study were to investigate and identify ethical, integrity and unethical behaviours and to determine whether these behaviours positively influence construction productivity in South Africa. A quantitative descriptive research methodology was used. Data were collected through emailed questionnaires to 100 different construction operatives; who included professional engineers, architects, surveyors, contractors and academics in the built environment. Collected data were analysed using two statistical scales. The normative scale identified whether ethics and integrity influenced productivity and ratio scale determined the extent to which the two behaviour groups influenced productivity. Twenty-two ethics and integrity behaviours were identified in the literature. Out of the 22, it was established that 11 of them discouraged project productivity. Such behaviours were then described as unethical and lacking in integrity. They entailed among others greed and lack of transparency. The other 11 improved, described as ethical, improved construction productivity. Such behaviours were characterised among several others by willingness to accept responsibility and accountability. The study concludes that whilst ethical behaviour enhanced productivity, unethical ones impeded it; and that effective communication is the most significant behaviour while fair reward is the least significant with regard to influencing construction productivity. The study recommends the undertaking of more research since there are other factors that affect construction productivity.*

**Keywords:** Construction professionals, Ethics and integrity, Empowerment, Construction productivity, Professionalism, South Africa

JEL Classification: M11, M53, L74 & 015

### 1. INTRODUCTION

Ethics and integrity have been areas of discussion among academics, although it appears there has been little consensus on what constitutes the two constructs. Whilst some scholars equate integrity with the demonstration high moral and ethical standards (Eisenbeiss, Van Knippenberg and Fahrbach, 2015), others (see Barnett & Vaicys, 2000) assert that these are ethically and morally neutral constructs. However, according to Mason (2009), ethics refer to the moral principles that guide individuals in their daily life or as they execute their duties. An ethical person with integrity is supposed to do the right thing as per the rules and regulations that govern society, a place of work or a profession. Mason (2009) notes that in the construction industry “ethical behaviour is measured by the degree of trustworthiness and integrity with which companies and individuals conduct business”. However, according to Transparency International (2005), the most fraudulent industry worldwide is the construction industry. Among several others, the construction industry is riddled with unethical issues related to unfair treatment of contractors, bid cutting, late and short payments, poor documentation, falsification of qualifications by competitors, subcontractors and lack of safety ethics. In South Africa, construction contracts are used to regulate the activities of parties like project engineers, contractors, subcontractors, suppliers and product manufacturers (Ren,

Anumba & Ugwu, 2001). This regulation has the potential to cause conflicts within the different parties, leading to unethical behaviour as each party tries to protect its interests. According to [Tsai & Huang \(2008\)](#), this is bound to affect productivity within the industry.

Against this backdrop, the objective of this paper is to examine the influence of ethics and integrity in empowering construction operatives to improve productivity. In the process, the paper will investigate and identify ethical and integrity behaviours and determine whether these behaviours positively influence construction productivity in South Africa.

## 2. LITERATURE REVIEW

### 2.1 Exploring the concept of ethics and ethical behaviour

Mason (2009) defined ethics as the moral principles by which a person is guided. Barnett and Vaicys (2000), Jin and Drozdenko (2010) conceptualise employees' ethics as their perceptions regarding the organisation's ethical practices. Indeed [Kish-Gephart, Harrison and Treviño \(2010\)](#) indicate that the way employees think about their organisation's ethics serves as their measure regarding the organisation's ethical standard; and this is bound to affect their performance and productivity. It is against this backdrop that [Tsai and Huang \(2008\)](#), [Cullen, Parboteeah and Victor \(2003\)](#); [Schwepker \(2001\)](#) maintain that workers' perception of their organisation's ethical standards can be used to predict work outcomes like employees' job satisfaction and organisational commitment; two major constructs that enhance performance and productivity ([Tsai & Huang, 2008](#)).

It is important to note that there are several dimensions or components of ethics. Whilst researchers agree that employee perceptions of corporate ethics is bound to influence their productivity ([Tsai & Huang, 2008](#); [Cullen, et al., 2003](#); [Schwepker, 2001](#)), there is disagreement regarding the dimensions. In this study, Mason's (2009) components of ethical behaviour are used to establish whether employee ethics lead to increased productivity in the construction sector. Mason (2009) identifies good ethical behaviours as being honest, being fair in all dealings, receiving only a fair reward, giving reliability for good work, having integrity, being objective and willing and able to accept responsibility. While ethical behaviour creates harmony, transparency in the workplace and helps enhance productivity, unethical behaviour results in conflicts and bad behaviour at work, leading to poor productivity. Vorster (1993) notes that in the construction industry, conflict is usually due to arguments relating to project operations, or opposite opinions among the parties who may be involved in executing a specific project. Such conflict is bound to occur when the behaviour of one person interferes or obstructs the actions of another. [Tsai and Huang \(2008\)](#); [Cullen, et al. \(2003\)](#) and [Schwepker \(2001\)](#) assert that such behaviour is unethical and characterised among things lack of trust and lack of commitment.

### 2.2 Integrity behaviours

According to Eisenbeiss, *et al.*, (2015) integrity refer to one's consistency of actions, values, methods, measures, principles, expectations and outcomes that denote one's commitment to execute what is right for the right reason, despite the circumstances. Integrity behaviours do not only reduce the need for external regulations (Harter, 2002; Schabracq, 2003) but also foster collaboration within stakeholders, enhancing confidence in an organisation (Den Hartog and De Hoog, 2009) and reducing conflicts (Eisenbeiss, et al., 2015). The net effect of all this is increased productivity. On the other hand, employees devoid of integrity are bound to engage in misconduct, fraud and corruption, leading to reputational damage and negatively impacting on productivity (Eisenbeiss, *et al.*, 2015).

Integrity has been found to be a central trait of effective leaders (Den Hartog and De Hoog, 2009), a principal determinant of trust in organisations (Becker, 1998), and a component of employee wellness (Harter, 2002; Schabracq, 2003). It is therefore an essential component of productive work and good relationships (Cameron, 2003). Integrity is all about honest, responsible and accountable behaviour, which promotes trustworthy relationships in a business environment. Integrity would be about leadership and motivational behaviours such as effective communication, fair treatment at work, good decision making, trustworthy relationships and cooperation. According to Den Hartog and De Hoog (2009) leadership and motivational behaviours such as effective communication, fair treatment at work, worker

participation in decisions, trustworthy relationships and cooperation improves construction productivity. According to the ethics and integrity principles, the above behaviours are all classified as good or moral behaviours collectively called ethics and integrity behaviours. They are characterised by being honest, being fair in all dealings, receiving only a fair reward, giving reliability for good work, having integrity, being objective and willing and able to accept responsibility (Mason, 2009). Indeed, Den Hartog and De Hoog (2009) observe that ethics and integrity are closely related to professionalism.

### 2.3 Professionalism

Professionalism has been described as the possession and autonomous control of a body of specialised knowledge, which when combined with honorific status, confers power upon its holders (Vee & Skitmore, 2003). This specialised knowledge attracts social responsibility. The professional construction operatives are guided by the principles of ethics and integrity that require any organisations doing business in which specialised knowledge and skill are applied, to owe that community a duty of care and a social responsibility. Because of this contractual relationship, the construction operative in return must reward the community with honesty, responsible and accountable behaviour. Responsibility and accountability of individuals could result in ethical behaviours (Vee & Skitmore, 2003).

## 3. METHODOLOGY

This study employed a quantitative research design of a descriptive survey technique genre to gather data from 100 construction industry operatives. According to Leedy and Ormrod (2010), descriptive studies involve the exploration of possible correlations among two or more phenomena. Such studies do not involve making changes of situations being studied and neither do they govern the cause and effect relationship. The data collected from the 100 operatives were assessed using a five-point Likert scale as developed by Kazaz, Manisali, & Ulubeyli, (2008), with one representing strongly disagree and five strongly agree. The scale enabled the researchers to establish the mode, the percentage value and the chi-square. Eleven unethical behaviours and six ethical behaviours, as identified in the literature and captured in the questionnaire, were assessed using two statistical methods. The first method was acquisition of percentage values by the frequencies of the answers received. This was followed by the calculation of the relative importance index (RII) of the behavioural factors. The researchers used the percentage frequencies of answers to rank the behaviour factors, where two or more factors had the same RII. To establish which ethic and integrity behaviours led to increased productivity, the Likert scale was used to eliminate those behaviours that measured less than 2.60 as indicated in Table 1. The correspondence frequencies and a chi-square test were then used to measure the factors and behaviours. A combination of this methodology, using the Statistical Package for the Social Sciences (SPSS) software, was applied in this research.

**Table 1** The evaluation scale for the data

Level of significance	Level of importance	Scale value
Not significant (NS)	Not important (NI)	$\geq 1.80$
Somewhat significant (SS)	Somewhat important (SI)	$1.80 \leq 2.60$
Significant (S)	Important (I)	$2.60 \leq 3.40$
Very significant (VS)	Very important (VI)	$3.40 \leq 4.20$
Extremely significant (ES)	Extremely important (EI)	$4.20 \leq 5.00$

Adapted from Kazaz *et al.* (2008)

### 3.1 Population and sample size

The research covered both private and public sector work, civil engineering and building projects in South Africa. The sample comprised of contractors, consulting professionals, academics, local government officials, government built-environment professionals and construction workers, totalling 100 in number.

### 3.2 Measuring instrument and data analysis

The researchers made use of a questioner. The questionnaire was circulated by email, preceded by a letter to the stakeholders explaining the objectives of the study. It had three sections related to the objectives of the study; namely:

- A Profile of the respondent;
- B Ethical, unethical and integrity human behaviours
- C General comments, if any, regarding the study.

The data collected from sections A to C were analysed using SPSS and the relative importance index (RII), in order to determine the ranking of the ethical, unethical and integrity behaviour factors identified in the study.

### 4. VALIDITY AND RELIABILITY

In order to establish the validity of the study, the chi square test was carried out. The test was found to be .05, indicating 95 percent confidence level in the results. All 11 behaviour factors identified in the two main categories of ethical and integrity behaviours were found to be very to extremely significant factors in influencing construction operatives improve productivity. The 11 behaviour factors identified in the one main category of unethical behaviours were found to be very to extremely significant factors in not influencing construction operatives improve productivity. With regard to the reliability, results from the collected and analysed primary data were tested against the secondary data. The latter supported the former. Furthermore, the study focused on the entire South African construction industry as well as the built environment; ensuring that the findings reflected the general trend across the country.

### 5. THE RESEARCH FINDINGS

The findings of the study are now presented in tables 2 and 3; and then discussed.

#### 5.1 Unethical and lack of integrity behaviour factors, which hurt productivity in South Africa

The result of the unethical and lack of integrity behaviour factors, which impacted negatively on construction productivity in South Africa, are presented in Table 2. Construction operatives' attitude factors were identified and evaluated as significant; only two of them were found to be extremely significant, while eight of them were found very significant in hurting productivity, implying that they are all important, as discussed below.

**Table 2 Unethical and the lack of integrity behaviours, which hurt productivity (N=11)**

Item: Unethical and lack of integrity behaviours	Rank in total	Effect level	Min	Max	Mean	SD
Human greed	1	ES	2	5	4.50	0.75
Lack of transparent work environment	2	ES	2	5	4.25	0.75
Lack of customer satisfaction	3	VS	2	5	4.18	0.94
Lack of co-operation	4	VS	2	5	4.00	0.88
Lack of skill	5	VS	2	5	4.00	0.94
Dishonesty	6	VS	1	5	4.00	1.05
Conflicting interests	7	VS	1	5	4.00	1.11



Item: Unethical and lack of integrity behaviours	Rank in total	Effect level	Min	Max	Mean	SD
Poor communication	8	VS	1	5	4.00	1.27
Lack of commitment	9	VS	1	5	3.71	1.12
Lack of trust	10	VS	1	5	3.57	1.23
Lack of respect	11	S	1	5	3.25	1.00
Average			1.45	5	3.95	

### 5.1.1 Human greed (ES – 4.50)

Human greed was found to be the most important behavioural factor. This is line with Mason (2009) observation. Mason (2009) revealed that greed impedes productivity in construction. It is no wonder therefore that in this study human greed registered a mean index of 4.50 (extremely significant) as seen in Table 2. Human greed indicates the highest levels of unethical behaviour. Human greed could include all sorts of selfishness, such as cheating and unfair demands from any business transaction, such as excessive profits. When a construction operative starts to become greedy, this behaviour may indicate that the operative is highly unethical and lacks integrity. Such greed may cause conflict and slow down productivity. Table 2 shows greed as the most important unethical behaviour; and the lack of integrity indicates behaviour as being morally wrong (Jin & Drozdenko, 2010).

### 5.1.2 Lack of transparency in the work environment (ES – 4.25)

With a mean index of 4.25, lack of transparency is evaluated as extremely significant and ranked as the second most important unethical behaviour (see Table 2). This finding is supported by the works of [Kish-Gephart, et al. \(2010\)](#). The authors indicate that a lack of transparency in the working environment may mean that there is no open communication and this situation could cause friction and misinformation among the construction operatives, impeding information sharing regarding performance improvement; consequently, negatively impacting productivity.

### 5.1.3 Lack of customer satisfaction (VS – 4.18)

Vorster (1993) notes that arguments are a source of conflicts, leading to lack of customer satisfaction. Indeed, in this study lack of customer satisfaction with a mean index of 4.18 was ranked third most important bad behaviour as unethical. In any business, customers will always be concerned with the value they receive in comparison with prices they are charged for services. High prices for poor quality work could lead to customer dissatisfaction, causing construction disputes and work disruptions. This impedes production.

### 5.1.4 Lack of co-operation (VS – 4.00)

[Tsai and Huang \(2008\)](#); [Cullen, et al: \(2003\)](#) and [Schwepker \(2001\)](#) assert that cooperation among stake holders is vital to avert conflicts and promote productivity. Indeed, with a mean index of 4.00, this behaviour is ranked fourth most important behaviour for causing construction conflicts and hurting productivity. Co-operation and collaboration seem to be associated with good co-worker relationships. If construction operatives work as a team, they should be able to freely share information and learning, accept changes and challenges, agree to alternative solutions and trade-offs, take decisions and participate in discussions together. When co-operation is lacking, work relationships suffer; negatively affecting productivity (Harter, 2002; Schabracq, 2003).

### 5.1.5 Lack of skill (VS – 4.00), Dishonesty (VS – 4.00), Conflicting interests (VS – 4.00) and Poor communication (VS – 4.00)

All the above behaviours had the same mean index of 4.1, indicating that they equally impacted on productivity. With regards to lack of skills the finding is supported by the research

done by Vee and Skitmore (2003). In their research the authors concluded that skilled workers are satisfied and productive. On the other hand, dishonesty was found to cause construction disputes, which resulted in work disruptions. As noted by Harter (2002) and Schabracq (2003) dishonesty has to do with lying and cheating. What this implies is that dishonest workers negatively impact on productivity. The finding regarding conflicting interest as an impediment to productivity is consistent with Harter's (2002) and Schabracq's (2003) observations. The authors argue that lack of cooperation leads to conflicts which eventually negatively affect productivity. This, coupled with poor communication to poor quality of construction work, leading to customer dissatisfaction, disputes, poor performance and low productivity.

#### **5.1.6 Lack of commitment (VS – 3.71)**

Employees' commitment in construction is vital for productivity (Mason, 2009). Indeed, the finds in this study confirmed that lack of commitment, with a mean index of 3.71, ranked ninth most important unethical behaviour. It did not only negatively influence construction relations but also productivity. When one is said to have commitment, it means that person will always keep his promise, no matter what. To have no commitment may mean that one is unreliable and cannot be depended on.

#### **5.1.7 Lack of trust (VS – 3.57)**

With a mean index of 3.57, lack of trust was ranked the tenth most important unethical behaviour negatively influencing construction productivity. Barnett and Vaicys (2000); Jin and Drozdenko (2010) indicate that trust relies on the beliefs in each other's ability, keeping promises, having faith, recognising others, sharing information and knowledge, giving authority to others, willingness to forgive others, seeking solutions and standing by the decisions and actions of others. When there is a lack of trust, then all of the above will be lacking. Indeed, this finding confirms Vaicys' (2000), Jin and Drozdenko's (2010) assertion that absence of trust leads to low productivity.

#### **5.1.8 Lack of respect (S – 3.25)**

Lack of respect has a mean index of 3.25 and it is thus significant (S) and was ranked eleventh. According to Jin and Drozdenko (2010) respect is an important behaviour which is required to enhance productivity. It is not surprising therefore that findings in this study revealed people value and need to be respected at work, especially for their contribution to the success of the business. When respect is lacking, it hurts and demotivates employees. Construction productivity can be frustrated by this behaviour.

### **5.2 Ethical and integrity behaviours for improved construction productivity**

The results of ethical behaviour with integrity for improving construction productivity are presented in Table 3. Three of the behaviours were found to be extremely significant, while eight were found to be very significant.

**Table 3: Ethical and behaviour with integrity, for improved construction productivity (N=11)**

<b>Item: Ethical and integrity behaviours</b>	<b>Rank in total</b>	<b>Effect level</b>	<b>Min</b>	<b>Max</b>	<b>Mean</b>	<b>SD</b>
Communicating effectively	1	ES	1	5	4.52	0.98
Being honest	2	ES	1	5	4.41	0.89
Able and willing to accept responsibility and accountability	3	ES	1	5	4.22	1.01
Working reliably, according to the best practices	4	VS	1	5	4.19	1.08

Item: Ethical and integrity behaviours	Rank in total	Effect level	Min	Max	Mean	SD
Being objective and avoiding conflicts of interest	5	VS	2	5	4.15	0.86
Being transparent at work	6	VS	1	5	4.15	1.03
Being fair in all dealings	7	VS	2	5	4.11	0.97
Having integrity and creating trust	8	VS	2	5	4.07	0.92
Continuously training to improve skill	9	VS	1	5	4.07	1.07
Being equitable in all dealings	10	VS	2	5	3.85	1.10
Receiving only a fair reward	11	VS	1	5	3.67	1.04
<b>Average</b>			<b>1.36</b>	<b>5.0</b>	<b>4.13</b>	<b>0.99</b>

### 5.2.1 Effective communication (ES – 4.52) and Honesty (ES – 4.41)

Communicating effectively was found to be the most important ethical behavioural factor, with a mean index of 4.52 (extremely significant). This result is in line with [Kish-Gephart et al's ; \(2010\)](#) observation. The authors argue that communication does not only enhance good work relations but also solves many work-related problems; consequently, improving productivity. With regard to honesty as a behavioural factor, a mean index of 4.41 was recorded indicating that it was extremely significant too. According to Eisenbeiss *et al.*, (2015), honesty is about truthfulness. An honest person will always tell the truth, will not cheat, falsify documents, or steal. In this way, cooperation is encouraged and productivity improves. Indeed, Table 3 shows honesty as the second most important behaviour for improving productivity.

### 5.2.2 Responsibility, accountability (VS – 4.22) and Reliability (VS-4.19)

Responsibility and accountability are about willingness to account for one's actions. The two behaviours had a mean index of 4.22; ranking the most important ethical behaviour for improving productivity. With regard working reliably in line with best practices, a mean index of 4.19 was recorded. This ranked this behaviour as the fourth most important ethical behaviour for improving construction productivity. Barnett and Vaicys (2000) note that working reliably, means benchmarking one's work standards against the best in the world.

### 5.2.3 Objectivity and (VS – 4.15) and Transparency at work (VS – 4.15)

Objectivity and transparency with a mean index of 4.15 were viewed as very significant. This implies that both behaviours are equally vital with regard to productivity enhancement in the construction industry. According Ren *et al*; (2001) objectivity and transparency at work eliminates conflicts. This result therefore confirms that individuals' conflicting interests lead to making unethical decisions and judgements. For example, an interest in the immediate gains may be preferable to the interest of ensuring that the work is professionally done.

### 5.2.4 Fairness in all dealings (VS – 4.11), Integrity and trust (VS – 4.07)

Fairness means being selfless and caring for others' interests. Being fair in all dealings had a mean index of 4.11. It is evaluated as being very significant (VS) and ranked seventh most important ethical behaviour for improved productivity. Fairness means ensuring a win-win scenario in most business relationships; and if encouraged, could improve performance at work. On the other hand, having the integrity to create trust had a mean index of 4.07; and was evaluated as very significant ranking the eighth most important ethical behaviour for improved productivity. These results reflect Mason's (2009) views. According to Mason (2009)

trust is believing in each other's ability, keeping promises, having faith in others, acknowledging others, sharing information and knowledge, giving authority to others, being willing to forgive others, seeking solutions with others and standing by the decisions and actions of others. It is maintained that fairness and trust enhances construction productivity.

### **5.2.5 Continuous training (VS – 4.07), Equitable sharing (VS – 3.85) and Fair reward (VS – 3.67)**

Continuous improvement of one's skills had a mean index of 4.07 and it is evaluated as being very significant (VS). The finding confirms that knowledge and skills in any industry should be continuously growing and in order to remain relevant by adding value to customers' satisfaction, one has to train continuously, in order to improve one's skills. Secondly being equitable in all dealings (VS – 3.85) recorded a mean index of 3.85 (very significant/VS) and ranked tenth among the most important ethical behaviours for improving work relations and productivity, equity is about treating everyone equally, and giving everyone equal opportunity and chance to compete and share in a business market. As far as fair reward was concerned a mean index of 3.67 was recorded. Indeed, this behaviour ranked eleventh most important ethical behavioural trait for improving working relations and productivity. According to the respondents, all the above ethical behaviours should significantly improve construction productivity and work relations in South Africa. If construction project organisations are encouraged to incorporate ethical workplace values, construction productivity would improve.

## **6. CONTRIBUTION TO KNOWLEDGE**

The study builds on the existing knowledge on the principles of ethics and integrity as a moral behaviour necessary in a fair business society. The research has shown the unethical behaviour factors that should be avoided in the construction industry and the ethical behaviours that should be encouraged. The nature and ranking of the ethical behaviour factors have been revealed. This could enable the industry develop a strategy to incorporate them in the workplace.

## **7. LIMITATIONS AND RECOMMENDATIONS**

The research was limited to human work ethics and integrity principles in the construction industry. There are other factors, which influence construction worker productivity. Further research is required to examine these other factors.

## **8. PRACTICAL APPLICATIONS**

Construction project organisations may incorporate the identified ethical behaviour work factors in their organisations in order to build their work ethics strategy capacity to improve construction productivity. At inter-governmental levels, governments may use the factors identified in the study for their national work ethics and integrity strategies and policies for citizen's work and economic empowerment for productivity improvement. Such important national work ethics and integrity could promote more transparency, minimise business risks, reduce business fraud and encourage best governance practices in ways that would promote the rapid development of any society.

## **9. CONCLUSION**

This study explored the influence of ethics and integrity in enhancing construction workers' productivity. In the process ethical and unethical behaviours were identified. It was noted that while ethical behaviours enhanced productivity, unethical ones impeded it.

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**SOCIOECONOMIC VARIABLES AND LIFE EXPECTANCY IN SOUTH AFRICA: AN ECONOMETRIC ANALYSIS**

**Ogujiuba Kanayo**

University of Mpumalanga

Email: Kanayo.Ogujiuba@ump.ac.za

Orcid ID: 0000-0001-9155-7039

**Uviwe Binase**

University of the Western Cape

Email: 3358089@myuwc.ac.za

Orcid ID: 0000-0003-4100-0317

**Nancy Stiegler**

University of the Western Cape

Email: nstiegler@uwc.ac.za

Orcid ID: 0000-0003-1107-5166

**~Abstract~**

*Expanding the expectancy of life expectancy (LE) is a primary concern of health and socio-economic inquiry. Across the globe, excluding Africa, LE has been expanding progressively over the last 25 years, due to modern technology and medicine. LE expansion in South African to at least 80 years by 2030 has become a major health policy target. Nonetheless, recent fluctuations in the indicator have become a source of concern, which raises pertinent questions. To what extent is LE in South Africa influenced by health policy framework and socioeconomic dynamics is unknown; as well as the exact magnitude of its impact on LE. These issues are still a source of debate, and a resolution amongst stakeholders is far from being concluded. This paper analysed the effect of socioeconomic variables on LE in South Africa between 1990 and 2017. In anticipation of the endogeneity plausibility of the selected variables, we used the VAR and VECM frameworks. The VECM was used because of the Cointegration between the variables. Our findings suggest that life expectancy outcome in South Africa may well be a lot better if policies are targeted to health indicators and correlates. Consequently, this will encompass expenditure per capita on health-improving food supply chains, thereby curbing undernourishment and opening of public spaces due to rapid urbanization. In addition, using the dynamics of LE for policy planning would be significantly useful to meet the 2030 target.*

**JEL Classification: A14, B23, C01**

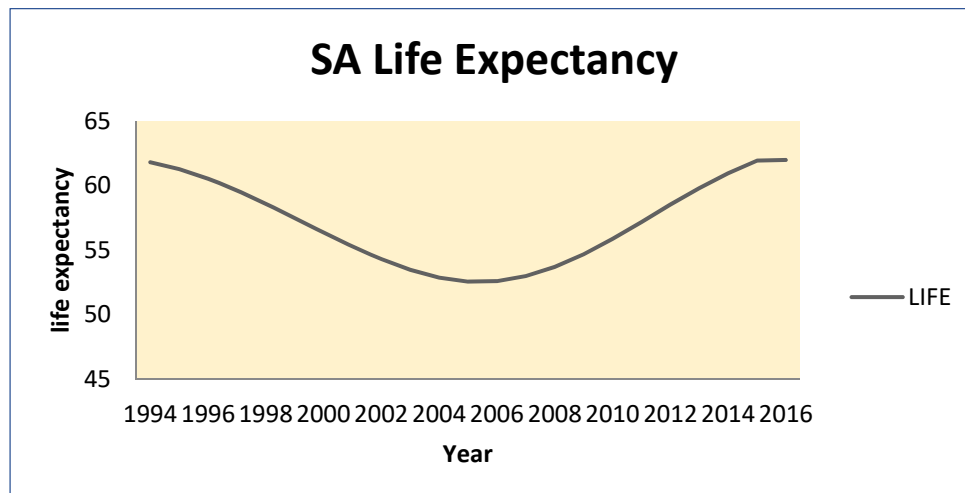
**Keywords:** VECM, socioeconomic variables, life expectancy

**1. INTRODUCTION**

The increase in life expectancy (LE) is a prime concern of health and socio-economic research. Across the globe, LE has been growing increasingly over the last 25 years, owing to new developments in science and medication. According to WHO (2008), people nowadays are healthier, more prosperous, and living substantially longer than three decades ago. The typical global LE at birth is projected to increase by over 7 years between 2000 to 2025, with more than 20 countries having an LE at birth above 80 years. Nonetheless, there are still wide variations of LE between low-income and high-income countries. Enhancements in hygiene and access to uncontaminated water; medical developments, comprising children vaccinations; and enormous escalations in agronomic development have led to increases in LE. The unpredictability of LE has significant consequences for individual and cumulative human conduct. LE influences economic growth, intergenerational transfers, fertility behaviour, social investment and incentives for pension benefit claims (Coile, Diamond, Gruber, & Jousten, 2002; Zhang, Zhang, & Lee, 2001). Thus, the health of a nation and the value of healthcare available when they are sick reflects in the LE (Meara, 2008; Shkolnikov et al., 2006). Kinsella and Ferreira (2007) define life expectancy (LE) as a tool that measures

how an individual on average is expected to live; based on the individual's year of birth, present age, and other demographic factors. A higher LE is an indicator of the better standard of living in a country. This has been shown by a direct link that occurs when there is development in a country's social services, health, and economic development (Lomborg, 2002). However, economic growth has a substantial consequence on the growth of an individual's expected life, even though this might differ in countries. During the past decades, life expectancy at birth was determined as a prominent indicator that identifies whether a country is a developed or a developing country (Shahbaz et al., 2015). As a result, this provides a clear understanding of why countries, more specifically developing countries should grow their economies through investing in socio-economic development, such as an individual's education, environmental management, hygiene, health, and other social security resources. According to Health24 (2015), the average years of life people are expected to live have dropped drastically in South Africa, from 64 years in 1994 to 49 years in 2001. During the post-apartheid South Africa, there has been a fluctuation in life expectancy (Figure 1). Records suggest that from 1994 to 1996, life expectancy was higher, with an average of 61.3 years. As from 1997 to 1999, it decreased to an average of 58.4 years. The difference in years between 1994-1996 and 1997-1999 was 2.9 years. From 2000-2002, life expectancy continued to decline to an average of 54.6 years. Thereafter, life expectancy declined in a constant proportion from 2003-2005 and 2006-2008. In 2003-2005 it slightly declined to 52 years, and in 2004-2007 it dropped to 42.0 years. Life expectancy escalated after the mentioned years to 54.4 years between 2009 - 2011 and from 2012-2013 life expectancy was 54.0 years on average. Fluctuation in life expectancy has been an issue even before the end of apartheid in 1994 and still remains so.

**Figure 1: South African life expectancy**



**Source: Authors computation**

According to Biciunate (2014), a growth in the economy has a significant role in life expectancy if the growth is used for financing social services such as providing access to sustainable drinking water, healthy sanitation, availability of health care centres and an improvement in basic education. In South Africa, the average life expectancy has been fluctuating between 2009 – 2016. The Mail Online (2018) states that from the 195 countries that were ranked in the health journal projections for life expectancy, South Africa was ranked the 171 country in 2016 with an average life expectancy of 62.4 years. However, South African has projected LE to increase slightly with an average estimate of 70 years by 2020, which is still very low in comparison to other emerging economies. Recent studies on South African LE have indicated that HIV is a dominant factor for a decline in life expectancy. However, there has been minimum or no research on what role socioeconomic variables have in an increase or decrease in South African LE. In 2012, deaths occurring from HIV/AIDS was estimated at 202,100 South Africans, thereby establishing the virus as a major killer in South Africa (Pariona, 2017). This virus accounts for about 33% of all deaths each year, whereas individuals residing in the country areas are more likely to have the virus unnoticed for lengthier periods leading to complications that involve fluctuation in life expectancy and eventually death. Stroke, diabetes, and lack of access to health care facilities also contribute as major causes of death in South Africa. Summarily, available literature on the subject suggests uniformity on the research

output of researchers. Available statistics suggest that LE has been rising faster in countries with a history of low life expectancies, giving space to the viewpoint of a convergence in health in the long run. Nonetheless, Canning (2010), argues that this optimistic average trend in LE for all countries taken veneers a substantial discrepancy in the experience of each country. Nonetheless, there is yet to be an agreement in the literature as per health determinants, nor the factors affecting health improvement, which could allow for a sporadic movement from low expectancy of life to a high expectation of life. Many persuasive factors have been discussed in earlier research, but the ambiguity on the comparative significance of each cause largely remains. It has been indicated that socioeconomic variables are significant determinants of LE, granger cause each other or correlate. A lower life expectancy leads to broken households; children are meant to survive on what is available to them. In specific terms, some children end up committing crime, taking drugs, and living a careless lifestyle which affects the expected years of survival. Death occurring during the working-age becomes a threat to the economy, as people of working age die before they reach retirement age. The appropriate question is, therefore; to what extent is expectancy of life in South Africa influenced by health policy framework and socioeconomic dynamics? The complexity of life itself is the primary reason as to why life expectancy must be studied. This paper seeks to understand what impact, do socioeconomic variables have on life expectancy in South Africa. Thus, understanding the dynamics and effects would provide a framework for long-term support.

### **1.1 Study framework**

We have hinged study on the seminal work of Grossman (1972). He posits that the economic outlook of an individual is ultimately linked to the persons' affordability of health consumption. According to Grossman, the determinants of health for a person encompass variables such as the education of the person, accessibility of the individual to health services and the person's level of exposition in terms of what is available or not. Nonetheless, for the purposes of this study, we classify socioeconomic factors as determinants of the standard of living in an economy. Following this trajectory, Bichaku et al. (2005) investigated the causes of changes in health status (as measured by LE at birth) in SSA based on the Grossman (1992) model. It should be pointed out that the model considers the economic, social, and environmental factor. The economic factors considered are *the ratio of health expenditure to GDP and the per capita food availability index*, *illiteracy rate and alcohol consumption* were considered for the social dimensions, whereas *urbanization rate and carbon monoxide emission per capita index* were considered for the environmental factors. Summarily, the analysis indicated that excluding demographic concerns in a health framework would not yield the expected results for the region. Thus, integration of multidimensional issues is required to increase LE in the region.

## **2. BRIEF REVIEW OF RELATED LITERATURE**

Concerning determinants of health, scholars vary, and there is no conformity in the narrative on which factors contribute to healthiness enhancements that could permit for an increase from a low expectancy of life to a high expectancy of life. In previous research, many significant causes have been raised, and the debate on the comparative status of each cause is still open. Several studies and more recently Sede and Ohemeng (2015) in Nigeria were devoted at investigating the determinants of life expectancy and considered various variables like per capita income, health expenditure, literacy, the nominal exchange rate, and unemployment rate. It was recognized that a complete level of income measured by per capita GDP appears to affect mortality considerably as income upsurges from the lowermost to the intermediate range of income bracket, and no additional improvements in life expectancy accompany the increase in income beyond a certain bracket income threshold. Biciunaite (2014) states that the effect of food supply on mortality is the most obvious explanation regarding the relationship between LE and socioeconomic variables. Anand and Ravallion (1993) indicate that there is an evident positive association between per capita GDP and life expectancy, which is showcased through public expenditure on health. As a result, when poverty was introduced to their model, there was no significant relationship between per capita GDP and life expectancy. This, therefore, can be explained by stating that when a country has a high rate of poverty, chances are there would not be a significant relationship between life expectancy and the per capita GDP. Furthermore, common social virtue, reading and an understanding of health



ethics come through when you are literate and, this should have a positive influence in increasing life expectancy

In-addition, health expenditure is hypothesized to have an impact on LE. This variable is defined as the ratio of total expenditure on public and private health. Expenditure on health services includes preventive and restorative, family planning activities, nutritious activities, and emergency aid, which include the provision of water and sanitation. However, access to sustainable water is one of South Africa's SDG's with the number of people without access to sustainable water halved in South Africa. Access to sustainable water should have a positive relationship to life expectancy because of its positive externalities. UNICEF SA (2016\17) posits that the total government education expenditure remained at 17% even though there were huge concerns about the lack of growth in educational sectors. Education can be indicated as a system that can increase an individual's personal sense of control, mastery, and self-direction, thereby impacting on LE. People who are educated tend to have a higher level of personal control which can refrain them from living an unhealthy lifestyle. The no-fee school allocation and the government support for public schools and infrastructure forms part of the education priorities mentioned by the UNICEF (2016\17). Also, total fertility rate (TFR) has been used as an indicator for LE and is described as the number of off-springs a woman would give birth to if she were to give birth for the rest of her life at rates specified by the ASFR. Census (2011) documented that the total fertility rate for the year 2011 suggested that Limpopo had the highest fertility rate of 3.25 with Western Cape the lowest with 2.28 and Gauteng with 2.7 among South African provinces. To eliminate under-nourishment, the UNICEF SA (2016\17) argued that governments should make it a priority to provide the national school nutritional program at school as a means of eliminating poverty which correlates with LE. Prevalence of undernourishment explains the population nutritional status by displaying the population whose nutritional consumption is met. Another variable affecting LE is the rate of urbanization. The national statistical offices define an urban population as a portion of people living in urban areas. This portion of people has access to most resources than people living in rural areas, as most developments start in urban areas before they become accessible to rural areas. Thus, the probability of impacting on LE is very high.

Nevertheless, the VECM framework has been used extensively in econometric analysis involving socioeconomic variables. According to Dash and Parida (2013: 229), the vector error-correction model technique was advocated by Granger (1986) and Engle and Granger (1987). Hill, Griffiths, and Lim (2012: 503) define a VECM as a multivariate dynamic model which incorporates a cointegrating relationship. The VECM is principally regarded as a unique form of vector autoregression (VAR)<sup>16</sup> for non-stationary variables that are cointegrated (Zeugner, 2002: 8). VECM takes account of the dynamic properties and interrelationships between a set of variables that are of time-series nature. The VECM is therefore used to analyse the direction of causality between variables (Dash and Parida, 2013: 229) and is considered as a useful forecasting tool (Lastrapes, 2001: 5). Apart from helping to direct the course of causality amongst variables, the VECM assists in distinguishing between the long-run and short-run Granger causality (Tahir & Sarwat, 2010: 49). Ekanayake (1999: 45) emphasises that VECM has gained popularity in recent empirical analyses, firstly, because it is relevant and straightforward in dealing with time-series data, and secondly, because of its ability to ensure stationarity<sup>17</sup> and provide an additional channel for detecting causality. Moreover, Asari, Baharuddin, Jusoh, Mohammad, Shamsudin, and Jusoff (2011: 51) posit that the VECM can only be applied after the long-run symmetry association between the variables in the series has been detected. Asari et al. (2011: 52), as well as Khan et al. (2012: 540), therefore conclude that VECM is not useful if there is no cointegration among the variables. Jochmann, Koop, Leon-Gonzalez, and Strachan (2009: 5) postulate that the VECM for an n-dimensional<sup>18</sup> vector ( $y_t$ ) may be stated as:

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<sup>16</sup> A VAR is defined as a system where variables are functions of their own lags in the system (Hill et al., 2012: 499).

<sup>17</sup> See section 4.5.1 for the definition of stationarity.

<sup>18</sup> The number of rows and columns (the size of the matrix) defines the dimension of a matrix.

$$\Delta y_t = \Pi y_{t-1} + \sum_{j=1}^{\rho-1} \Gamma_j \Delta y_{t-j} + \mu d_t + \varepsilon_t$$

$\Delta$  denotes first difference, such that  $\Delta y_t = y_t - y_{t-1}$ ,  $\Pi$  is the  $n \times n$  matrix of rank  $r \geq n$ . An  $n \times n$  matrix indicates that the matrix has  $n$  number of rows and  $n$  number of columns. The rank measures the long-run cointegrating relations in the system,  $d_t$  represents deterministic terms,  $\varepsilon_t$  is the error-correction term. The error-correction parameter measures how the system reacts to deviations from long-run equilibrium, and  $\rho$  is the order of the Vector Auto Regression and is translated in the Vector Error Correction Model as a lag of  $\rho - 1$ . Various authors (e.g., Anoruo & Ramchander, 2000; Mehrara & Firouzjae, 2011; Khan et al., 2012) have used the vector error-correction model in literature, and these studies were able to adopt the VECM because the variables they used were cointegrated. However, in instances where the variables do not cointegrate, the basic Granger causality test can be used to determine the causal relationships between the variables under consideration (Asari et al., 2011: 51). When variables co-integrate, the Vector Error Correction (VEC) model is conducted. In this paper, the VEC model is the main result of our research question. We also used the Vector Auto-Regression (VAR) because it allows a variable to be regressed on its own lag and lags of other variables (Todd, 1990). The VAR allows each variable to be influenced by its own past and the past of other variables to decrease the issue of simultaneity (Kretzmer, 1992).

### 3. METHODS

In our analysis, variables considered to constitute socioeconomic variables are: per capita GDP in PPP (\$), urban population as a percentage of population, total fertility rate, percentage of population with workable access to safe drinking water, undernourished people as percentage of total population, per capita education expenditure, per capita health expenditure in purchasing power parity (US\$).

**Table 1: Variable descriptors**

S/N	Variable	Description
1.	LLIFE	<i>Log of Life Expectancy</i>
2.	LEDUA	<i>Log of per capita Education Expenditure</i>
3.	LGDP	<i>Log of per capita GDP in PPP (\$),</i>
4.	LURBAN	<i>Log of urban population as percentage of total population</i>
5.	LTFR	<i>Log of Total Fertility Rate</i>
6.	LUNOUR	<i>Log of undernourished people as percentage of total population</i>
7.	LPCHE	<i>Log of per capita Health Expenditure in purchasing power parity (US\$),</i>
8	LIWS	<i>Log of percentage of total population with sustainable access to safe drinking water</i>

To ensure robustness and parsimony, we paid utmost attention to the time series data set (1990 – 2017) because of the possibility of a white noise (where variables are not stationary). We applied the Augmented Dickey-Fuller (ADF) test, which is the most used unit root test. In addition, a simultaneous test to determine the long-run association among variables under examination was performed by using the Johansen co-integration test. This test is imperative as variables that fail to congregate in the long run may be precarious to policy-making. The purpose of this test is to decide if to use the Vector Error Correction (VEC) or Vector Autoregressive (VAR). The VAR will only be applicable if there are no Cointegrating relationships. The Pair-wise correlation Matrix is also adopted to determine the exact relationship between the variables used in the analysis.

### 3.1 Diagnostic test

These tests are essential in the analysis because it authenticates the estimates of the parameters in the estimated VECM. Diagnostic checks, test the stochastic properties of the model. In this study, we used the Heteroscedasticity and Lagrange multiplier test.

According to Brooks (2008), there are some formal statistical tests for heteroscedasticity. One such famous test is the White's (1980) extensive test for heteroscedasticity. The test is useful because it has some assumptions such as that it assumes that the regression model estimated is of the standard linear. The null hypothesis for the White test is homoscedasticity, and if we fail to reject the null hypothesis, then we have homoscedasticity. If we reject the null hypothesis, then we have heteroscedasticity. The Lagrange Multiplier (LM) test is a multivariate test statistic for residual serial correlation up to the specified lag order. The lag order for this test should be the same as that of the corresponding VAR (Gujarati, 2004). Johansen (1995) presents the formula of the LM statistic and provides detail on this test. The LM statistic tests the null hypothesis of no serial correlation against an alternative of autocorrelated residuals.

## 4. RESULTS AND DISCUSSION

### Unit root test

In order to evade bogus findings and white noise in our analysis, a stationarity test was carried out. This would make the estimates unbiased and consistent (Table 2). All the variables were tested for stationarity under all deterministic trend assumption of Constant and trend, and none. The variables have unit root in levels as the value of t-statistics is smaller than the critical Mackinnon values for all deterministic trend assumptions. The null hypothesis of unit root is therefore accepted. However, after first differencing, the t-statistics become more substantial than the critical Mackinnon values for all deterministic trend assumptions. All the variables became stationary at integration order of 1. All variables passed at 5% level of significance at the constant and when the trend was introduced except LEDUA. However, LEDUA passed at the 5%v significance level when there was no constant or trend in the stationarity equation. The null hypotheses of the unit root are therefore rejected, and the alternative hypothesis of no unit root in the series is accepted. All variables are consequently integrated into the same order I (1).

**Table 2: Augmented dicker fuller test**

Variables	Augmented Dickey-Fuller			Order of integration	
	Constant	Constant & trend	None		
LLIFE	-5.3913	-5.6890	-5.4304	I(1)	
LEDUA	-2.7321	-2.7095	-2.0896	I(1)	
LGDP	-3.7030	-3.7429	-3.7152	I(1)	
LURBAN	-5.5341	-3.6088	-5.5578	I(1)	
LTFR	-3.9581	-4.0121	-3.8186	I(1)	
LUNOUR	-3.8765	-4.1241	-3.9652	I(1)	
LPCHE	-3.8341	-3.6595	-2.8796	I(1)	
LIWS	-4.4321	-4.5318	-4.4421	I(1)	
Critical Value	1%	-3.4956	-4.0505	-2.5878	I(1)

5%	-2.8900	-3.4544	-1.9440	I(1)
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Source: Own computation using e-views 9.5 econometric software

### Pair-wise correlation

From the pair-wise correlation results shown below, all variables are positively correlating with the dependent variable DLLIFE. The correlation between independent and dependent variables is in line with theoretical underpinnings in literature. All variables are correlating with DLLIFE, and there is no specific variable, which is corresponding to all variables; this implies that there is less likelihood of the multicollinearity problem. In this regard, DLLIFE agrees with the proposed explanatory variables.

**Table 3: Pair-wise correlation results**

Variables	LLIFE	LEUA	LGDP	LURBAN	LTFR	LUNOUR	LPCHE	LIWS
LLIFE	1.0000	0.1536	0.1613	0.0616	-0.0548	-0.0437	0.3580	0.1306
LEUA	0.1536	1.0000	0.3854	0.3019	-0.3057	-0.0206	0.3031	0.1068
LGDP	0.1613	0.3854	1.0000	0.3640	-0.2750	-0.3640	0.3842	0.1356
LURBAN	0.0616	0.3019	0.3640	1.0000	0.6009	-0.2356	0.2351	0.2351
LTFR	-0.0548	-0.3057	-0.2750	0.6009	1.0000	0.3561	-0.1603	-0.0102
LUNOUR	-0.0437	-0.0206	-0.3640	-0.2356	-0.3561	1.0000	0.3741	-0.2513
LPCHE	0.3580	0.3031	0.3842	0.3561	-0.1603	0.3741	1.0000	0.2869
LIWS	0.1306	0.1068	0.1356	0.2351	-0.0102	-0.2513	0.2869	1.0000

Source: Own table with data from e-views 9.5 econometric software

### Cointegration

Cointegration implies the existence of a long run between variables. If variables are cointegrated, it means they are integrating of the same order. Cointegration test is important and imperative for policy leveraging. If causal relationships exist to the extent that the variables move in perfect synchronization in the long-run, there is a sureness of the policy framework consistency. From the test statistics of the trace test, results indicate that there are co-integrating equations at the 5% level of significance and the maximum eigen value test confirms the trace tests at the 5% level of significance. Thus, there is a long-run relationship between the variables based on the results of cointegration.

**Table 4: Cointegration results**

Hypothesized		Trace	0.05	
No. of CE(s)	Eigenvalue	Statistic	Critical Value	Prob.**
None *	0.554569	120.3796	69.81889	0.0000
At most 1 *	0.373862	54.87395	47.85613	0.0095
At most 2	0.151579	16.95101	29.79707	0.6437

At most 3	0.041610	3.636411	15.49471	0.9307
At most 4	0.002391	0.193880	3.841466	0.6597

Table 4 shows that trace test results reflect that cointegrated equations exist at 5 percent level of significance. The null hypothesis of no cointegrating vectors is rejected since the trace tests statistics of 120.37 is more than critical 69.82 at 5% level of significance. Using a similar explanation, the null hypothesis that there is at most one cointegration vector can be rejected as the trace test statistic of approximately 54.87 is more than the critical 47.85 at 5% level of significance.

**Table 5: Cointegration eigen value test results**

Hypothesized		Max-Eigen	0.05	
No. of CE(s)	Eigenvalue	Statistic	Critical Value	Prob.**
None *	0.554569	65.50569	33.87687	0.0000
At most 1 *	0.373862	37.92294	27.58434	0.0017
At most 2	0.151579	13.31460	21.13162	0.4237
At most 3	0.041610	3.442531	14.26460	0.9130
At most 4	0.002391	0.193880	3.841466	0.6597

The maximum eigenvalue test table 5 indicates that the cointegrating equation exists at a 5% level of significance. The null hypothesis of no cointegrating vector is not accepted as critical the eigenvalue of 65.50 is more than the critical value 33.876 at 5% significant. At most, one cointegrating vector is not accepted using the same analysis, as a test statistic of about 37.922 is more than the critical value of 21.58 at 5% significant.

### System maximum lag

Using the Johansen test, there is a need to determine optimal lag-order criteria. It eliminates the serial correlation in the residuals as well as identifying the deterministic trend assumption for the VAR model. The information criteria approach is applied in this instance as a direction in choosing lag-order. Table 6 confirms the lag-order selection by different information criteria. The procedure involves specifying the optimal leg length and choosing of the deterministic assumption that the Johansen test requires. The table below shows the lag length criteria obtained from the unrestricted VAR. The Johansen cointegration test is, therefore, conducted under the assumption of a constant in the series, and we used a lag length of 4 because it is required for robustness. In the final analysis, the ideal lag length for our analysis was limited to order 2 for parento optimality.

**Table 6: Lag order selection criterion**

VAR Lag Order Selection Criteria						
Lag	LogL	LR	FPE	AIC	SC	HQ
0	-96.44	-	7.93e-06	2.44	2.59	2.50
1	480.77	1070.98	1.32e-11	-10.86	-9.98	-10.51
2	554.49	127.90*	4.11e-12*	-12.036*	-10.43*	-11.39*
3	560.19	9.19	6.65e-12	-11.57	-9.23	-10.63

4	568.36	12.20	1.03e-11	-11.16	-8.10	-9.93
<p>* indicates lag order selected by the criterion</p> <p>LR: sequential modified LR test statistic (each test at 5% level)</p> <p>FPE: Final prediction error</p> <p>AIC: Akaike information criterion</p> <p>SC: Schwarz information criterion</p> <p>HQ: Hannan-Quinn information criterion</p>						

**Source: extracted from e-views by the authors**

**Table 7: Vector auto-regression (VAR) estimation**

variable	coefficient	t-value
Constant	1.54	2.73
LLIFE(-1)	0.48	3.15
LLIFE(-2)	0.25	0.45
DD(LEDUA(-1))	0.04	0.67
DD(LEDUA(-2))	0.06	0.83
DD(LGDP(-1))	0.14	0.64
DD(LGDP(-2))	-0.08	-0.61
DD(LIWS(-1))	0.07	0.46
DD(LIWS(-2))	0.04	0.23
D(LPCHE(-1))	0.34	1.96 <sup>xx</sup>
D(LPCHE(-2))	0.15	1.74 <sup>x</sup>
DD(LTFR(-1))	-0.13	1.82 <sup>x</sup>
DD(LTFR(-2))	-0.08	0.59
LUNOUR(-1)	-0.28	-8.36 <sup>xx</sup>
LUNOUR(-2)	-0.08	0.87
DD(LURBAN(-1))	-0.15	-4.63 <sup>x</sup>
DD(LURBAN(-2))	0.06	0.73

Adjusted R-squared 0.6731; F-statistic 18.74; DW 1.72

**Source: Authors computation**

**Vector auto-regression (VAR) estimation**

**Descriptive statistics**

Confirmation from Table 7 above displays adjusted coefficient of determination ( $R^2$ , which is 67%). Results suggest that the determinants in our equation accounted for more than 65% of methodical differences in life expectancy in South Africa. The calculated F-statistics value was higher than the critical value ( $18.74 > 6.34$ ) and in addition significant at the 1% level. Thus, we rejected the null hypothesis that none of the explanatory variables in the model has any substantial association with LE. Estimations of the standard error likewise indicate that the complications of ineffectual constructs associated with empirical estimation are highly decreased. In addition, the Durbin - Watson statistics of 1.72 shows the non-appearance of autocorrelation and guarantees a good level of efficiency of the parameter approximations.

### **Socioeconomic variables' and life expectancy**

It is evident from our findings that except the prior two periods log values of government health expenditure; the prior period of total fertility rate; the previous period undernourishment; and the previous period of urban population, the other variables are not significant. A percentage change in the mentioned variables is associated with a percentage decrease in life expectancy except for government expenditure and vice-versa. Improvements in terms of government education expenditure, per capita GDP and access to sustainable drinkable water may not lead to higher life expectancy as per the data set. A percentage change in the mentioned variables is associated with a percentage decrease in life expectancy. The impact of urbanization on life expectancy has obviously long-term implications. Issues ranging from poor access to health facilities, pressure on available infrastructure and pollution amongst others could have negative implications for the populace. This is also true for the continued rise in total fertility because of the negative implications for mothers and children as per the status of health and other consequences. In addition, undernourishment is a major life expectancy correlate, which could swing to either side. Results above suggest that the immediate two periods of per capita income are not significant and shows a mixed as per impact on current LE. This is in accordance with the findings of Anand and Ravallion (1993), Kabir (2008), and Sede and Ohemeng (2015). Our results are suggestive that the poverty trend in South Africa is imbedded in the data set, thereby producing these mixed effects. Nonetheless, Wilkinson (1992) finds alternative results. The per capita expenditure on health in the regression had the expected sign and also significant. This result is in line with Grubaugh and Santerre, (1994), Elola et al. (1995), and Novignan et al. (2012). However, it contradicts Hitiris and Posnet (1992), Kabir (2008), and Sede and Ohemeng (2015). Nonetheless, the percentage share of capital expenditure on health to GDP in South Africa continues to exhibit a downward trend because of the economic challenges, which is indicative of the health crises in the system. Thus, this indicator has a lot of pull on the system and needs to be managed carefully to maximize the potential of LE and targets for 2030.

**Table 8: Vector error correction model**

<b>variable</b>	<b>coefficient</b>	<b>standard error</b>	<b>t-value</b>	
Constant	-0.0061	0.00165	-0.74489	
LLIFE(-1)	0.6723	0.34622	1.94206	
LLIFE(-2)	0.3027	0.34227	0.88464	
DD(LEDUA(-1))	0.1427	0.21127	0.67574	
DD(LEDUA(-2))	0.0342	0.06033	0.56823	
DD(LGDP(-1))	0.0326	0.06021	0.54211	
DD(LGDP(-2))	0.0537	0.16939	0.31752	
DD(LIWS(-1))	0.0438	0.06561	0.66751	

DD(LIWS(-2))	0.0326	0.04311	0.7562	
D(LPCHE(-1))	0.5476	0.14862	3.6843**	
D(LPCHE(-2))	0.1464	0.06361	2.34626*	
DD(LTFR(-1))	-0.0472	0.01012	-4.6731*	
DD(LTFR(-2))	0.0024	0.00751	0.3285	
LUNOUR(-1)	-0.3823	0.04392	-3.3842**	
LUNOUR(-2)	-0.0047	0.01838	0.2568	
DD(LURBAN(-1))	-0.1646	0.02767	-5.9482*	
DD(LURBAN(-2))	-0.0043	0.00604	0.72484	
ECM	0.3523	2	-5.4875*	

Adjusted R-squared 0.6043; F-statistic 14.352; DW 1.68

**Source: Authors computation**

Table 10: Diagnostic test results: Heteroscedasticity and langrage multiplier (LM) test

Test	Null hypothesis	t-statistic	Probability
Langrage Multiplier (LM)	No serial correlation	18.21	0.046
White (CH-sq)	No conditional heteroscedasticity	324.05	0.053

The results from table 9 show that the test for heteroscedasticity using the white test with no cross-terms produced a Ch-sq of 324.05 at the probability of 0.053 which means that the null hypothesis that the no heteroscedasticity was accepted. The alternative hypothesis was that there is heteroscedasticity. The results indicate that the residuals are homoscedastic. In addition, the test for serial correlation produced an LM statistic of 18.21 with the probability of 0.046, which suggest that the null hypothesis cannot be rejected.

**Vector error correction model (VECM)**

With the presumption that our variables are endogenous, we used the criterions (Akaike Information and Schwartz) to determine ideal lag options in our model. The VECM was conducted to inspect both the long run and short-run dynamics of the series. The VECM table shows that government health expenditure, the total fertility rate, undernourishment, and urban population have an impact on life expectancy, as a percentage change in these variables is associated with a percentage increase in life expectancy on average in the short run. Government education expenditure, GDP per capita, and access to sustainable drinking water can be classified as variables that may not translate to higher life expectancy in the short run but significant for policy analysis. The speediness of adjustment (ECT) that test the long-run equilibrium was positive and statistically significant in the VECM model. The ECT measures the rate of convergence to the long-run equilibrium. We constructed the ECT variable by using the residuals as variables in the VECM estimation. A negative value means



the models revert to a long-run equilibrium, whereas positive means sustained deviation from it in the case of a shift. The coefficient of ECT in the model is 0.3523. The significant coefficient positive sign indicates that the socioeconomic variables have a significant relationship as the departure in one direction would not be suitable for LE in South Africa.

Bidzha, Greyling, and Mahabir (2017) supports the notion that investing in health would be significant in South Africa. The UNICEF SA (2017/18) states that the total government expenditure on health accounts for on average 13.5% share on health programs which appears to be stable even though a percentage change in health expenditure was indicated to contribute in a percentage decrease in life expectancy. The medium-term expenditure framework (MTEF) showed no signs of growth on provincial health programs; hence, there is a decline in life expectancy according to the results. The South African government has been encouraged to priorities services that will benefit children and minimize the rate into which infant mortality occurs as this is a health-related issue. This, therefore, takes us to the National Development Plan 2030 that plans to raise life expectancy to at least 70 years, ensuring that the generation of the under '20s is largely free of HIV and significantly reduce the burden of diseases. Rosero-Bixby (1991) using data set from Costa Rica, showed a theatrical reduction in child mortality rate (ranging between 58 to 20 per 1,000) during the 1970s, whereas the life expectancy achieved the uppermost level among the developing world, (more than 73 years in 1985). The alterations observed were due to primary health care interferences that encompassed inoculation campaigns, vaccination, etc. as well as constructive partisan and societal situations. Also, Elola et al. (1995), investigating seventeen (17) European countries data, discovered a negative association between health care expenditures and plausible years of life missing to females and child mortality rates. Their results suggest the existence of a positive correlation between health care expenditures and life expectancy for females. Moreover, they found that countries with national health services were more effective in plummeting infant mortality rates when compared to countries with social-safety nets systems. A positive association could exist between per capita income and health expenditures on the one hand, and a higher per capita income could lead to an increase for per capita public and private health expenditures. This will obviously result in the capacity to buy goods and services that can encourage positive health outcomes.

Furthermore, in Sede and Ohemeng (2015), it was evident that socioeconomic variables were determiners of LE and they concluded that the socioeconomic determinants account for more than 85% improvement in LE, with a three year lag period. Therefore, an increase in education expenditure, sustainable growth in South African GDP per capita, and the availability of sustainable drinking water to all people will have a positive impact on LE. Despite the results suggesting that variables were insignificant except expenditure on health, rate of urbanization, and undernourishment, it is important to still focus on these issues to support the LE. In a study by Sauvaget et al. (2011), it was evident that about 20% of mortality that occurred, were people that were illiterate; this justifies the significance of education and government education expenditure in improving life outcomes. People need to be educated on what it means to be fertile, and health facilities need to invest more in programs where it will inform people of fertility. The government can do this by investing mostly on education and health as these two variables interlink with all the other variables. When people are literate and highly educated, their understanding of the lifestyle that would influence their life negatively improves; hence, an increase in LE would be evident. The leading causes of death (HIV, TB) in South Africa indicates the importance of government expenditure on health; and how vulnerable the country would be with minimum services. The effects of the negligence for health service delivery to rural areas impact on LE.

## **5. CONCLUSION**

Our analysis estimated the consequence of lagged socioeconomic variables on the expectancy of life over a 27-year period in South Africa. The chosen variables; economic growth, public health care expenditure, education expenditure, fertility rate, undernourishment, and urbanization rates collectively accounted for about 70% variations in LE for both models. The principal result of the analyses is that the established socioeconomic variables such as GDP and total population with sustainable access to safe drinking water accepted as prominent in determining expectancy of life parameter in Sub-Saharan Africa were not

significant in the context of South Africa. Although results suggest that there is no guarantee that enhancements in per capita income, education spending, and to some degree, improved access to water may result to a positive effect on the LE of South Africans. This could be a problem of indiscretion in the provision of these services. Proper targeting is required if these variables would impact LE in the country. The analysis above has dire consequences for policy regarding the health framework in South Africa vis-à-vis LE. The result implies that amplified share of income will have no effect on the LE dynamics for the average South African without an equitable re-distribution of wealth. Nonetheless, there is a possibility for deaths to decrease quickly among countries with a progressive income distribution than when income is uneven. For South Africa to experience the prospective gains of enhanced per capita income, reallocation of the income should be a priority in deciding program bearing. It has become imperative to progress on health policy, with reference to the provision of funds and resourceful utilization of resources. The emphasis should encompass the improvement of wellbeing care infrastructure, upskilling of relevant staff, vaccination, and other precautionary health care procedures. The evidence of the dynamics of socioeconomic variables on LE is still inconclusive. Reliable data sets are a challenge; hence, most indicators were proxies. The analysis is limited to some extent because of the variables used as indicators for the determinants of LE may not be comprehensive; other variables may be highly associated with life expectancy. Nonetheless, the results are robust and not biased as a result of any omissions.

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**DETERMINING CRITICAL SUCCESS FACTORS FOR RESILIENCE AND ENTREPRENEURIAL PERFORMANCE IN SOUTH AFRICA: AN ADAPTATION OF INTERPRETATIVE PHENOMENOLOGICAL ANALYSIS**

**Ogujiuba Kanayo**

University of Mpumalanga

Email: kanayo.ogujiuba@ump.ac.za.

Orcid ID 0000-0001-9155-7039

**Nico van Rensburg**

University of the Western Cape

Email: 3689021@myuwc.ac.za

Orcid ID 0000-0003-1897-7103

**~Abstract~**

*When considering the fact that most entrepreneurs only have their own resources and capabilities to draw on, further complicates and limits the chances for rising entrepreneurs to progress consistently. Therefore, it remains of utmost importance to get to the root of the believed accustomed personal and business success factors, that are considered to strengthen entrepreneurial performance and resilience over time. Thus, gaining a critical understanding of the way achieving entrepreneurs perceives and chooses to implement certain accustomed success factors are of extreme importance. Hence, it leads the way towards identifying the true chemistry behind what actually takes place internally in the quest of becoming resilient, and reaching peak entrepreneurial performance. This article sets out to reveal a unique set of elements that not only encourages success, but also address the accustomed internal drivers thereto, and outline how these factors are believed to drive entrepreneurial performance. Using Interpretative Phenomenological Analysis (IPA), this article adopted a qualitative approach, in which fifteen (15) successful/resilient entrepreneurs were selected using purposive sampling. Thus, the primary data were collected utilizing a well-formalized pre-set, semi-structured questionnaire, professionally executed through one-on-one interviews. In terms of reaching maximum accuracy of the results retrieved, phenomenology, hermeneutics, and ideography strategically allowed the researchers to closely examine and make meaning of each participant's personal lived experiences, feelings, and beliefs, from both a psychological and interpretative perspective in search of reaching lasting entrepreneurial success. Results suggest that a unique group of accustomed personal and business success factors does exist, each consisting of several underlying factors that significantly affects and contributes to both success and resilience building in entrepreneurship.*

**JEL Classification: M10, M21, Z10**

**Keywords:** Entrepreneurship, performance, resilience, South Africa, success.

**1. INTRODUCTION**

Resilience and its close relationship with success in entrepreneurship, has become a widely recognized and discussed topic among various scholars and business enthusiasts around the world (Ayala & Manzano, 2014; Davidsson, 2004; Yang, Danes, & Sharon, 2015). The belief that it is in every entrepreneur's humanistic nature to start up a business with high expectations of achieving immediate and long-term success has been severely criticized as not being enough, as global economic and political instability continue to create havoc for several reasons (Lussier & Halabi, 2010). When considering the fact that most entrepreneurs only have their own resources and capabilities to draw on, further complicates, and limits the chances for rising entrepreneurs to progress consistently (Yan & Yan, 2017). Therefore, it remains of utmost importance to try to get to the root of the believed accustomed personal and business success factors that are considered to strengthen entrepreneurial performance and resilience over time. Thus, gaining a critical understanding of how entrepreneurs perceive and choose to implement certain accustomed success factors are of extreme importance, as it leads the way towards identifying the true chemistry behind what actually takes place

internally in quest of becoming resilient and reaching peak entrepreneurial performance (Ayala & Manzano, 2014; Hedner & Abouzeedan, 2011; Jin & Wang, 2017). Although global statistics might be showing a slight incline in overall entrepreneurial activity rates, on ground level, this is not the case. Various challenges remain constant, causing a detrimental failure rate among new and existing entrepreneurial start-ups, resulting in a variety of ongoing problems in several international economies (Global Entrepreneurship Monitor, 2016). Thus, the real antecedents of resilience in entrepreneurship, together with the associated principles thereto; being change, challenge, and disruption, are all of critical importance in terms of encouraging entrepreneurial growth, development, and performance in this regard (Earvolino-Ramirez, 2007).

Although concepts such as commitment, discipline, and responsibility have been addressed as general factors contributing to the formation of resilience, there remains little or no evidence on the overreaching factors from which these concepts eventually evolves throughout the entrepreneurial process. Also, the fact that it is required of achieving entrepreneurs to regularly interact with others on a day-to-day basis to successfully grow a particular business, as well as to remain enthusiastic and positive in all challenges and circumstances giving rise to an undeterred level of faith in personal and entrepreneurial ability, resulted that this article strictly focuses on three major factors: network-ability, motivation, and religion/spirituality, as the powering elements contributing to entrepreneurial resilience and performance in this regard. Each of these factors is believed to consist of a unique group of underlying factors serving as drivers, that significantly strengthens and give rise to ultimate performance enhancement capability throughout the process of entrepreneurial engagement. In addition, this article also set out to explore and strategically align the role of each underlying factor, as to conclude the direct effect and impact thereof, as unique elements giving rise to expanding the diversity of a business, the number of hours worked per day, as well as enhancing workplace leadership styles in general. Available literature suggest that it is important to further explore and refine the underlying factors within the particular success factors under investigation, but also find authentic and actual evidence within a specific entrepreneurial field, as to give rise to unlocking the true thought and motivational processes present in resilient entrepreneurs, especially in terms of both demographic and geographic perspectives. As stipulated by Bandura (1993), the theory of self-efficacy links with an entrepreneur's beliefs in his or her capabilities, and how they choose to exercise control over, and influence events that ultimately affect their entrepreneurial fate. Therefore, the act of examining how the entrepreneurial thought and attitude pattern is understood can reveal how it is eventually practiced (Pollard & Wilson, 2014).

## 2. THEORETICAL OVERVIEW OF THE FACTORS ADDRESSED

### 2.1 Success factors and definitions

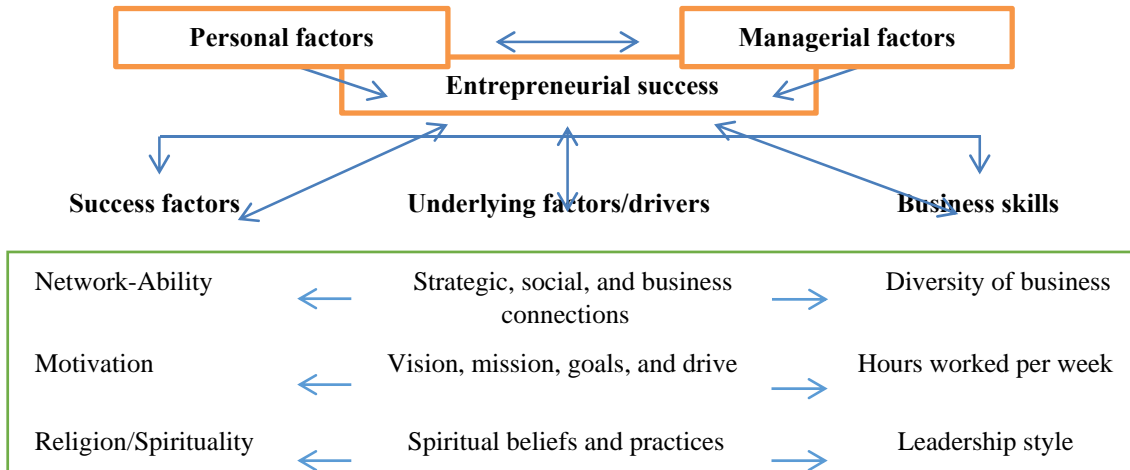
**Table 1: Personal and business success factors**

Network-Ability	Network-ability refers to resources, business processes, and the ability to rapidly establish effective business relationships, both internally and externally (Osterle, Fleisch, & Alt, 2000).
Motivation	Motivation refers to an accustomed set of psychological processes that exemplifies the initiation, direction, intensity, and persistence of behaviour (Campbell & Prichard, 1976).
Religion/Spirituality	Religion and spirituality is the steadfast belief in a higher power, the belief in something outside the self, yet also within

## 2.2 Conceptual model

Below, follows a graphic image addressing the three (3) overreaching personal and business success factors, along with presenting each of the underlying factors/internal drivers thereto; neatly outlining how each of the elements is believed to be connected:

**Figure 1: Conceptual model: Personal and business success factors/internal drivers**



As derived from the graphic image above, it is clear that in order to achieve ultimate entrepreneurial success through refining and strengthening the success factors under investigation, the whole cycle along with each variable needs to be connected with one another. Therefore, the pillar of each success factor, whether personal or business-related, requires a specific set of underlying factors/drivers, to develop and perform at surface level. Thus, the researchers identified the following underlying factors as drivers believed to actively influence and encourage the development of each of the success factors under investigation:

### Underlying factors affecting network-ability

1. Social connections – the ability to connect, or feel connected with groups in a social setting (Seppala, Rossomando, & Doty, 2013).
2. Business connections – the ability to connect, or feel connected with all entities that engage in commerce (Hakansson & Snehota, 1995).
3. Strategic connections – the ability to interact with, or agree with entities to conduct specified activities or processes, to achieve defined objectives (Business Dictionary, 2018).

### Underlying factors affecting motivation

1. Vision – the belief and ability to look into the future with energy, positivity, and determination to grow (Kantabutra & Avery, 2010).
2. Mission – the ability to continuously strive towards improving in all aspects of personal life and business (Rimm, 2013).
3. Goals - the process of identifying something specific that you want to accomplish and establishing measurable plans and timeframes to get there (Moeller, Theiler, & Wu, 2015).
4. Drive – “the desire of self-actualization, need for achievement, belongingness, and status, and other such motivations based on thought patterns and social influences” (Merriam-Webster Collegiate Dictionary, 2003).

### Underlying factors affecting religion/spirituality

1. Spiritual Beliefs and Practices – a disciplined collection of beliefs, values, and practices that a person or group believes to be true, sacred, and fulfilling (Benefiel, Fry & Geile, 2014).

Following the detailed explanation of the various underlying factors/drivers that are believed to strengthen the three (3) overreaching success factors under investigation, it is also of great importance to understand how these underlying factor/drivers impact and contribute to the management and business skills/factors presented. Below, follows a brief outline and definition of each of the management and business skills/factors under investigation, supported by a brief description on how each of these accustomed skills/factors are believed to be interconnected with one another:

**Diversity of business** – a business’s organizational culture, human resource practices, other perceived practices, and organizational outcomes related to managing employee diversity as well as conducting business on a global scale (Patrick & Kumar, 2012). For network ability to derive as a success factor, it requires a certain level of social, business, and strategic connections to manifest, to ultimately affect and influence the diversity of a business.

**Hours worked per week** – weekly working schedule over a selected period (Breunig, Gong, & Leslie, 2014). For motivation to derive as a success factor, it requires a certain level of vision, mission, goals, and drive to manifest, to ultimately affect and influence the number of hours worked per week by an entrepreneur or business.

**Leadership style** – the extent to which leaders are involved with people-related problems or work-related issues on a day-to-day basis (Billig, 2015). For religion or spirituality to spring as a success factor, it calls for a certain level of spiritual belief and practices to manifest, to eventually affect and impact the leadership style of an entrepreneur or business.

### 3. METHODOLOGICAL APPROACH

The primary objective of this article was to determine and identify a unique group of elements driving success in entrepreneurship, followed by a secondary objective being to identify and explore how and to what extent these elements along with the underlying internal drivers thereto, affects and impact resilience levels. As a result, the following research questions emerged that forms the basis towards the successful execution of this article:

**RQ1:** *“What are the determinants of success of resilient entrepreneurs in South Africa?”*

**RQ2:** *“How do these factors contribute to the formation of entrepreneurial resilience?”*

In terms of reaching maximum accuracy, the article adopted a qualitative approach, through executing a well-constructed Interpretative Phenomenological Analysis (IPA). The article included the selection of fifteen (15) successful/resilient entrepreneurs, which were specifically delineated to the Western Cape’s agri-business sector only. Each of the study participants was purposively selected and asked to professionally conduct a well-formulized one-on-one interview questionnaire, which included a variety of questions based on business and industry segments, personal and business beliefs, as well personal accustomed factors and the drivers thereto. In terms of making meaning of the data retrieved, phenomenology, hermeneutics, and ideography served as a basis towards creating a clear understanding of each participant’s lived experiences, feelings, and beliefs, in search of identifying and concluding the most effective accustomed personal and business resilience/success factors. As far as validity and trustworthiness of the article’s conclusions are concerned, Husserl’s bracketing technique, along with Dalberg et al.’s bridling technique was strategically implemented to properly examine and see things as they are in themselves, free from any pre-determined perceptions and conclusions. (Dahlberg, Dahlberg, & Nystrom, 2008; Husserl, 1970).

### 3. FINDINGS AND DISCUSSION

Smith, Flowers, and Larkin (2009) explains the importance of selecting a homogenous group for IPA studies, as their sharing of quite similar experiences allow for a more thorough analysis of the phenomenon under investigation, that adequately represents the entrepreneur’s perspective rather than a population’s perspective. As a result, the study was delineated to

current entrepreneurs operating in the Western Cape's agri-business sector only. Although there were several positives in the study, a few challenges also existed. Aspects such as openness and trust towards sharing private information, current tensions surrounding government discrimination and questionable land-reform practices, as well as the shortage of similar studies conducted in the past, played a very influential role. However, each of the participating entrepreneurs often described themselves and their beliefs about the associated success/resilient factors in quite similar ways. As the study progressed during the investigation and analysis phase, several themes emerged, neatly framing the personal and business success/resilient factors under investigation. As a result, the article found and concludes that the following three (3) deriving personal and business success factors is believed to contribute the most towards the success of resilient entrepreneurs in South Africa:

**Network-ability** - For each of these participants, effective communication certainly played an over-increasingly important role in the development of their related business units, resources, and processes. Therefore, the ability of these participants to have purposefully connected with the right people in the right areas and places ultimately led to the establishment of a more reliable and trusted business network across all departments and sectors, both within and outside the workplace. For example, one (1) participant mentioned "you have to get your name out there, and you have to do it frequently," while another participant stated, "a good network along with trusted services builds a good reputation." Thus, social involvement leads to building unique and vital relationships; relationships that often lead to the establishment of more concrete and effective strategic connections, as passion and interests are frequently shared among entrepreneurs. As the entrepreneurial network expands, internal business connections strengthen, resulting in better teamwork and increased trust among counterparts. Over time, a solidified network is formulized, resulting in faster identification of potential opportunities and threats, causing entrepreneurs to become more resilient in this regard.

**Motivation** – Each of these participants had a powerful will to succeed, along with a consistent drive and commitment towards achieving their entrepreneurial dreams and desires. They all consisted of a never give up attitude, driven and inspired by their entrepreneurial endeavours, encouraging them to improve and progress no matter what the circumstance. Also, the ability to self-motivate in a constantly challenging and changing environment was indeed a defining factor among these participants. For example, one (1) participant mentioned "a motivated entrepreneur is someone that is driven, positive, and striving towards excellence," while another participant stated, "a motivated entrepreneur will do everything to reach the top, even if there is no way, he or she will make or find a way." Thus, the ability to both create and maintain an intensified vision on where they intend to go, along with staying focused on executing the pre-determined entrepreneurial mission to get there, built enormous character within these participants; ultimately resulting in them becoming more resilient in the process.

**Religion/Spirituality** - Each of these participants really had a strong religious foundation and spiritual belief system; placing great faith and obedience towards the existence of a higher powering God. The unwavering spiritual connection and steadfast commitment they shared while in the presence of their creator and provider, played an enormous role in their entrepreneurial beliefs, overall performance, and personal development in general. Each of them implied their own unique set of spiritual practices and principles; applied daily, directly impacting and affecting their leadership ability and styles, in both an encouraging and influential way. For example, one (1) participant mentioned, "God has really done wonders in my life, all that I currently have and everything I have accomplished, I devote unto Him, He is truly the King of Kings." Another participant stated, "I have experienced a lot of lows in my life, but thanks to the amazing powers of God, I was able to overcome and find a new perspective in life." Thus, through active prayer, each of the participants adopted and developed valuable religious principles, guiding them, and expressing what they stand for in life. As a result, a sense of boldness and resilience is established, resulting in these participants seeing themselves as overcomers rather than victims of their circumstances.

As derived from the results and findings above, as well as the key factors identified, our study highlights the importance of the lived experiences of the selected participants; explaining the actual thought processes, feelings, and beliefs behind how each of the accustomed factors has impacted and contributed to their overall resilience and achievement levels. To further



delineate, it was essential to understand how these findings relate or differ from existing literature, as to emphasize the critical importance of wholly understanding these elements, as well as the value of listening to the participants' perspectives, to offer accurate insights into what has contributed the most, or possibly hindered entrepreneurial performances as a whole. Below is a brief outline, providing a strategized overview and synthesis of how the personal accounts relate, and contribute to the main areas under investigation:

**Elements of success** – In their article, researchers Rogoff, Lee, and Suh (2004) have found that both internal and external factors can be classified as determinants of entrepreneurial success, hence, indicating a true reflection of the researchers' own experience and interpretation throughout this article. Hedner and Abouzeedan (2011) support this fact, in which they explain that most entrepreneurs see their failures and successes as somewhat self-made; strengthening the fact that entrepreneurial thought and attitude patterns play a significant role in overall entrepreneurial performance. Researchers Frese, Brantjes, and Hoon (2002) also addressed specific psychological attributes, in which they have found that aspects such as independence, innovation, and attitude towards risk and a competitive nature, have a unique linkage with entrepreneurial success. As a result, it directly relates to the personal and business success factors addressed in this article. When looking at the findings and conclusions obtained addressing the impact of network-ability, motivation, and religion/spirituality as success factors, each of them directly engages with entrepreneurial action as a matter of fact (Baum & Locke, 2004). Therefore, the ability of these entrepreneurs to have consistently applied the confidence to interact frequently, whilst being outside of their comfort zones, classifies network-ability, and motivation as defining factors directly affecting, and encouraging both personal and entrepreneurial performance (Baum, Locke, & Smith, 2001). Also, when looking at religion/spirituality as an overreaching personal and business success factor, it certainly represents the rising belief that entrepreneurs' psychological ability in placing confidence and trust in a higher power. As a result, this not only expresses, but also produce immaculate resilience and performance ability, making these participants fierce competitors, and the tremendous achievers that they currently are within South Africa's agri-business sector.

**Formation of resilience** - Resilience and its relation to success in entrepreneurship, certainly played a crucial role in the outcome of this article. It became evident that the majority of literature defines resilience as a type of response towards a problematic or extreme event (Danes, Lee, Amarapurkar, Stafford, Haynes, & Brewton, 2009), or as a unique personality trait, ability, or quality (Hayward, Forster, Sarasvathy, & Frederickson, 2010). Throughout our study, resilience certainly presented itself as a unique mental capability or state - a secret weapon, allowing these entrepreneurs to overcome hardships whilst maintaining a positive attitude throughout the recovery process. Therefore, the knowing that unexplainable events or circumstances might happen or appear on frequent occasions, made these participants more focused and restraint; resulting in them developing a more purified mental ability that adapts quicker, allowing them to approach undesired events with a positive, more opportunistic, and futuristic outlook consistently. Thus, the personal competence of these participants to have executed the aptitude to continuously learn from past mistakes and failures, developed in an over-increasingly important characteristic; accept what has happened, regroup, rebuild, and turn what first seemed like a disadvantage, into an opportunity to improve and propel towards success. In support thereof, Zautra, Hall, and Murray (2010) continues, and states that resilience in entrepreneurship should be viewed as part of a process being formalized during the entrepreneurial life-cycle, rather than accepting resilience as being a mere factor which can be learned or taught, free from any active engagement in, or experience in entrepreneurship in this regard. Thus, the conclusions of Rotter (1996) and Zautra et al. (2010), in association with the results obtained from this article, highlights the strength and importance of entrepreneurs' internal locus of control; taking advantage and learning from adverse situations in their past, and using the experience derived thereof, to mould their internal and mental ability to persist, rather than quit or giving up due to the fear or paralysis of failure.

#### **4. CONCLUSION**

In this study, the researchers critically explored the three (3) key over-reaching success factors, which positively contribute to the performance and resilience levels among achieving entrepreneurs in South Africa. It is evident that a totally new and revolutionised approach towards entrepreneurship in South Africa is required. The continuous decline in entrepreneurial activity, as well as the currently low levels of success, continues to be bothersome for both the republic, its youth, as well as the country's economy and business sector as a whole. It is therefore required that entrepreneurs get better equipped, educated, and trained on the critical aspects and success factors necessary to outlast the current day-to-day entrepreneurial struggles. As a result, this article successfully set out and identified a unique pathway thereto, in which a group of highly effective success factors was explored, as well as refined for determined entrepreneurs to implement strategically. Hence, these factors came across as being real determinants of success honed by successful/resilient entrepreneurs in South Africa. The unique combinations between each of the factors addressed, verified, and clearly explained its close relationship with resilience, along with the powering effect of the everlasting internal drivers thereto. Therefore, the results obtained, examples used, and the personal experiences, perspectives, feelings, and beliefs shared throughout the execution of this article, certainly gave direction towards what can, in fact, be accomplished by native entrepreneurs, if a focused and more strategized entrepreneurial approach is adopted.

### **Limitations**

This article, like various other research studies, had some limitations. Although entirely within the recommendations of qualitative IPA research, this article sampled a relatively small number of participants. Considering the small sample selection, it makes the generalization of the results very specific to the particular industry. The article focused on capturing the lived experiences, perceptions, feelings, and beliefs of the participants; therefore, apart from the researchers' interpretation thereof, the results obtained had to be taken and viewed as the truth. Although semi-structured in nature, the majority of the interview questions were strictly focused on getting behind the meaning and effectiveness of the success factors and the specific areas under investigation. As a result, this slightly narrowed the scope thereto, as to remain intact and within the boundaries of the particular research article.

### **Recommendations**

This article certainly highlighted a number of researchable aspects that could be further pursued by those involved in entrepreneurship itself, or within the entrepreneurial training and education field, for example:

- (a) Further expand on the success factors presented, and test the effect and impact thereof consisting of entrepreneurs operating in other entrepreneurial segments or disciplines.
- (b) Further expand on the internal drivers behind each of the success factors presented, through the possible implementation of both qualitative and quantitative measures.
- (c) Further expand entrepreneurial resilience research, specifically on how resilience influence and impacts entrepreneurial approach towards calculated risk-taking.

In association with the above recommendations, it is highly encouraged to effectively train entrepreneurs, educators, policy-makers, and businesses to become more involved in entrepreneurial and business research, in support to strategically address the core problems within South Africa's current entrepreneurial sector. This will not only enhance better self-discovery among practicing entrepreneurs, but also strengthen and improve overall entrepreneurial purpose, whilst discovering and integrating better regulators, that encourages adequate entrepreneurial training and education as a whole.

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**TEAM IDENTIFICATION AND BLACK SOUTH AFRICAN GENERATION Y STUDENTS' PERCEIVED BRAND PERSONALITY OF PREMIER SOCCER LEAGUE TEAMS**

**Nkosinamandla Erasmus Shezi**

University of Johannesburg (Auckland Park Campus), South Africa

Email: nshezi@uj.ac.za

Orcid ID: 0000-0003-3070-8969

**Re-an Müller**

North-West University (Vaal Triangle Campus), South Africa

Email: Rean.muller@nwu.ac.za

Orcid ID: 0000-0002-8830-1080

**Ayesha Lian Bevan-Dye**

North-West University (Vaal Triangle Campus), South Africa

Email: Ayesha.Bevandye@nwu.ac.za OR ayeshabevandye@gmail.com

Orcid ID: 0000-0003-2146-4763

**~Abstract~**

*The Premier Soccer League (PSL) is the professional soccer league in South Africa. This study aims to investigate the team identification and perceived brand personality of PSL teams amongst black African Generation Y students. Team identification is the social identity of a group of fans and their relationship with their favourite sport team. Professional sport teams are treated as managed brands. Team identification could be increased through a unique brand personality. Brand personality is the set of human characteristics assigned to a brand. Brand personality perceptions are important for sport teams to obtain a better understanding of their target market and for sponsorships due to the brand image transfer. Brand personality perception results can facilitate marketing efforts aimed at repositioning the team brand or building on current brand perceptions. This study used a non-probability convenience sample of 435 full-time students from two higher education institutions located in the Gauteng province of South Africa. A self-administered questionnaire was used to gather data regarding student's team identification and brand personality perceptions of PSL teams on a six-point Likert scale. The findings of the study suggested that black African Generation Y students perceive their favourite PSL teams as successful, sophisticated, sincere and rugged. Furthermore, the results indicated that the brand personality dimensions of successfulness and ruggedness are the most correlated with black African Generation Y students' identification with their favourite PSL team. Highly-identified fans benefit the team financially through higher game attendance and sales of team-related merchandise, as well as better sponsorship deals. PSL teams should be aware of the current brand personality perceptions of the team brand as brand personality could improve team identification amongst fans. PSL teams could consider presenting their team brand as more successful and rugged to try to increase the level of team identification amongst black African Generation Y fans.*

**Key Words:** Premier Soccer League, Team identification, Brand personality, black African Generation Y, South Africa.

**JEL Classification:** M31

**1. INTRODUCTION**

Sport is immensely popular amongst South Africans and, in terms of spectator sports, rugby, cricket and soccer are the most supported, with local soccer's fan base primarily being black Africans (Morgan, 2013). The country's top soccer league is the Premier Soccer League (PSL), a professional league that features 16 teams (PSL, 2015a). Professional sport teams are treated as managed brands. Since the growing commercialisation of sport, having a stable fan base has become exceptionally important for a team's competitive advantage (Bauer *et al.*, 2008). Fans with a higher level of team identification are beneficial to the sport team (Fullerton, 2010). As these fans frequently attend games, purchase seasonal tickets and team merchandise (Boyle & Magnusson, 2007), which generates additional revenue for the team.

Teams with highly identified fans are also more likely to attract lucrative sponsorship deals (Gwinner & Swanson, 2003). There are indications that team identification may be increased if the team exhibits a unique brand personality (Carlson, 2009). Braunstein and Ross (2010) emphasise that brand personality perceptions are important for sport teams to obtain a better understanding of their target market. Brand personality of a team is also important for the sponsor due to the brand image transfer through the sponsorship (Smith, 2004). Furthermore, if marketers display a brand personality fans like, the likelihood of gaining more fans and selling more game tickets and team merchandise is also higher. Tsiotsou (2012) indicates that marketers should use brand personality to examine how sport consumers perceive sport team brands. These results can facilitate marketing efforts aimed at repositioning the team brand or building on current perceptions of the brand. Knowing the fans' level of team identification and their perceptions of the team's brand personality may be useful for marketing purposes and brand differentiation against competitors as well as repositioning strategies (Braunstein & Ross, 2010). While the PSL enjoys significant support in South Africa (McLennan, 2019), its ongoing success depends on its ability to maintain and attract the support of the Youth, particularly the black African Youth. In 2019, the Youth were classified as members of Generation Y (individuals born between 1986 and 2005) (Markert, 2004). In South Africa, members of Generation Y accounted for approximately 36 percent of the country's population in 2018, with black Africans making up 85 percent South Africa's Generation Y population (Statistics South Africa, 2018). When targeting Generation Y, marketers are often particularly interested in the university student segment given that a tertiary education is linked to a higher future earning potential, as well as a higher social standing within a community, thereby often resulting in graduates being opinion leaders amongst their peers (Bevan-Dye & Akpojivi, 2016). In light of this, the aim of this study was to determine the extent to which black African Generation Y students identify with their favourite PSL team and the degree to which they associate the brand personality traits of successfulness, sophistication, sincerity and ruggedness with their favourite team.

## 2. LITERATURE REVIEW

The main PSL tournament has expanded after 10 years of existence. In 2006 Telkom Knockout was introduced, then MTN 8 in 2007, the Nedbank Cup in 2008 and the new campaign, Woza Nazo in 2018 (CityVision, 2018; Nedbank, 2015; Ntloko, 2008 & Lerman, 2006). These tournaments provide teams with additional opportunities to win a league if they were not successful in winning the main title of the PSL championship. The PSL showed exceptional growth in terms of variety of tournaments, sponsorship deals, media coverage and spectatorship over the past decade. According to Sport24 (2018), the PSL has increased their annual revenue from R884 million (2017) to R938 million (2018).

This growth leads to a higher demand for PSL games and the PSL decided to increase media channels to accommodate more soccer lovers and partnered with SuperSport (News24, 2011). SuperSport granted some of their rights to the South African Broadcasting Commission (SABC) to reach those spectators without access to Digital Satellite Television (DSTV) (Morgan, 2015). In 2012, PSL increased their media coverage by signing an agreement with eleven SABC radio stations (PSL, 2012). Consequently, the spectators' increased due to better media coverage. During the 2012 season, a record number of 147 million fans attended soccer games (PSL, 2013). However, the match attendance started to decline from the 2013 season (Tomvil, 2014); only derby matches still have high attendance (Bafetane, 2015; Lekgetho, 2014). Since the game attendance has decreased, PSL teams need to do something to attract the fans back into the stadiums. Dhurup *et al.* (2010) suggest that fans with a higher level of team identification are more likely to attend soccer matches; hence, the importance of team identification for PSL teams.

Gundlach *et al.* (2006) define team identification as the extent to which an individual identifies with a particular team and perceives a sense of unity with that team. Team identification is known as a phenomenon associated with sport consumption (Gau *et al.*, 2009). Smith *et al.* (2008) argue that team identification refers to supporters' perceived connectedness to a team and its performance. This is in line with the PSL supporters of Bloemfontein Celtic FC who are always united, passionate and connected to their team, regardless of the outcomes of the game (SABC Sport, 2014). Mofokeng *et al.* (2015) argue that team identification is a

manifestation of the social identity theory within sport consumer behaviour. Social identity theory is the social psychological analysis of the role of self-conception in group membership, group processes and intergroup relations (Burke, 2006). The theory also addresses phenomena such as stereotyping, group personalisation, crowd behaviour and group cohesiveness (Van Zomeren, *et al.*, 2008). Furthermore, social identity refers in part to individuals' self-concept, which derives from their knowledge of their membership of a social group together with the value and emotional significance attached to that membership (Tajfel, 2010). A team may be classified as a group, while a sport fan's sense of oneness with that group would be identified as social identity in the form of team identification (Gundlach, *et al.*, 2006). As such, social identity may also refer to a group of sport supporters' shared interest in their favourite sport team (Know *et al.*, 2007). Team identification reflects members' psychological attachment to a team and their desire to see the team succeed (Pearsall & Venkataramani, 2015; Madrigal & Chen, 2008). Therefore, team identification constitutes a central part of social identity (Fink, *et al.*, 2009). There are major benefits of team identification for both teams and sport fans. Teams benefit financially through team identification by higher game attendance, seasonal ticket purchases and team licenced merchandise sales (Boyle & Magnusson, 2007). According to Know *et al.* (2007), sport consumers with a higher level of team identification are willing to pay a premium price for team licensed merchandise. Kaynak *et al.* (2008) argue that team identification provides symbolic benefits for a fan, such as group acceptance. Mofokeng *et al.* (2015) highlight that team identification may help sport fans to escape from their daily stress. Furthermore, team identification provides fans with positive psychological benefits such as an increase in self-esteem, reduction in depression and decreases alienation (Branscombe & Wann, 1991). Team identification is also positively associated with belonging and meaning in life for the fans (Wann, *et al.*, 2017). Consequently, individuals with a higher level of team identification benefit through better psychological well-being.

The literature highlights several important factors thought to influence fans' identification with their favourite sport teams. These factors include aspects such as team success, the geographical location of a team, star players, group affiliation and brand image of the team (Shojaei *et al.*, 2011; Greenwood *et al.*, 2006; Bauer *et al.*, 2005). Soccer fans are more likely to identify and associate themselves with a winning team and less likely to identify with a team that is losing many games (Shojaei *et al.*, 2011; Wann, 2006). According to Greenwood *et al.* (2006), teams located within an individual's hometown contribute a significant amount towards initial team identification. Consequently, most fans of a team would be based in the same geographical location as the team. Star players are individuals who have an ability to deliver an outstanding performance compared to other players in the team which might increase fan identification with the team (Crema, 2008). Group affiliation is a group membership which indicates that specific people belong to the particular group and this has a great influence on team identification with the group (Tlhabano *et al.*, 2013; Chen, 2007). Soccer fans feel a sense of bonding and affiliation with other fellow fans by associating with a particular team (Chen, 2007). Bauer *et al.* (2005) state that the brand image of a team is a salient contributing factor towards fan identification. In addition, Chakraborty (2014) propose that brand image influences team identification because sport teams strive to set a unique brand image to attract more fans. According to Walsh *et al.* (2012), sport brand image is enhanced by a team's success and results in a higher level of team identification. Similarly, Bauer (2005) highlights that brand image of a sport team is related to fans' level of team identification. Das and Ara (2014) mention that brand image can be developed through a strong brand personality.

Aaker (1997) defines brand personality as "a set of human characteristics assigned to a brand". Many authors accepted Aaker's definition as the most prominent definition of brand personality (Kuma & Nayak, 2014; Tsiotsou, 2012; Valette-Florence *et al.*, 2011). Building a positive brand personality will improve brand preferences and influence purchasing behaviour (Punyatoya, 2012). Brand personality has the ability to distinguish a brand from competitors. Kim and Zhao (2014) highlight that brand personality is an important part of brand image and brand equity because the consumer builds a relationship that leads to brand loyalty. Maciel *et al.* (2013) emphasise that brand personality creates consumer preferences to a specific brand. Companies use brand personality in order to evaluate consumer perceptions of a given brand. For example, brands like BMW are viewed as more sophisticated, upper class and charming,

while Jeep and Hummer are perceived as rugged, outdoorsy and tough (Carlson *et al.*, 2009). This provides evidence that each brand in the market has its own unique personality traits (Lada & Sidin, 2012). Strong brand personality can provide consumers with emotional fulfilment, image enhancement and willingness to remain loyal to the brand (Farhat & Khan, 2011). Furthermore, Sung *et al.* (2009) emphasise that brand personality assists marketers to better understand consumers who express themselves through the brand they purchase. Therefore, companies should use brand personality to understand consumer perceptions regarding their brands. Aaker (1997) was the first author to develop a scale to measure brand personality perceptions. This scale is the most widely used brand personality trait scale but is not always applicable. Braunstein & Ross (2010) as well as Tsotsou (2012) developed brand personality trait scales specifically for sport teams.

### 3. RESEARCH METHODOLOGY

The study was guided by the descriptive research design and used a single cross-sectional sample. Studies pertaining to university students typically include individuals aged between 18 and 24 years (Mofokeng *et al.*, 2015; Bevan-Dye & Akpojivi, 2016). As such, the target population was defined as black African individuals aged between 18 and 24 years, who were registered at South African public higher education institutions (HEIs). The sample was limited to the campuses of two HEIs located in the Gauteng province of South Africa – one a traditional university and the other a university of technology. Fieldworkers distributed 450 questionnaires to students forming part of the specified target population across these two campuses. The measuring scales used included the adapted scales by Swanson *et al.* (2003) to measure team identification and the brand personality trait scale developed by Braunstein and Ross (2010). All scaled responses in the questionnaire were measured using a six-point Likert scale (1= strongly disagree to 6= strongly agree). Data analysis was conducted using IBM's SPSS program.

### 4. RESULTS

Following data collection, 435 usable questionnaires of the 450 distributed were returned; that is, there was a 97 percent response rate. Table 1 outlines a description of the sample.

**Table-1: Sample description**

Age	%	Year of study	%	Gender	%	Province of origin	%
18	7	1st year	33,0	Female	60	Gauteng	51
19	13	2nd year	18,2	Male	40	Limpopo	17
20	18	3rd year	38,0			Free State	12
21	26	4th year	10,2			Mpumalanga	7
22	20	Post graduate	0,2			North West	6
23	14	Not indicated	0,4			KwaZulu Natal	3
24	4					Eastern Cape	2
						Northern Cape	1
						Western Cape	1

As seen in Table 1, the female participants accounted for more than half of the sample (60%), while the average age of the respondents was 21 years. The sample included participants originating from each of South Africa's nine province, with the majority (51%) originating from Gauteng, the province within which the two participating campuses are located. Sample participants were also requested to identify their favourite PSL team, as reported in Table 2.

**Table-2: Favourite PSL team**



Team	Percentage (%)	Ranks
Ajax	.2	5
Kaizer Chiefs	52.9	1
Orlando Pirates	35.9	2
Sundowns	4.8	3
Supersport United	.2	5
Wits	.9	4

The majority of the students identified Kaizer Chiefs (53%) as their favourite PSL team followed by Orlando Pirates (36%) and Mamelodi Sundown's (5%). Other teams also identified included Ajax Cape Town (0.2%), SuperSport United (0.2%) and Bidvest Wits (0.9%). The ranking of their favourite teams is indicated in Table 2. Following on this, the internal-consistency reliability, together with the convergent and discriminant validity of the items within each construct were computed. Malhotra (2010) indicates that Cronbach alpha values above 0.70 indicate acceptable internal consistency reliability, while Clark and Watson (1995) indicate that an average inter-item correlation value between 0.15 and 0.50 suggests convergent and discriminant validity of items constituting a construct. The Cronbach alpha values computed ranged between 0.788 and 0.925, and the average inter-item correlation values between 0.429 and 0.483. This suggests that the each of the constructs in the study exhibit internal-consistency reliability, convergent and discriminant validity.

Thereafter, the descriptive statistics, together with a one-sample t-test, where the expected mean was set at 3.5 were computed, as presented in Table 3.

**Table-3: Descriptive statistics, t-values and p-values**

Construct	Mean	Standard deviation	t-values	p-values
Team identification	3.6731	1.18294	3.052	.002
Successfulness	5.0770	.72051	45.650	.000
Sophistication	5.1252	.69758	48.591	.000
Ruggedness	4.9402	.77706	38.657	.000
Sincerity	4.8816	.76164	37.834	.000

Significant at  $p < 0.01$

The results given in Table 3 suggest that, with the expected mean set at 3.5 on the six-point Likert scale, all means are significantly ( $p \leq 0.01$ ) in the agreement area of the scale. The highest means were recorded for the brand personality dimensions of sophistication (mean = 5.13), successfulness (mean = 5.10), ruggedness (mean = 4.94) and sincerity (mean = 4.88). What should be of concern for PSL team managers is that team identification scored the lowest mean (mean = 3.70), which may indicate waning support for these teams amongst Generation Y.

A matrix of Pearson's Product-Moment correlation coefficients was then constructed to determine Generation Y students' perceived association between the brand personality dimensions and team identification, as reported in Table 4.

**Table-4: Correlation matrix**

Construct	1	2	3	4
Team identification				
Successfulness	.357*			
Sophistication	.314*	.731*		
Ruggedness	.360*	.628*	.720*	
Sincerity	.332*	.544*	.641*	.644*

The results in Table 4 indicate a significant ( $p \leq 0.01$ ) positive relationship between each of the pairs of constructs. In terms of the relationship between the brand personality dimensions and team identification, ruggedness ( $r = 0.366$ ) and successfulness ( $r = 0.357$ ) were the two brand personality traits that Generation mostly associated with their favourite PSL team, followed by sincerity ( $r = 0.332$ ) and sophistication ( $r = 0.314$ ).

## 5. CONCLUSION

The results suggest teams can use their brand personality to influence team identification amongst fans positively. This study suggests a positive relationship between Generation Y students' brand personality perceptions and level of team identification. Furthermore, the study suggested that team identification amongst black African Generation Y students are mostly associated with specific brand personality dimensions, namely successfulness and ruggedness. PSL teams could consider presenting their team brand as more successful and rugged to try to increase the level of team identification among fans. PSL teams should emphasise past successes of the team within their marketing communication. Furthermore, the team should strive to improve the overall team success by ensuring the inclusion of star players and a well-rounded coach. The ruggedness of the team can be enhanced through the players' actions on the field. Players should strive to be bold and tough while playing and not exhibit the notorious "act as if I got hurt" attitude many famous players have. By being more *rugged* and *hard* as a team could lead to higher team identification among fans. These findings may assist PSL teams to understand the brand personality perceptions of PSL teams amongst black African Generation Y fans better. The study also provides some insights for sponsors regarding the brand personality of PSL teams. This information can assist sponsors to determine which team best fit their current or desired brand personality. Sponsoring the relevant team might lead to brand image transfer.

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**EMPLOYEES SATISFACTION MEASUREMENT AT AN UNIVERSITY OF TECHNOLOGY  
IN SOUTH AFRICA**

**Tranos Zuva**

Vaal University of Technology  
Email: tranosz@vut.ac.za

**Pierre Joubert**

Vaal University of Technology  
Email: pierrej@vut.ac.za  
Orcid ID Number: <https://orcid.org/0000-0002-8445-032>

**Malejone Moqhoba**

Vaal University of Technology  
Email: malejone@vut.ac.za

**Joe Modise**

Vaal University of Technology  
Email: joe@vut.ac.za

**Peter Bdc Masombuka**

Vaal University of Technology  
Email: peterm@vut.ac.za

**~Abstract~**

*Organisations require satisfied employees who deliver an effective job performance. Unsatisfied employees perform unsatisfactorily resulting in organisations not achieving desired results. It is therefore imperative for organisations to regularly measure the satisfaction levels of their employees. This paper explores the variables that affect employee satisfaction at a University of Technology (UoT) in South Africa and their relative importance for employees. Recommendations are made for the UoT to maintain and improve the satisfaction level of its employees. A model was used with the following variables: organisation vision, work environment, results feedback and motivation, respect, management systems, and pay and benefits. The variables were measured using a questionnaire. These variables were used to measure the employee-satisfaction levels and are rated in terms of their importance for employees. The geometric mean is used to calculate the satisfaction-index value in order to decide either to maintain or improve the satisfaction levels of the employees. The results indicated that it is possible to create a strategy based on satisfaction measurement to either maintain or improve employee-satisfaction levels in order to assure optimal performance of employees in an organization.*

**Keywords:** Satisfaction model, job performance, unsatisfied employees, employee-satisfaction levels, Motivation, Hygiene factors

**JEL classification:** J53, M12, M54

**Introduction**

Employee satisfaction (JS) plays an integral part in the success of any organisation, including Higher Education Institutions (HEIs). Organisations have, over the years, tried to come up with strategies aimed at retaining their good employees, but have been overlooking JS a determining factor to any staff retention strategies. Mtengezo (2008) indicated that there is a direct link between JS and staff retention and performance. Tang (2006) describes JS as “any combination of psychological, physiological and environmental circumstances that causes a person to say, ‘I am satisfied with my job’”. Best and Thurston (2004) assert that, satisfied employees tend to be more productive, creative and committed to their employers. JS can be regarded as an employee’s emotional reaction to his/her job, emanating from the employee’s comparison of actual and required outcomes (Adolphs & Damasio, 2001). Employees will be satisfied with their jobs if they feel that their individual capacities, experience and values are

accommodated and that their work environment provides opportunities and rewards (Rothmann 2008).

In the late 1900s, employees were seen as a production factor and motivation was linked to financial reward only (Grobler, Warnich, Carell, Elbert & Hatfield 2011). However, as behavioural scientists started moving into the field of motivation research, emphasis was placed on the individual as a unique being with specific needs. Employee satisfaction in the workplace is a stimulating function that every organisation has to ensure in order to reach its organisational goal (Fox 2006). Bowling (2007) confirms that job characteristics such as satisfaction with pay, promotion opportunities, task clarity and colleague and supervisor relationships significantly effect employee JSs. Employee satisfaction has been approached by some researchers from the perspective of need fulfillment (Castillo & Cano 2004; Ambrose, Huston & Norman 2005).

The Herzberg two-factor theory of JS describes satisfaction and dissatisfaction as two separate and sometimes even unrelated phenomena. Intrinsic factors/motivators such as achievement, responsibility, recognition and the work itself act as satisfiers (Fox 2006). Extrinsic/hygiene factors (administration, interpersonal relations, company policy, supervision, working conditions and salary contribute to dissatisfaction. Herzberg's theory forms the base of many studies on the nature and assessment of JS.

For this study, JS is defined "the perception and evaluation of an individual of his/her job." This perception is influenced by the individual's unique values, needs, and expectations. The evaluation of employee satisfaction is therefore highly subjective (Sempene, Rieger & Roodt 2002).

### **Problem statement**

Employees at various UoTs in South Africa face numerous challenges that may negatively affect their satisfaction. Most UoTs do not have sufficient resources such as staff, infrastructure and equipment (Moloi, Mkwanazi, & Bojabotseha, 2014). As a result, most employees at UoTs are overworked and perform their duties under very stressful conditions. Some of the systems and processes in place at most UoTs are inefficient and outdated, which frustrates most employees as they perform their work. Leadership challenges also appear to present numerous problems, as there seems to be a lack of sound leadership in such institutions. As a result, the atmosphere is quite political and polarised, which affects the working environment. It has further been noted that UoTs commonly enrol students from disadvantaged backgrounds who are usually underprepared for university life and who require extensive support from both academic and non-academic staff members (Nzimande, 2012). However, the shortage of important resources to provide this support makes it difficult for staff members to render this support to these students. Overall, poor working conditions, pay and insufficiencies in other human-related aspects of the UoT environments tend to complicate the work of most employees. This necessitates the measurement of satisfaction of employees at UoTs. Knowledge of the level of satisfaction of employees at UoTs enables management to put suitable interventions in place to motivate their subordinates with the expectation that these motivated employees will be able to render an excellent level of service to all stakeholders such as students, staff and external clients.

### **Literature Review**

Parvin and Kabir (2011) found that working conditions are the most important aspect influencing employee satisfaction and proposed that organisations devise ways that escalate employee competence and contribute to their health and welfare. Promotion systems pay, and promotion, job security and safety, loyalty, commitment to the organisation, training and skilling, and employee involvement were found to impact positively on employees' performance and satisfaction. Career advancement and growth coupled to high working loads with little rewards and lack of policy implantation are registered as matters of importance in Higher Education Institutions of South Africa (Liebenberg & Barnes, 2004). These factors are further confirmed by Pienaar & Bester (2009). Apart from the satisfaction of academic staff, Johnstrund (2002) also acknowledges that university administrative staff's morale is affected by conditions of employment, prejudice, heterogeneity, reward, race and gender parities.



Ezenwafor (2013) observed the absence of relevant skills in the supporting staff of the universities has a negative impact on the organisation reaching its mandate and thus hampering employee satisfaction. Employees that have the prospect for training and development and allowed to use the attained skills can meet their targets and as a result become satisfied.

Combining the hygiene and motivator factors can result in some scenarios as indicated in Figure 1. An organisation may have situations where the hygiene factors are either high or low and motivation factors are either high or low. A combination of these factors shows the status of the employees in an organisation.

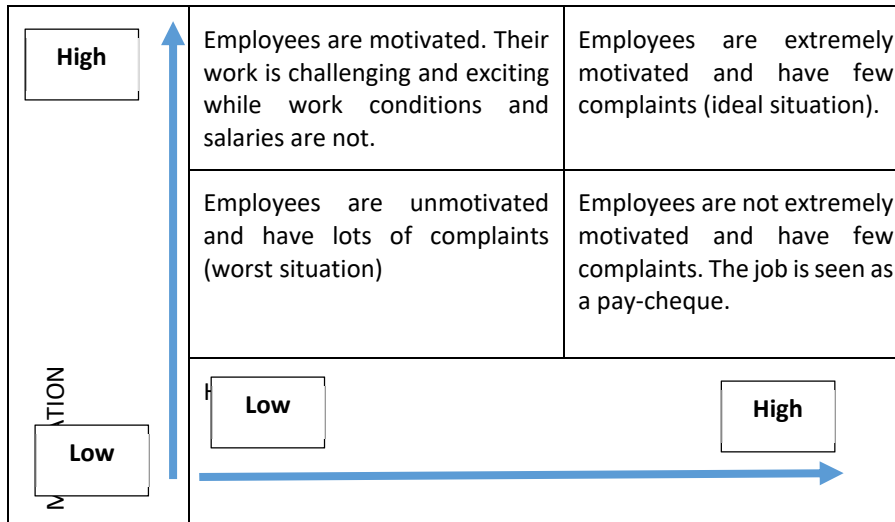


Figure 1: Illustration of scenarios as resultant of combination of the motivation and hygiene factors.

Managers need to eradicate the dissatisfaction by fixing company policies, providing effective, supportive and non-intrusive supervision, creating and supporting the culture of dignity and respect for all staff members, ensuring that salaries are competitive, providing job security and create job status by creating meaningful work for all positions (Tan & Waheed, 2011).

### Methodology

The research methodology relates to how the information in the study was gathered, analysed and reported. It focuses on the process, the tools and procedures used during the research (Zuva & Worku, 2016). In order to meet the objectives of the study, the research framework in Figure 2 is postulated:

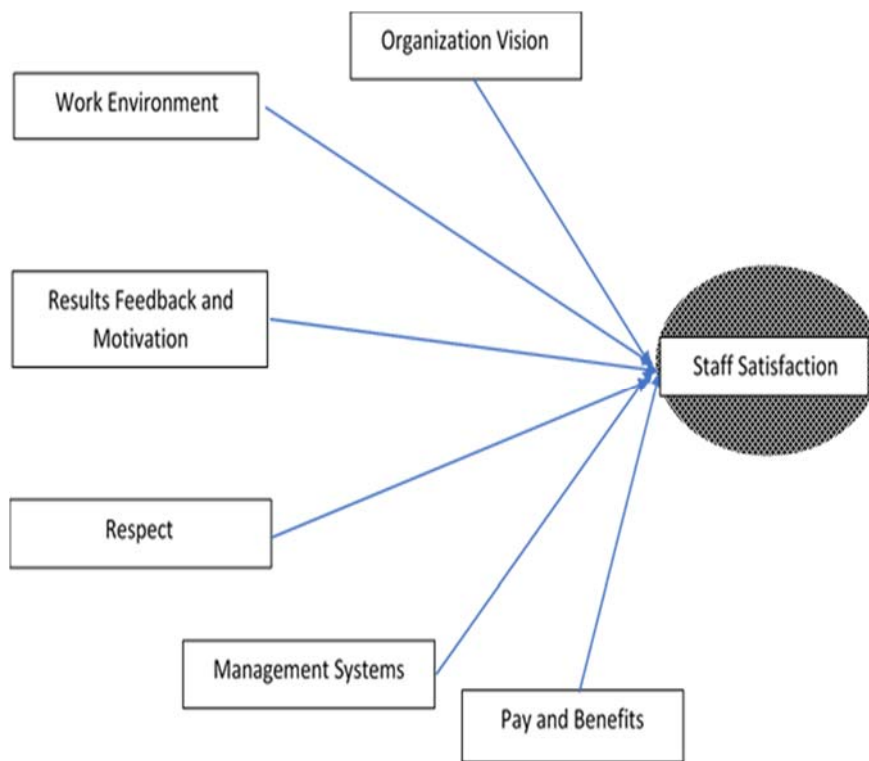


Figure 2: Proposed research model((Shun-Hsing Chen, Yang, Shiau, & Wang, 2006)

The variables in the framework were measured through the use of a questionnaire adopted from Shun-Hsing Chen et al. (2006). A 7-point Likert-type scale was used with one indicating extremely low and seven extremely high. The size of the sample used in the study was one thousand two hundred and thirty (1230) staff members. The reliability and validity of the measurement scale were established. The Cronbach's  $\alpha$  of employee satisfaction and importance variables were all greater than 0.80 thus indicating the reliability and validity of the study. The importance of the variables according to the employees has measured as well as the satisfaction levels of the employees. The levels of satisfaction were measured by means of an arithmetic average as shown in the following equation:

$$Av = \frac{\sum_{i=1}^n x_i}{n}$$

where  $x_i$  indicates the values of the variables.

And the standard deviations of the averages were calculated using the following equation:

$$sd = \sqrt{\frac{1}{n-1} \sum_{i=1}^n (x_i - \bar{x})^2}$$

where:

$n$  = the number of the sample used

$\bar{x}$  = average (or arithmetic mean)

$x_i$  = indicates the values of the variables

In testing whether the variances of the sample's values have a significant difference, we used the F-Test. The hypothesis is that the variances are equal. In that regard; if  $F > F_c$  Critical one-

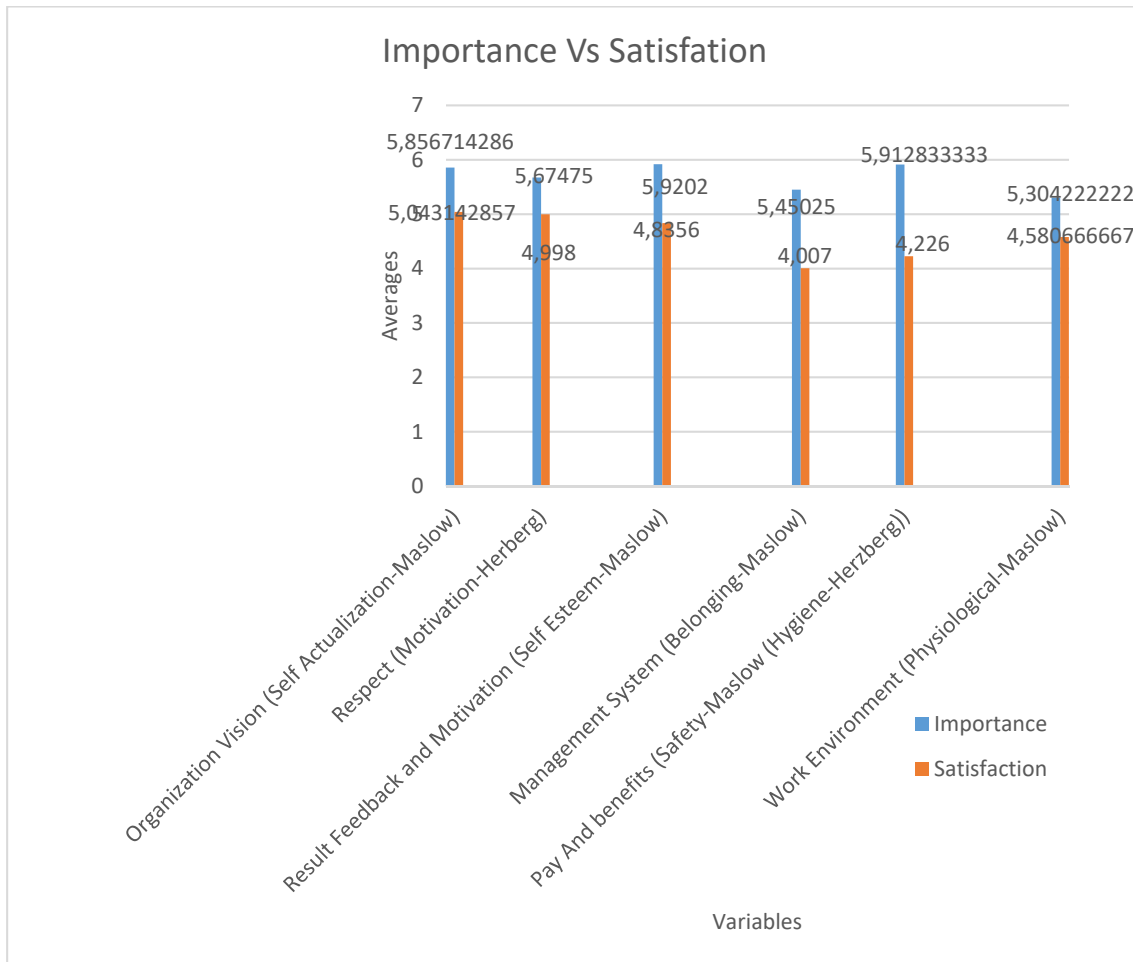
tail, we reject the null hypothesis. The averages were then used for analysis after fulfilling of the significance test.

The satisfaction index of the university was calculated using the geometric mean. The geometric mean is defined as the  $n^{\text{th}}$  root of the product of  $n$  variables (numbers). The formula to calculate a geometric mean is provided in the following equation:

$$\left(\prod_{i=1}^n x_i\right)^{\frac{1}{n}} = \sqrt[n]{x_1 * x_2 * x_3 * \dots * x_n}$$

where  $x_i$  is the value of the variables and  $n$  the number of the variables.

## Results



**Figure 3: Perceived importance of and satisfaction with the variables used to measure satisfaction**

The results show that employees consider organisation vision, result feedback and motivation, pay and benefits as very important to them. Management system and work environment are the two least important variables. In terms of satisfaction, organisation vision, respect and result feedback and motivation scored the highest in terms of employee satisfaction. The three lowest scoring variables for employee satisfaction are management system, pay and benefits and work environment. These three variables should be of concern to the management of the UoT. Figure 4 indicates the difference between importance and satisfaction.

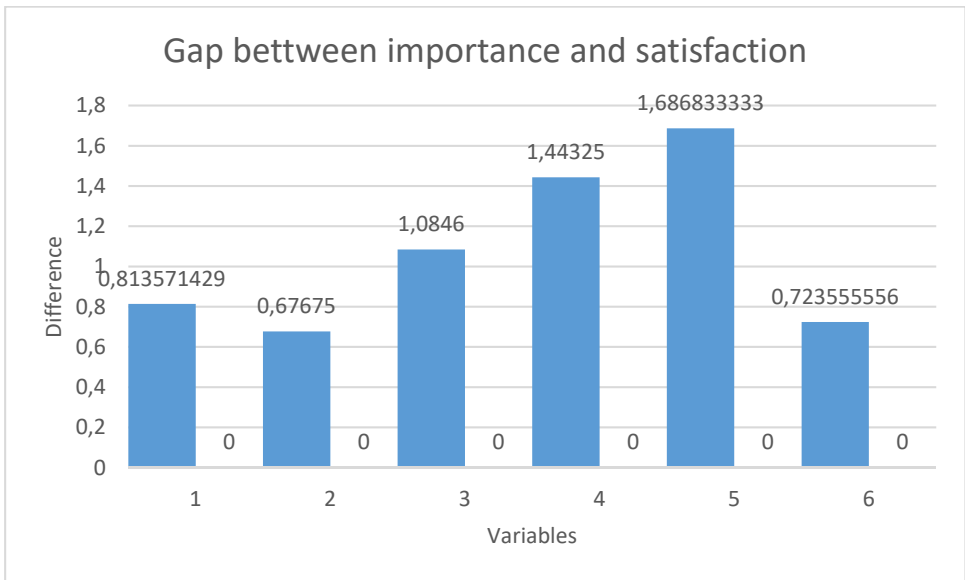


Figure 4: The difference between importance and satisfaction

The gaps in Figure 4 were calculated by subtracting the values for satisfaction from the importance of values. A substantial gap exists with relation to pay and benefits, followed by management systems and results feedback and motivation. It is critical for management to lower the gap between importance and satisfaction.

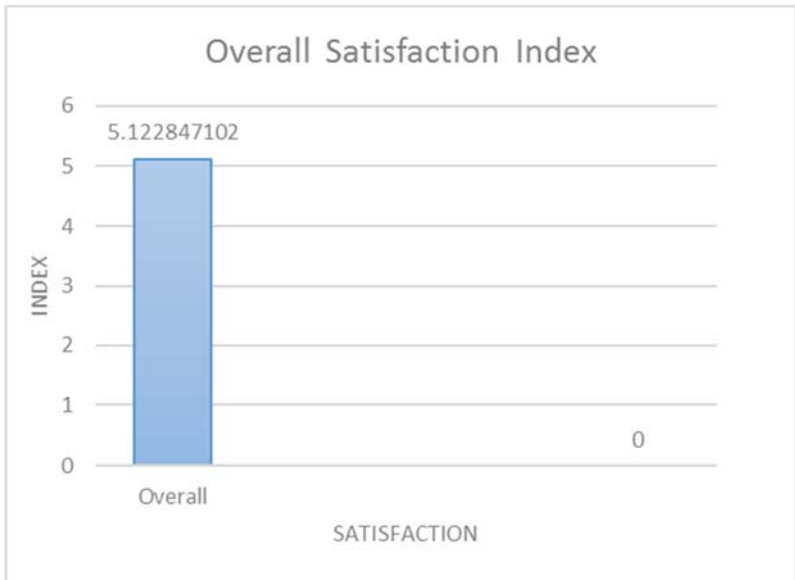


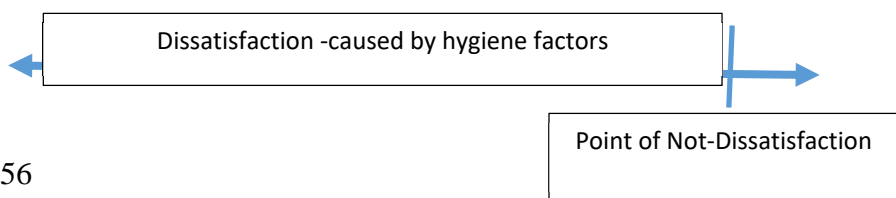
Figure 5: Overall satisfaction index

The overall satisfaction index is 5.12, which is satisfactory when considered in isolation but needs to be interpreted by considering the satisfaction variable index illustrated in Figure 4. When the difference between importance and satisfaction approaches zero, the satisfaction index of the university has reached an acceptable level, as illustrated in the equation below:

$$\lim_{s \rightarrow I} (I - S) \rightarrow 0 \quad 0-1$$

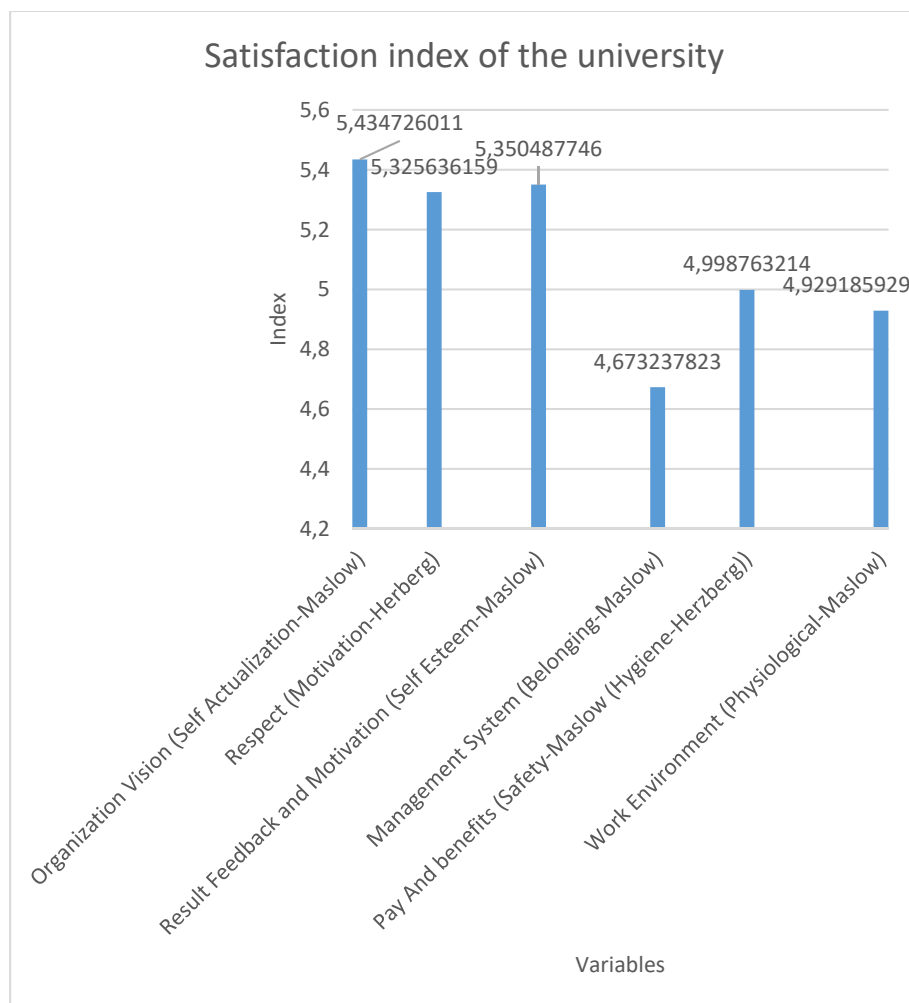
where I = importance and S = satisfaction.

Figure 6 indicates the role of hygiene factors.



**Figure 6: Illustration of the undesirable area caused by hygiene factors**

When the hygiene factors are taken care of, employees reach the point of not-dissatisfaction. At this point, the workers are just working without much motivation. The interventions described below are aimed at moving the employees to the point of not-dissatisfaction where after the satisfaction levels of the employees will be measured again.



**Figure 6: Satisfaction Index in terms of the variables used in this study**

Management should take serious note of those variables that are below the overall satisfaction index, namely management system, pay and benefits and work environment. In order to raise the satisfaction-index, an immediate intervention plan is required that would address the three variables of concern.

**Intervention**

The Value-Based Decision-Making Model was used to rank the satisfaction variables in terms of affordability and that need immediate intervention. Table 1 indicates the cost of implementation (3-low cost, 2-medium and 1-high). The achievability and time-bound (6 months – 1 year) values were evaluated using PAGE (Poor=1, Average=2, Good=3 and Excellent=4) as a whole. The value was calculated using the product of ranked variables in Table 1 and the achievable and time bound values.

Table 1: Affordability and achievability of interventions

Variables	Ranked based on affordability	Achievable and time bound	Decision score

Management system	3	E=4	12
Pay and benefits	1	P=1	1
Work environment	2	E=4	8

In order to address the management system, the management of the UoT should ensure that university policies are fair and clear, that flexible working hours are introduced and that employees enjoy job security.

Improving the work environment variable entails updating and maintaining work equipment and making the university a safe, clean and hygienic place. This variable requires more resources than the previous variable and entails a change of culture that will take a little longer for the changes to be noticeable. Changes should be evaluated on a six-monthly period.

The pay or salary structure should be appropriate and reasonable. It must be equal and competitive to those in the same industry in the same domain. Council, Vice-Chancellor, Unions and Human Resources department are responsible for this variable.

### Recommendations

The following recommendations are made to improve the satisfaction levels of the employees at the UoT:

- The management should investigate options to meet the salary expectations of workers.
- A retention strategy should be developed that highlights commitment and JS. This can be achieved by developing and implementing human resource policies such as career planning, training, advancement opportunities, remuneration and employee participation.
- Conduct formal assessments of JS of employees during their probationary period. This will provide information to analyse and modify HR practices to improve deficiencies that might affect the perceptions of employees of their JS.
- Pay special attention to recruitment, benefits and compensation, evaluation and supervision, tenure and age in order to improve the JS of employees.
- An organisational environment should be established to make employees feel that they are valued, and that support is provided to realise their potential by participating in the development of strategies, structures and processes for improving the effectiveness of the UoT.
- In order to motivate employees, culturally appropriate processes, activities and incentives should be introduced.

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**HIGHER EDUCATION TRENDS, SOUTH AFRICA'S POLICY LANDSCAPE AND TRANSFORMATION: PRACTICE AND EXPERIENCES FROM THE UNIVERSITY OF LIMPOPO**

**Tlou Ramoroka**

University of Limpopo

9mail: Millicent.ramoroka@ul.ac.za

Orcid ID: <https://orcid.org/0000-0002-2881-5020>

**~Abstract~**

*The global trends such as globalisation, internationalisation, marketisation and massification, among others, have changed South Africa's higher education landscape. Both national and institutional policies in the country's higher education, are clearly, a direct response to these global trends. The purpose of this paper is to theoretically discuss how South Africa's higher education policy landscape (both government and institutional) responds to global and local trends in higher education. A descriptive research approach has been adopted in the paper wherein the University of Limpopo has been purposively chosen as a case of analysis. The University of Limpopo, among other South African institutions of higher learning, has developed and adopted policies that directly respond to various global trends. The paper concludes that although South Africa's higher education seems to be responding positively to the global trends, there are still inequalities between students and academics as well as institutional challenges related to infrastructure, high demands for admissions as well as the postgraduate research backlogs. However, drawing from the University of Limpopo experiences, the trends have to some extent, enhanced the transformation of the higher education.*

**Key Words:** Higher Education, Global Trends, Policy Landscape, South Africa, University of Limpopo

**JEL Classification:** O1 (O19); O2 (O24)

**1. INTRODUCTION**

The global higher education sector has since experienced significant shifts in form and identity over time (Altbach, 2010, 2011; Tshotsho, 2013; Casidy, 2014; Singh, 2015; Ferreira-Meyers and Horne, 2017; Mok & Jiang, 2018). That is, higher education's identity and purpose has been subjected to radical shifts in emphasis as a result of various global trends in this sector. Massification, had major impacts on South Africa's higher education from the late twentieth century by giving a large number of people access to education than it used to be (Casidy, 2014; Mok & Jiang, 2018). However, due to marketisation, there are still inequalities and economic gaps between the rich and the poor wherein the rich have more choices and access to higher education than the poor as a result of economic affordability (Casidy, 2014; Mok & Jiang, 2018). The character of higher education has also changed with current emphasis being on the development of skills useful for economic advancement, participation in the knowledge economy and currently, fourth industrial revolution. Globalisation, internationalisation and marketisation have shaped the higher education rapidly in multiple ways. The development and adoption of information technology in higher education, the use of English as the main medium of communication as well as admission of students across international borders, have changed the higher education landscape (Altbach, 2010, 2011; Tshotsho, 2013; Casidy, 2014; Singh, 2015; Ferreira-Meyers and Horne, 2017; Mok & Jiang, 2018). Internationalisation through the movement of large numbers of academics and students to different institutions is one of the results of globalisation and marketisation of higher education (Casidy, 2014; Mok & Jiang, 2018). Academisation wherein research universities exchange academics, students and form research collaborations, is more possible than before (Mok & Jiang, 2018). As a response to these global trends, South Africa's higher education system also has to organise themselves in ways that will align to the principles of globalisation, internationalisation, massification, marketisation as well as academisation, among other trends.

To achieve the objectives of this paper, descriptive research design is adopted. The paper relies on desktop research and used existing data from various databases on theoretical discussions about how South Africa's higher education policy landscape (both government and university) responds to global and local trends in higher education. Descriptive research design was used to draw from the collective strengths of scholarship synthesis and content analysis. For this reason, a combination of scholarship analysis and content analysis was appropriate for collection and analysis of relevant data. Purposive sampling design was used to select the national and institutional policies which will be used for analysis purposes in order to critically engage with the contemporary literature on higher education global trends and South Africa's response towards the trends such as globalisation, internationalisation, massification, marketisation as well as academisation.

It is against this background that the purpose of this paper is to theoretically discuss how South Africa's higher education policy landscape (both government and university) responds to global and local trends in higher education. Furthermore, the paper will draw on practical experience to explain whether the efforts might impede or enhance the transformation of higher education in the country. The paper is presented in five sections including this introduction and the conclusion. The second section discusses the higher education global and local trends, respectively. The third section discusses South Africa's higher education policies which were developed as a response to the trends. In the fourth section, practical experiences are drawn from analyses of the policies of the University of Limpopo which are in line with the global and local trends in higher education. The last section concludes that although South Africa's higher education system seems to be responding positively to the global and local trends, there are still inequalities between students and academics as well as institutional challenges related to infrastructure, high demands for admissions as well as the postgraduate research backlogs. Therefore, drawing from the University of Limpopo experiences, the trends have to some extent, enhanced the transformation of higher education and of course, accompanied with challenges.

## **2. GLOBAL AND LOCAL TRENDS IN HIGHER EDUCATION**

This section discusses the global and local trends respectively, in order to provide an understanding of the emergence of South Africa's higher education policy landscape. The local trends which are discussed, are responding to the global trends identified and discussed in the following sub-sections.

### **2.1. Higher Education Global Trends: Neo-liberalism/Marketization, Globalization, Internationalisation and Academisation**

Over the years, in particular from the 1960's, a new era emerged in which the role and existence of universities was rethought. The role involved more than just knowledge transfer and generation as such conceptions could not adequately accommodate contemporary industry and market, giving rise to various trends such as Neo-liberalism/Marketisation, Globalisation, Internationalisation and Academisation (Altbach, 2010, 2011). The neo-liberal politics led to the marketisation of universities by assuming that the market has the potential to replace the democratic state (Altbach, 2010, 2011). Additionally, the global economic recessions and reduced government funding experienced by many countries have further deepened the competitions within the higher education sector (Altbach, 2010, 2011; Casidy, 2014; Mok & Jiang, 2018). Increasing student mobility, the growing and attractiveness of institutional alternatives, and the geographical vicinity between universities have also perpetuated the need for higher learning institutions to adopt a market orientation approach (Casidy, 2014; Mok & Jiang, 2018). Therefore, marketisation of higher education is described as "change from a previously relatively autonomous academic organisation to one based on business ideals" (Anne-Charlotte, Malin, Sandra and Claes, 2013: 1306). In this case, the consumer who is the student, is perceived as a willing buyer who is well resourced and also capable of making market-led choices (Lynch, 2006; Jowi, 2012; Anne-Charlotte et al., 2013; Casidy, 2014). As a result of increased competition for customers within the higher education, institutions of higher learning are becoming more customer-oriented which requires them to resort to the implementation of "integrated marketing approaches" which are meant to attract new students (Casidy, 2014). Therefore, individual students are responsible for their own well-being instead of relying on the state (Rutherford, 2005). Neo-liberal views education as one of

the services that are delivered through the market to citizens that can afford. Although the rationale is to provide people with choices, evidence suggests that in economically unequal societies, only the rich have the opportunity to make choices whereas the poor do not have that opportunity (Lynch, 2006; Anne-Charlotte et al., 2013; Casidy, 2014). The poor seem to be excluded from an education system which its access is dependent on and determined by their affordability and economic status.

Worldwide, globalisation and internationalisation are currently, the main drivers of change within the higher education environments (Altbach, 2010, 2011; Iatagan, 2015; Popescu, 2015; Tanhueco-Nepomuceno, 2019). Globalisation is defined as “the broad economic, technological, and scientific trends that directly affect higher education and are largely inevitable” in which “politics and culture are also part of the new global realities” (Altbach, 2010: 6). Accordingly, the phenomena includes the adoption of information technology in its various forms for teaching, learning and development purposes, the use of a common language for scientific academic communication which is mostly English, and massive demands for higher education known as massification as well as the labour market that requires highly educated force (Altbach, 2010, 2011; Mok & Jiang, 2018; Tanhueco-Nepomuceno, 2019). Various governments and higher learning institutions are implementing different policies and programs as a response to globalisation which some include students and lecturers international exchange programmes, opening of branch campus overseas as well as establishing inter-institutional partnership (Popescu, 2015; Tanhueco-Nepomuceno, 2019). Globalisation has also resulted in increase in the demand for higher education, a situation which is currently faced by all countries (Iatagan, 2015; Popescu, 2015; Tanhueco-Nepomuceno, 2019). Demand for admissions within the institutions keeps on increasing, where students of diverse racial and ethnic groups as well as age, enrol in higher education institutions to be trained in various fields of study forms through modern educational programs and technology (Iatagan, 2015; Tanhueco-Nepomuceno, 2019). In addition to globalisation, the higher education systems are currently influenced by knowledge economy and fourth industrial revolution which determines the curriculum and pedagogical methods. Therefore, most institutions rely on information technology to deliver the technologically heavy content which hopes to produce the labour force that can compete in the knowledge economy and fourth industrial revolution for national development.

Whereas, internationalisation “includes specific policies and programmes undertaken by governments, academic systems and institutions, and even individual departments or institutions to cope with or exploit globalisation. Internationalisation describes the voluntary and perhaps creative ways of coping” (Altbach, 2010: 6). In addition, Knight (2004) as cited in Jowi (2012: 154) views internationalisation as “the process of integrating the international, intercultural or global dimension into the purpose, functions or delivery of post-secondary education”. This definition assumes that policies within national governments and institutions of higher education to realise benefits associated with internationalisation, must be developed and implemented to integrate the international dimensions and standards into their higher education systems. The phenomenon is vigorous and covers three fundamental functions of higher education which include teaching, research and community engagement (Altbach, 2010, 2011; Iatagan, 2015; Tanhueco-Nepomuceno, 2019). In cases of new environments which are a result of globalization, institutions and governments have to come up with strategies on how the new environments will be approached and adapted.

The emergence of the increasingly competitive knowledge economy, fourth industrial revolution, and marketization of the higher education, has also been important to African universities (Jowi, 2012). These universities have participated in internationalization processes and activities through international community boards of institutions for research, capacity building as well as specialised mentorship and training (Altbach, 2010, 2011; Iatagan, 2015). In addition to the adaptation, application and implementation of globalisation’s higher education strategies, African universities have been partnering with other international institutions for research, training and capacity building (Jowi, 2012). That is, countries must have the capacity to develop and implement appropriate policies and strategies for internationalisation which will enable institutions of higher learning to meet the required standards, structure and needs that are custom-made for their environments (Iatagan, 2015; Tanhueco-Nepomuceno, 2019). An important factor in this process is the institutional flexibility

and capacity to adapt to the changing of national and international partners as well as needs. Although many countries responded positively to these demands, they are still faced with extensive challenges associated with national security and political realities, restricting government policies, high costs of studies; extensive reliance on domestic capacity; adoption of English as a medium of communication and instruction; internationalized curriculum as well as E-learning (Tanhueco-Nepomuceno, 2019).

In addition to the other global trends, academisation has also been witnessed in higher education wherein many professional programmes which were alternative to university studies have become an integral part of higher education (Wilson, Kennan, Willard & Boell, 2010; Anne-Charlotte et al., 2013; Rösner, 2013). "A result of academisation was a consequence of the decision in 1977 to include all post-secondary education into the system of higher education in Sweden, Fransson (2009) believes a conflict was created between the standards relating to the practice of the professions and those of the conventional university" (Anne-Charlotte et al., 2013: 1307). Accordingly, diversification in the higher education is ensured by linking various academic professions and not treating each as a single activity without shared experiences (Wilson et al., 2010; Rösner, 2013). With its demands for stronger links between research and teaching, academisation have forced vocational programmes such as nursing and teaching, among others, to change their focus from being dominantly practical to more involvements in research (Wilson et al., 2010; Anne-Charlotte et al., 2013; Rösner, 2013). Furthermore, academisation have resulted in drastic changes in the composition of academic staff members within universities wherein academics are supposed to have doctoral degrees (Altbach, 2010, 2011; Wilson et al., 2010; Anne-Charlotte et al., 2013). In South African universities, research which is integrated as part of learning in most of the programmes. Higher education institutions are regarded as research engines which makes them academic institutions instead of just teaching and learning institutions. The next subsection discusses South Africa's higher education trends, referred to as local trends, which are responses from the global trends.

## **2.2. South Africa's Higher Education Trends**

In South Africa, there is massive acceptance of globalisation and internationalisation trends within the higher education in addition to the popular recruitment of international students, opening of campus branches in other countries as well as research collaborations (Tshotsho, 2013; Singh, 2015; Ferreira-Meyers and Horne, 2017). Development of various strategies to advance and manage globalization and international trends are increasingly taking place at the national and regional levels as well as within South Africa's individual universities (Singh, 2015). The trends have resulted in rapid massification which in turn perpetuated many countries inclusive of South Africa, to improve their quality of higher education (Tshotsho, 2013; Singh, Ferreira-Meyers and Horne, 2017). That is, the provision of quality teaching and learning, research as well as community engagement through globally and internationally recognised higher education sector, will in turn results in the production of graduates with appropriate skills needed by local, regional as well as international employers. For a country like South Africa which is faced with students putting pressure on higher education system to assist them in securing good jobs; trends such as globalisation, internationalisation, marketisation as well as academisation have become priorities of government and institutions of higher learning (Tshotsho, 2013; Singh, 2015; Ferreira-Meyers and Horne, 2017). Therefore, South Africa's government together with institutions of higher learning are striving to be relevant and responsive to global and international societal needs.

However, more emphasis is put on research partnerships and outputs as well as expanding accessibility of higher education to the global communities (Singh, 2015). In most cases, especially in African countries like South Africa, the challenges and barriers in higher education are mostly associated with the use of English, which is the common language adopted for teaching, learning and research purposes (Tshotsho, 2013; Singh, 2015; Ferreira-Meyers and Horne, 2017). Apparently, the use of English limits the acquisition of knowledge and skills as well as the ability to innovatively and creatively apply the conceptual knowledge to real-life problems (Tshotsho, 2013; Ferreira-Meyers and Horne, 2017). Evidently, the employability of African universities graduates is another big challenge within the labour market as employers across the region mostly complain of lack of basic, technical and

transferable skills which seem to be, in most cases, a result of language barriers (Singh, 2015). As employers doubt the work-readiness of graduates, then high unemployment rates become a problem in African countries including South Africa. However, the adoption of English in the country continues to be a common strategy of attracting international students and increasing research partnerships with international institutions as part of marketisation, globalisation, internationalisation, massification as well as academisation. Additionally, uneven and poor quality teaching which is a result of underqualified staff, large class sizes, and outdated teaching methods, are also held responsible for challenges in the higher education.

### **3. SOUTH AFRICA'S HIGHER EDUCATION POLICY LANDSCAPE: RESPONSE TO GLOBAL AND LOCAL TRENDS**

For the purpose of this paper, two policies will be reviewed, namely; the Language Policy for Higher Education (Republic of South Africa (RSA), 2018) as well as the Policy and Procedures for Measurement of Research Output of Public Higher Education Institutions (RSA, 2003) in the following subsections.

#### **3.1. The Language Policy for Higher Education (RSA, 2018)**

Language continues to be one of the key barriers for students to succeed in higher education in South Africa. The barrier is due to the fact that indigenous official languages are not afforded the official space to function as academic and scientific languages in higher education for the majority of Black South Africans (Tshotsho, 2013; Singh, 2015; Council on Higher Education (CHE), 2016; Ferreira-Meyers and Horne, 2017). The majority of students entering higher education are not fully proficient in the present dominant languages of teaching and learning in higher education and as a result, they find it difficult to excel in their studies (Tshotsho, 2013; Ferreira-Meyers and Horne, 2017). Regardless of the fact that South Africa's higher education system has witnessed a rapid increase in linguistic and cultural diversity in reference to student population, English and in some cases Afrikaans, are still the dominant languages in the sector (CHE, 2016). Therefore, students who are admitted within the country's institutions of higher learning, whom English and/or Afrikaans are not their mother tongue, are forced to be multilingual to succeed in the system (CHE, 2016; RSA, 2018). The country's higher education system is faced with a challenge of ensuring that the existing languages of offering do not serve as barriers to student access and success of the system.

To address issues of language within the higher education, the government has developed the Language Policy for Higher Education (RSA, 2018). The development of this policy was guided by a number of legislations and policies which include: The Constitution of the Republic of South Africa (RSA, 1996); the Higher Education Act No. 101 of 1997 as amended (RSA, 1997); the National Plan for Higher Education (RSA, 2001); the White Paper on Post-School Education and Training (RSA, 2012); and the National Language Policy Framework (RSA, 2003); as well as the Use of Official Languages Act No. 12 of 2012 (RSA, 2012). According to the Language Policy for Higher Education, its purpose is to "guide higher education institutions to evolve relevant strategies, policies, implementation plans for strengthening indigenous official languages of South Africa as languages of teaching, learning, research, innovation and science; provide for the development, implementation, monitoring and evaluation of institutional language policies; and, ensure transformation in higher education through enhancing the status and roles of previously marginalised languages to foster institutional inclusivity and social cohesion" (RSA, 2018: 13).

Therefore, the policy seeks to address the language or languages of learning (medium or mediums of instruction) as well as communication in higher education institutions, not forgetting the fundamental right of persons to receive education in the official language or languages of their choice in public educational institutions. Where it is reasonably practicable to do so, and the duty of the state to ensure effective access to and implementation of this right (section 29(2) of the Constitution). Additionally, the policy addresses the role of higher education in promoting, and creating conditions for the development of, all South African languages, including the official languages, the Khoi, Nama and San languages, and Sign Language, and in elevating the status and advancing the use of the indigenous languages of our people. And finally, to address the role of higher education in preparing sufficient language teachers, interpreters, translators and other language practitioners, to serve the needs of our

multilingual society (RSA, 2018: 14). Seemingly, most students who are not studying in their mother tongue usually have their voices silenced and the higher education, with its language requirements, may seem to be an intimidating environment. Although language issues within higher education are addressed in a number of policies and legislations such as the South African Constitution and Language Policy for Higher Education, among others, there has not been much progress in developing local indigenous languages for teaching, learning and research purposes. The lack of progress is however, in line with the preferred language for globalization and internationalization purposes. The adoption of English has direct and positive implications towards the transformation of higher education from globalisation, internationalisation, marketisation, academisation as well as massification perspectives. The choice of the language attracts and retains diversified students as well as research associates in huge numbers into the South African higher education system, both within the country and internationally.

### **3.2. The Policy and Procedures for Measurement of Research Output of Public Higher Education Institutions (RSA, 2003)**

Higher education institutions are the generators, custodians, transmitters and appliers of knowledge which is associated with teaching and learning, community engagement and more emphasis on research (Tshotsho, 2013; Singh, 2015; CHE, 2016; Ferreira-Meyers and Horne, 2017). As part of the global trends, the focus has always been to encourage the collaboration of research activities with partners within and between institutions both at local and international platforms (CHE, 2016). Ideally, strategies that are adopted in various institutions to encourage research activities include, among others, admissions of postgraduate students in research qualifications, access to grants mainly through government agencies as well as capacity development for academics (Tshotsho, 2013; Singh, 2015; CHE, 2016; Ferreira-Meyers and Horne, 2017). Higher education policy and funding are also aligned with productivity in research. To support the higher education research, there has been a number of interventions by the Department of Science and Technology (DST) which are administered by the National Research Foundation (NRF). The initiatives have further resulted in the emergence of a variety of national research facilities that provides institutions of higher learning with opportunities and conducive environments to conduct research (CHE, 2016). Additionally, promotions and academic recognition are based on one's research productivity to encourage the culture of research within various institutions of higher education (Tshotsho, 2013; Ferreira-Meyers and Horne, 2017).

Accordingly, the development of the Policy and Procedures for Measurement of Research Output of Public Higher Education Institutions, was driven by the transformation initiatives of the higher education which are contained in the White Paper 3, a Programme for the Transformation of Higher Education (RSA, 1997) and the National Plan for Higher Education (RSA, 2001). The transformation was meant to align South Africa's higher education system with globalisation, internationalisation, marketisation, massification as well as academisation global trends. The purpose of this policy is to "encourage research productivity by rewarding quality research output at public higher education institutions. However, the policy is not intended to measure all output, but to enhance productivity by recognising the major types of research output produced by higher education institutions and further use appropriate proxies to determine the quality of such output" (RSA, 2003: 3). The emphasis of the policy on research outputs has been used as a strategy to encourage academics to give attention to the area which has been effective for South Africa's higher education to align to the global trends. The growth in the country's peer-reviewed, accredited and subsidy earning research outputs is a clear confirmation of the effectiveness of the strategy. However, the adoption of the global trends for transformation of South Africa's higher education, has its own adverse effects. The research gains within South Africa's higher education across institutions as well as the demographic spectrum, are unequal. Given the increasing pressures on academics to increase research outputs as well as graduation rates, supervision capacity has been put under pressure. These, and other institutional challenges are the unintended consequences of adhering to the global trends.

#### 4. ALIGNING TO LOCAL AND GLOBAL TRENDS: EXPERIENCES FROM THE UNIVERSITY OF LIMPOPO POLICY LANDSCAPE

The University of Limpopo (UL) Language Policy is grounded on the guidelines provided by the Constitution of the Republic of South Africa (1996), Department of Education's Language Policy for Higher Education (2002), the Ministerial Committee's Report to the Minister of Education on The Development of Indigenous African Languages as Mediums of Instruction in Higher Education (2005) and conference on Language Policy and Implementation in Higher Education Institutions (2006) (UL, n.d.(a)). The aims of the policy are to:

*“uphold the legislative provision of multilingualism as defined and laid-out on the above mentioned policies, legislation and platforms; ensure parity and to promote the equitable use of English, Sesotho sa Leboa, Xitsonga, Tshivenda, Setswana, isiNdebele and Afrikaans as the main languages in the University's hinterland; facilitate access to knowledge, information and service on and off campus through the promotion, research, teaching and learning of these official languages in the Province, and in South Africa as a whole; initiate and sustain redress measures for previously marginalised minority African languages, namely, Xitsonga, Tshivenda and isiNdebele; encourage research and publications in multilingualism as a learning area and to promote the learning and use of indigenous languages in the Province; and, recognise and respect all other languages occurring on campus”* (UL, n.d.(a): 3).

To operationalise the aims of the University's Language Policy, the following issues must be considered: “Academic staff should be encouraged to acquire at least one indigenous language of the Province over and above English or Afrikaans; The University must establish a Senate/University Language Committee to deal with language matters; Appointment of staff must be linked to the University language policy; and, the University must establish a Centre for Language Services. The Centre will cater for the University as a whole rendering services such as translation of textbooks, tutorials, notes, question papers, and editing” (UL, n.d.(a): 7). However, taking into account the University of Limpopo's vision and mission, geographical location, student population and the national situation, English will remain the medium of instruction in the majority of academic programmes because of the language's local and international relevance. Additionally, “English and either Sesotho sa Leboa or Tshivenda or Xitsonga will be used as mediums of instruction in bilingual and multilingual academic programmes such as Contemporary English Language Studies and Multilingual Studies, and Translation Studies and Linguistics. English and either Sesotho sa Leboa or Tshivenda or Xitsonga will also be used as mediums of instruction in Language Education. In the case where Language Education courses consist of African languages only, then the applicable African language(s) will serve as mediums of instruction” (UL, n.d.(a): 6).

In addition to the Language Policy, UL has developed a research and postgraduate supervision policy as a response to the local and global trends. In this policy, the procedures for research and postgraduate supervision applies to research programmes (degrees) at the University which include Master's by full dissertation and Doctoral studies, and also to the research components of coursework Master's programmes (UL, n.d.b). Accordingly, the policy and guidelines for postgraduate supervision “has implications for policy development, and the establishment of structures for research implementation and monitoring, and is applicable to institutional, faculty, schools, departmental and postgraduate programmes levels” (UL, n.d.b: 4). Institutionally, the policy is aligned to institutional policy and planning for quality assurance of postgraduate qualifications as well as to control and advance the procedures associated with postgraduate research and supervision. At programme level, the policy is directly linked to specific postgraduate research programmes, especially those whose quality depends on the professionalism of specified supervisors, students' qualities, and the more precise research capacity, regulations, facilities and procedures provided by departments, schools and faculties. Furthermore, the policy outlines issues around postgraduate admissions which are aligned with the Higher Education Qualifications Framework; approval of research projects, rights and responsibilities as well as support of the student and the supervisor; and, research funding, among others. That is, the policy addresses broader issues on postgraduate research and supervision which align with the national Policy and Procedures for Measurement of Research Output of Public Higher Education Institutions (RSA, 2003).

UL as an institution, strives to align itself with globalisation, internationalisation, marketisation, massification as well as academisation global trends for development and transformation purposes by following specifications of the national policies. Both the UL Language Policy and Limpopo Policy on Postgraduate Supervision and Research are aligned to policies at national level which also responds to the global and international requirements of language and research. Like many countries, English has been adopted as the medium of instruction in the country except in some cases such as Linguistic and Translation Studies, among other. The UL policies confirm that the university is in support of the global trends within higher education.

## 5. CONCLUSION

The paper discussed higher education global and local trends and how South Africa's government as well as institutional policies responds to the trends. Experiences in terms of institutional policies from the University of Limpopo were used to draw inferences of the paper. The paper concludes that although South Africa's high education seem to be responding positively to the global and local trends, there are still inequalities between students and academics as well as institutional challenges related to infrastructure, high demands for admissions as well as the postgraduate research backlogs. Therefore, drawing from the University of Limpopo experiences, the trends have to some extent, enhanced the transformation of the higher education although issues of language are still a challenge in the sector. The paper recommends that, current institutional challenges associated with global trends such as high admissions of students, lack of infrastructure, pressure in postgraduate supervision and more focus on research must be resolved in line with the interests of each institution.

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## DETERMINING A WORKLOAD FOR THE LAB TECHNICIANS IN A SOUTH AFRICAN UNIVERSITY

**Bethuel Sibongiseni Ngcamu**

Walter Sisulu University  
Buffalo City Campus  
Governance and Management department  
Email: [Bngcamu@wsu.ac.za](mailto:Bngcamu@wsu.ac.za)  
Orcid ID: <https://orcid.org/0000-0002-1507-7583>

**Regina Stofile**

Walter Sisulu University  
Buffalo City Campus  
Governance and Management department  
Email: [rstofile@wsu.ac.za](mailto:rstofile@wsu.ac.za)  
Orcid ID: <https://orcid.org/0000-0003-0986-3948>

### ~Abstract~

*Universities are a linchpin of the South African economy and society, which impacts directly on the development of skills and competencies, increasing the productivity of the workforce. However, universities in South Africa have accumulated a personnel budget due to the large number of ill-informed, created and filled positions without scientifically proven productivity and workload measurement tools. This has contributed to employees having a reduced workload and being under-utilised, which have exacerbated the culture of poor performance, non-accountability, ineffectiveness, inefficiency and fruitless and wasteful expenditure. This study aims to determine the productivity levels of employees by using Work-Study techniques to determine staff workload for the Lab Technicians and the need for the creation of the new positions. This study employed a Work-Study methodology of work-measurement technique of time management to determine the workload of the Laboratory Technicians as per Section 11 of the Basic Conditions of Employment Act (BCEA) of 57 of 1997 and qualitative purposive in-depth interviews conducted with the Faculty Dean, five HoDs, four Lab Technicians and three Lab Assistants of the sampled staff members. The findings revealed an average of 65 percent of the total workload, meaning that the existing Lab Technicians were not fully utilised. This low workload percentage was corroborated by the qualitative findings of the unavailability of the practical guides or receiving them at short-notice, unavailability of lecturers during practical sessions to reinforce theory, failure to operate newly purchased machines and absence of the experimental farms contributed to the Lab Technicians being under-utilised.*

**Key Words:** *Lab Technicians, Productivity, Time-study, Work-study, work-measurement*

**JEL Classification:** 123

### 1. INTRODUCTION

The disturbing levels of South African employees' performance and lack of accountability in universities is associated with the fact that productivity is not part of the conversation as faculties claim that teaching and research are too subjective, and student needs are varied and academic work too sophisticated for analysis that focusses on productivity. Massy & Archer (2018) opine that productivity in the use of resources is a key element of performance and its measurement is essential for accountability. The research study performed by Massy & Archer (2018) at American universities focussing on productivity, claim that quality standards cannot be compromised as a result of the productivity measurement application and that productivity measurement can be integral to productivity improvement. Asif and Searcy (2014: 984) cite a well-known axiom, which states, "What gets measured, gets managed" performance measurement application impact to performance excellence in organisations. Massy, Sullivan & Mackie (2013: 16) posit that excuses to measure quantity in universities needs to be ignored. Brown (1994: 13) is of the opinion that the quantification of the changes and results should be performed on a daily basis and that Work-Study methods demand that progress is quantified on a regular and ongoing basis. The above excerpt forms the basis for

the study to be conducted at the University of Technology by applying the Work-Study techniques in order to determine the productivity levels of the Lab Technicians in a faculty.

According to Fogarty, Hoffman & Stonebraker (1989: 6), measures on productivity are important since “productivity is the key to an organisation’s competitiveness”. On the other hand, Drucker (1986: 27) states, “without productivity objectives, a business does not have direction and without productivity measurements, it does not have control.” The current low labour productivity seen at universities has crippled and compromised the quality of services offered to their customers, mostly students (Ngcamu, 2014). The author indicates that this has been attributed to poor leadership capabilities and limited knowledge on workload measurements by HR specialists, which has exacerbated this situation as line managers create baseless positions mostly informed by their emotions on building empires and through hearsays.

The main objective of the present contribution was to determine the productivity levels of the current staff members by using Work-Study techniques and examine other underpinning factors, which influence their productivity. This contribution answers the following questions:

- To what extent are current laboratory technicians used in this faculty?
- What factors have influenced the current workload of the laboratory technicians in this faculty?

What follows next is the conceptual and the theoretical framework critically reviewing the literature of the major variables of the study followed by the research design and methodology. The article concludes with data presentation, analysis and discussion of the major highlights with the reviewed literature followed by the conclusion and recommendations.

## **1. LITERATURE REVIEW**

### **2.1 Conceptual and theoretical framework: Work-Study and Productivity**

Universities have been faced with shrinking funds while struggling to implement economic tools and approaches to contain costs in the academic faculties and departments. The economic concepts on productivity including Work-Study have not been explored in the universities’ contexts while successfully applied in the private and in certain public institutions. A plethora of researchers (British Standard-BS3138, 1979; Fogarty, Hoffman & Stonebraker, 1989:10) consider the Work-Study when human and resources are effectively and systematically examined. Whilst, Yusoff, Jaffar, Abbas, Hayati and Saad (2012: 1801) categorise it into two methods which include method study and work measurement. Method Study (MS) deals with the reduction of the employee’s activities or tasks (Wenli, Chunlei and Lisha, 2012); performance improvement, and improving on the “how” or “the way” organisations do things” in the business (Brown, 1994: 10). Meanwhile, Work Measurement (WM) differs with the latter as it is concerned with the planning and control of an operation and an evaluation of alternative ways of delivering work in organisations (Gaynard, 1997) and work activities’ interrogation on alleviating ineffective time usage (Wenli, Chunlei and Lisha, 2012). Furthermore, the British Standard (BS) number 11003: BS 3138 (1992) defines work measurement as, “to apply methods to determine the time for a qualified employee to perform an activity at a defined rate”. In work measurement, there is an older technique termed by numerous researchers (Aft, 2002; Baines, 1995; Currie & Faraday, 1977) as the “Time Study” which deals with observing employees while performing work activities that are concerned with the direct observation of work while it is being performed.

Brown (1994: 12) contends that the implication of the work measurement is a reduction in the throughput time level for performing an activity, as well as the cost reduction and organisational structure being leaner and competitive. Massy (2012: 6) confirms the latter conclusion as the author suggests that measuring the time that tasks take has a direct impact on essential areas including cost, delivery speed, and delivery reliability. Brown (1994: 13) indicates that using the work-measurement and Method Study yields positive results in an institution including product or service design/specifications improvement, materials and equipment used effectively and efficiently, as well as enhanced employee working conditions. The author further mentions positive effects for the application of these techniques as including low absenteeism, appropriate utilisation of staff members, improvement of work station

layouts, less fatigue and increased staff morale and reduced labour. Browns (1994) mentions that a major pitfall of the application of the work measurement in organisations is the creation of tensions between key stakeholders such as the management and trade unions. According to Sullivan et al. (2012: 3), universities' performance management system has been assessed using unidimensional measures such as graduation rates, time to degree and cost per credit.

## **2. RESEARCH METHODOLOGY**

This study followed the qualitative research design where interviews were conducted to provide in-depth information pertaining to employees' experiences and viewpoints of their activities at this particular university (Turner, 2010). Interviews were coupled with other forms of data collection including Work-Study techniques, which provided the researcher a well-rounded collection of information for analysis. This qualitative study coincides with Drengenberg & Bain (2017) who indicate that it is difficult to validate productivity research, which requires a different framework from the one that is followed in this study. This research study employed a case study research design which is a strategic qualitative research methodology dealing with a process or a complex real-life activity in great-depth (Noor, 2008). This case research study combined multiple techniques for eliciting data at this university as utilised in social science fields like sociology, industrial relations and anthropology, which strengthens and confirms results (Noor, 2008).

### **3.1 Background of the study area**

This study culminated from the creation of the new positions proposal submitted to the Human Resources department at "University A" by the Faculty of Natural Sciences HoDs following the completion of the newly built laboratory facility. The creation of new positions was meant to ensure the efficient and effective use and management of facilities. The faculty had four existing Laboratory Technicians and three Lab Assistants. The task-team, made up of four HoDs, proposed the creation of 13 new positions. These positions comprised one Facility Manager, one Control Industrial Technician, three Senior Industrial Technicians, one Industrial Technician and eight Laboratory Assistants. The researcher was requested to determine the need for these positions by primarily determining the current workloads of existing staff members.

### **3.2 Qualitative approach**

This study was conducted at the university's Faculty of Natural Sciences where HoDs submitted a proposal for the creation of new positions due to the shortage of staff. The Work-Study approach was employed in this study, which includes work-measurement and method study techniques. The Work-Measurement technique employed in this article included time study and interviews (Baines, 1995: 10). This study followed work-measurement stages as per Barnes (1995: 10) which include analysis (timetable, submissions made by HoDs, measurement and synthesis). Before measurement commenced, the work to be measured was analysed and broken down into convenient parts, which was suitable for the chosen measurement technique (Baines, 1995: 10). This study embraced the interpretivist perspective as prescribed by Saunders, Lewis and Thornhill (2007: 103) as it determined the productivity levels of the Lab Technicians in a higher education institution faculty. This methodological discourse was preferred as it was deemed relevant to help explore, analyse and investigate the views and perspectives of employees in the case of productivity research, particularly in the field of organisational development. The interviews were piloted on the HoD, one Laboratory Technician and an Assistant. A widely accepted and recognised technique to test the data reliability and validity is through piloting. The data and information collected during the course of the pilot study help in the assessment of reliability and validity of the survey tool. For the interview and qualitative data, as per Mays and Pope (1995: 10), the "main ways in which qualitative researchers ensure the re-test reliability of their analyses is in maintaining meticulous records of interviews and observations and by documenting the process of analysis". As the survey was piloted, all interviews were well recorded.

### **3.3 Sampling procedures**

#### **3.3.1 Measuring instruments**

Data gleaned from the interviews were recorded by the researcher. Items in the questionnaire probing participants on their daily activities, challenges and productivity were based on perspectives of Brown (1994), Drucker (1986), Massy et al. (2013), Massy et al. (2012), Rollnick (2001) and Wenli et al. (2012). The research instrument was also informed by the productivity model of Sullivan et al. (2012) to be used in universities where they have used the economic concepts of productivity.

### **3.4 Semi-structured qualitative interviews**

This research study followed a non-probability purposive sampling, where the Faculty Dean, five HoDs, four Lab Technicians and three Lab Assistants were from the Faculty of Natural Sciences were interviewed. The following questions were posed to the latter staff members:

- What are your daily activities from 8.00 to 16.00?
- What are challenges which hampers you to perform your activities?
- What is a relationship between academic and support staff members?
- Do you have any deficiencies in achieving your daily activities?

Interviews were used in this study to obtain information on current activities and challenges encountered by participants on their daily operations. As this study is located within the discipline of work-study and productivity in higher education institutions, Anderson, Sweeney and Williams (2007: 226) posit that the non-probability sampling may be dictated by the research strategy chosen, research objectives and questions more especially in management research projects.

### **3.5 Data analysis**

A qualitative analytical software (NVivo software, version 10) was applied to categorise, organise, analyse, develop themes and share the collection of data. The data yielded from the qualitative in-depth interviews were categorised into themes or nodes as suggested by Cresswell (2003).

### **3.6 Testing interview data reliability**

The reliability testing for the interviews conducted through the triangulation and debriefing where the research findings were evaluated. Various Work-Study techniques and the qualitative in-depth interviews were used to triangulate the research findings. Different questions were posed to different staff members in different employment categories and Work-Study techniques were applied with the purpose of triangulating the findings. Informants consent to participate ensure anonymity and confidentiality in this research. The study background, aims and implications was provided to the prospective informants which provided them an informed and un-coerced consent (Bryman et al. 2015: 124). Research rigour was established according to the dimensions of “trustworthiness” for qualitative research findings such as transferability, dependability, confirmability, and credibility. Transferability of the data was achieved primarily through a rich description of the phenomenon under investigation. The team approach to data analysis enhanced the dependability of findings. Confirmability was improved through an audit trail, which provided a transparent description of the research process from start to finish. Finally, investigator triangulation assisted in establishing credibility.

## **4. RESEARCH FINDINGS AND DISCUSSION**

This study was aimed at determining the current productivity level and the workload for the current staff members in the Faculty of Natural Sciences. This research study’s purpose was to use a scientifically proven method to justify the creation of the new positions as proposed. It was established that among the departments concerned, namely, Agriculture, Community Extension, Environmental Health and Nature Conservation, there were four Lab Technicians and three Lab Assistants. The Lab Technicians were responsible for contributing to the development of the practical guides; advanced preparation for practicals; assisting the lecturer in conducting practicals; identifying and solving problems; procuring orders where possible; assisting in the marking of practicals; and ensuring that instruments were in working order.

### **4.1 Work-measurements findings**

The workload of Lab Technicians was calculated using working hours based on a maximum of eight hours per day as per Section 11 of the BCEA Act.

The following formula and calculations were applied in this study:

Attended Time = 8 hours (8h00–16h00)

Allowances:

Lunch break: 45 minutes/0.75 hrs

Toilet break: 20 minutes/0.33 hrs

Contingency time: 15 minutes/0.25 hrs

Available Time = 8 hrs – 0.75 hr – 0.33 hr – 0.25 hr

Basic Available hours per day = 6.67 hrs

Basic Available hours per week = 33.35 hrs

**Table 4.1: Available hours per week**

Available Time = Basic Available Time – Total Allowances
Available Time = 8 hrs – 1.33 hrs
Total Activities Time per day = 6.67 hrs per day
Total Activities Time per week = 33.35 hrs

**Table 4.2: Technician: Food science and nutrition (Community extension)**

Activity/Practicals	Hours (per week)
Preparations	2
Vegetable practicals	3
Field crops (nutrition value)	3
Soil practicals	3
Soil fertility practicals	3
Fruit production diseases	3
Botanic practicals	3

Lab Technician: Food and nutrition

Workload = Total Activities Time

Available time

Workload = 20 hrs per week

33.35 hrs per week

Total Workload = 60%

**Table 4.3: Lab technician: Skills and Food practical**

Activity/Practical	Hours (per week)	Comments
Food practicals		
Preparations	5	
Food preservation	3	
Food processing	3	
Nutrition value practicals	3	
Skills practicals		
Sewing	6	
Flower arrangement	8	After two weeks
Material procurement	2	

Workload = 30hrs per week

33.35hrs per week

Total workload = 90%

**Table 4.4: Lab Technician: Community Extension**

Activity/Practicals	Hours (per week)	Comments
Crop production		
3 practicals per week	16	
Follow-up practicals	2	Three days per week
Repeat of practicals	4	2 <sup>nd</sup> year students are larger in numbers – practicals are repeated due to shortage of space

Workload = Total Activities Time

Available Time

Workload = 22hrs per week

33.35hrs per week

Total Workload = 66%

**Table 4.5: Lab Technician: Agriculture**

Activity/Practicals	Hours (per week)	
Communicate with industry	4	
Contact session with farmers	7.44	

Workload =  $\frac{\text{Total Activities Time}}{\text{Available Time}}$

Workload =  $\frac{11.44 \text{ hrs per week}}{33.35 \text{ hrs per week}}$

Total Workload = 34%

**Table 4.6: Lab Technician: Environmental Health**

Activity/Practicals	Hours (per week)	Comments
Preparing for practicals	4	
Practicals	16	Four practicals per week
Sterilize practicals materials	1	

Workload =  $\frac{\text{Total Activities Time}}{\text{Available time}}$

Workload =  $\frac{21 \text{ hrs per week}}{33.35 \text{ hrs per week}}$

Total Workload = 63%

#### 4.3 Summary of the Work Measurement findings

Research findings have revealed a disproportionately low workload for the Agriculture lab technician of 34% (2.3 hours per day) followed by the community Extension's lab technician: Crop Production and the Lab Technician: Environmental Health of 63% (4 hours per day). Furthermore, the Agriculture Lab Technician with a total workload of 34% indicates that the department does not use this staff member effectively and there was no value for money or return on investment. These technicians were under-utilised with a total workload of almost 63%, which is far below the required standard of 95%. The low workload depicted above is in contrast to the assertion of Fogarty et al (1979) which enables practitioners to examine activities to improve the effective use of human and other resources. This finding is also in conflict with Aft's (2002) claim that the Work-Measurement technique which is called Time-Study is concerned with the observation of work while done.

**Table 4.1: Budget proposal for the proposed positions**

Position	Grade	Notch Per annum excluding benefits (Rands)
Facility Manager	7	428 298



Control Industrial Technician	9	<b>310 361</b>
Senior Industrial Technician (3)	8	<b>356 915</b>
Industrial Technicians (3)	9	<b>310 361</b>
Eight Laboratory Assistants.	11	<b>215 528</b>
<b>Total</b>	<b>1 621 463</b>	

Table 1 indicates the personnel costs that were going to be incurred by the university if the Work-Study exercise was not conducted to determine the workload for the current staff members. The university was going to incur the total amount of R1 621 463 for the proposed additional staff members in the faculty which equate to fruitless and wasteful expenditure. These findings corroborate numerous researchers' assertions (Brown et al. 1994; Massy et al. 2012) that employee productivity can be determined by using Work-Measurement techniques, which reduces costs, the organisation becomes leaner and line managers are discouraged from creating ill-informed positions.

#### **4.4 In-depth interview findings**

##### **4.4.1 Lack of relationship between academics and the support staff members**

Almost all the Lab Technicians indicated that practical guides were not available. They claimed that lecturers failed to develop practical guides to be used by the Tab Technicians during practicals. This view was expressed by this interviewee:

*"There are no practical guides. Lecturers should design practical guides as soon as possible".*

The research participants revealed that Lab Technicians receive notification about practicals at short notice. This was exemplified by the following views:

*"Lecturers are refusing or are failing to provide us with practical manuals. This lecturer will sometimes tell me at short notice about the forthcoming practical".*

This concurs with Massy et al. (2013) who opined that the challenge to address such issues which are central to productivity is the absence of an agreed upon comprehensive measure of output quality. This also supports Massy & Archer's (2018) assertion that productivity measures in universities can be applied without compromising quality.

The research participants cited the unavailability of the lecturers during student practicals as impacting negatively on the reinforcement of theory. A research participant specifically mentioned that:

*"Lecturers are not available during student practicals. The practicals should reinforce theory and in most cases, academics fail to avail themselves during practicals".*

This is in conflict with the Work-Measurement principles, which motivate the planning and control of an operation and evaluation of alternative ways of delivering work in organisations (Gaynard, 1997). This is also in disagreement with Asif & Searcy (2014) that the application of business and quality of business models such as the Work-Study reflects the desire for excellent performance. The unavailability of the lecturers during the practical sessions is contrary to Balamurathara and Woods' (2008: 108) assertion that students grasp necessary practical knowledge and experiences in the laboratory. This finding is also in accord with the argument of Rollnick et al. (2001) that universities emphasise the necessity of practical preparations to students. This study finding is in congruence with Rollnick et al. (2001) who attest that laboratory work has a number of resources committed to it, though ignored by employees in this study, including the development of practical guides and the unavailability

of an experimental farm. Lack of knowledge of how to use essential machines is in disagreement with Rollnick et al. (2001) who identified three pre-laboratory preparations, which the technicians should possess, pre-requisite skills and the knowledge to conduct practicals.

The research participants mentioned that there was no working relationship between academics and Lab Technicians. An illustration of this thinking is shown below by a research participant:

*“We are failing to get practicals from academics. There is no relationship between academics and Lab Technicians in terms of theory and practicals”.*

#### **4.1.2 Lack of technical skills and unavailability of the tools of the trade**

Another challenge faced by the research participants was their inability to operate newly purchased machines at the newly built laboratories. As one interviewee explained:

*“We fail to operate newly purchased machines. The management should provide the training on the usage of the new machines”.*

Some Lab Technicians mentioned that there were performing secretarial functions. An interviewee advanced the following:

*“In most cases, we perform secretarial duties but it is not in my job description”.*

The absence of an experimental farm was a major challenge mentioned in this study. This was echoed by an interviewee in:

*“There is no experimental farm for students to conduct practicals”.*

The inability to use the newly purchased machines and the unavailability of the experimental farm is in disagreement with a view of Brown (1994: 13) that the benefits of the work measurement include better use of materials. Moreover, the researcher claims that work measurement methods improve the designs or specifications of the product or service, which proves the findings of the study on the low workload ascribed to the unavailability of practical guides.

Though there were contrary views regarding the findings of the study, commentators' arguments were not closely aligned as this study measured the current workloads of existing employees in order to determine newly proposed positions.

## **5. CONCLUSION**

This study concludes that the productivity measurement including Work-Study technique (time-study) is relevant in this epoch where personnel costs exceed core business needs due to ill-informed Human Resources or the lack of advice to line managers at universities. This failure of the university Human Resources Generalists to conduct work-study interventions such as work-measurement to scientifically determine the productivity levels and workload for the existing staff members in order to inform the need for new positions escalate personnel costs and increase the number of redundant staff members. This study clearly illustrated to the university's decision-makers the difference between the shortage of qualified staff and a shortage of staff through applying evidence-based techniques, which are reliable. This study also unravelled other techniques to eliminate fruitless and wasteful expenditures of applying accurate work-measurement techniques by determining the utilisations of current staff members. This study further espoused other factors underpinning low workload, which in this case, emanate from the ineptitude of the Laboratory Technicians. This study concludes that a plethora of factors contribute to the poor quality of education provided to students at universities. These include the inability of the academic and academic support staff members to use modern experimental technologies (in this case newly purchased machines), the absence of practical guides, and a disconnect between the key players (HoDs, academics/support and students). This has led to a lack of transparency where Lab Technicians were not informed of what they were required to be performing during practical

sessions. This has compromised their productivity, as well as the quality of the practical sessions, which automatically had a negative effect on the students' skills and competencies.

The above factord suggests that line managers should employ Work-Study techniques methods in almost all departments with a view to understanding the workload of staff members while examining factors that hamper quality and productivity. Further than that, work-measurement should be used to clarify the roles and responsibilities of the HoDs and ensure that qualified lab technicians and lecturers perform their functions to acceptable and agreed-upon standards. Line managers should also use work-measurement as a tool to diagnose bottlenecks and address them with implementation plans where responsibilities and timeframes will be assigned to employees. Lastly, this article concludes that university HoDs, academics and lab technicians violate Section 11 of the BCEA, which stipulates the maximum hours that qualified employees should effectively and efficiently perform in a work day.

The study recommends that the Lab Technicians should be trained on the usage of the machines by the manufacturers of the machines, as well as by the Chemistry department lecturers. Management and leadership development programmes for academic managers is essential at this university to equip HoDs to manage employee's performance of their subordinates and ensure that quality is upheld. HoDs should ensure that study and practical guides are transparent and accessible by all key stakeholders to ensure that quality is upheld. Under-utilised technicians should be allocated other duties or activities that would contribute to their self-development. This will help towards their upward mobility, as well as better use of their resources. University leaders should develop partnerships with local farmers in order for students to conduct their experiments. This study's findings will assist the university decision-makers, including the human resources department to apply scientifically proven workload measurements in curbing unnecessary personnel costs. This will also assist line managers to understand their employees' current workloads while improving productivity, efficiency and effectiveness, thus enjoying the return on investment. The current research study will influence theories, concepts, practices and policies on productivity in HEIs. This study will also contribute to the body of knowledge at universities in South Africa, as there is a paucity of published data on the application of Work-Study techniques. The major limitations of this study included the limited literature and methodology employed by this study, which is seldom used in universities. There was also a scarcity of data on work-measurement application at universities. Furthermore, the gap in published information on the methodology limited the methodology of this study. It is recommended that future researchers should extend this study as a baseline for measuring productivity for all employment categories in universities.

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## LEARNING COMMUNITIES: THE CASE OF THE THEEWATERSKLOOF MUNICIPALITY IN THE OVERBERG, SOUTH AFRICA

**Marius Venter**

Centre for Local Economic Development

University of Johannesburg

Email: mventer@uj.ac.za

Orcid no 0000-0003-2810-5149

### ~Abstract~

*Lifelong learning, as a driver of Local Economic Development (LED) has evolved since 1972. In South Africa it is a relatively new concept and it is captured in The National Framework for Local Economic Development (NFLED) 2014-2019. The NFLED consists of five pillars: Building a diverse economic base; developing learning and skilful local economies; developing inclusive economies; enterprise development and support; and economic governance and infrastructure development. According to the UNESCO Institute for Lifelong Learning (UIL), a community embracing lifelong learning as a LED driver, is a community which efficaciously mobilises its assets in order to: promote all-encompassing learning from basic to higher education; re-vitalise learning in families and communities; facilitate lifelong learning for the workforce; promote the use of current learning technologies; improve superiority and quality in learning; and nurture an ethos of learning throughout life. In doing so, it will generate and strengthen individual enablement and social cohesion, economic and cultural richness, and sustainable development. During the 2013 Beijing Learning Cities conference, this definition was endorsed, and the Key Features Questionnaire for Learning Cities was developed. The Key Features Questionnaire was adapted to conduct this survey. The objective of the research was to determine the readiness of the Theewaterskloof Municipality (TWK) in the Overberg, Western Cape, to become a learning community. The findings indicated that TWK has immense development potential but also various challenges in respect of illiteracy, unemployment, inequality and crime. The main finding was that the necessary conditions, namely: a strong commitment from politicians; the buy-in and participation of all stakeholders; and sustainability in terms of the availability of resources were in place for TWK to become a learning community. This formed the foundation of PASCAL Africa entering into a partnership with TWK to assist the municipality to develop the municipal region and adjacent areas as a learning community.*

### Keywords

Key Features Questionnaire, learning community, lifelong learning, local economic development, municipality, PASCAL International Observatory

**JEL classification:** O1, O2

### 1. Introduction

According to the NFLED 2014/19 (RSA, 2013), South Africa's vision is that *"Local Economies are inclusive, world-class and dynamic places and brands in which to invest, work, learn, visit and live; and the most successful in creating wealth that is widely shared and benefiting the majority of its local people."*

This vision includes the concept of lifelong learning (RSA, 2013). The concept of a *"learning society"* has evolved over the past 40 years (Osborne, 2014), although in South Africa it is a relatively new concept. The idea was conceptualised in 1972, and further refined in 1996 in reports to UNESCO (Osborne, 2014). According to Osborne (2014), the following Lifelong Learning Programmes (LLPs) were funded by the European Commission (EC), and contributed to expanding the definition and impact of lifelong learning: *"TELS (Longworth, 2000), Pallace (Allwinkle & Longworth, 2005), Lilliput (Longworth, 2006), Lilara (Doyle et al., 2007), PENR3L (Pascal, 2008), EUROlocal (Hamilton & Jordan, 2010), R3L+ (Eckert et al., 2012) and MASON (2012)"*. Kearns, Osborne and Yang (2013) came to the conclusion that: *"it is important to embrace and connect all learning stages, types and places in order to build a learning society and make lifelong learning a reality."*

Valdés-Cotera and Wang (2018) accentuate that the UIL has been at the forefront promoting the learning city approach: *“to empower citizens, promote social cohesion, enhance economic development, cultural prosperity and to protect the environment”*.

According to the UNESCO Institute for Lifelong Learning (UIL) (2015), *“Cities and communities that embrace lifelong learning for all have seen significant improvements in terms of public health, economic growth, reduced criminality and increased democratic participation. These wider benefits of lifelong learning present strong arguments for increased investment in the building of learning cities.”*

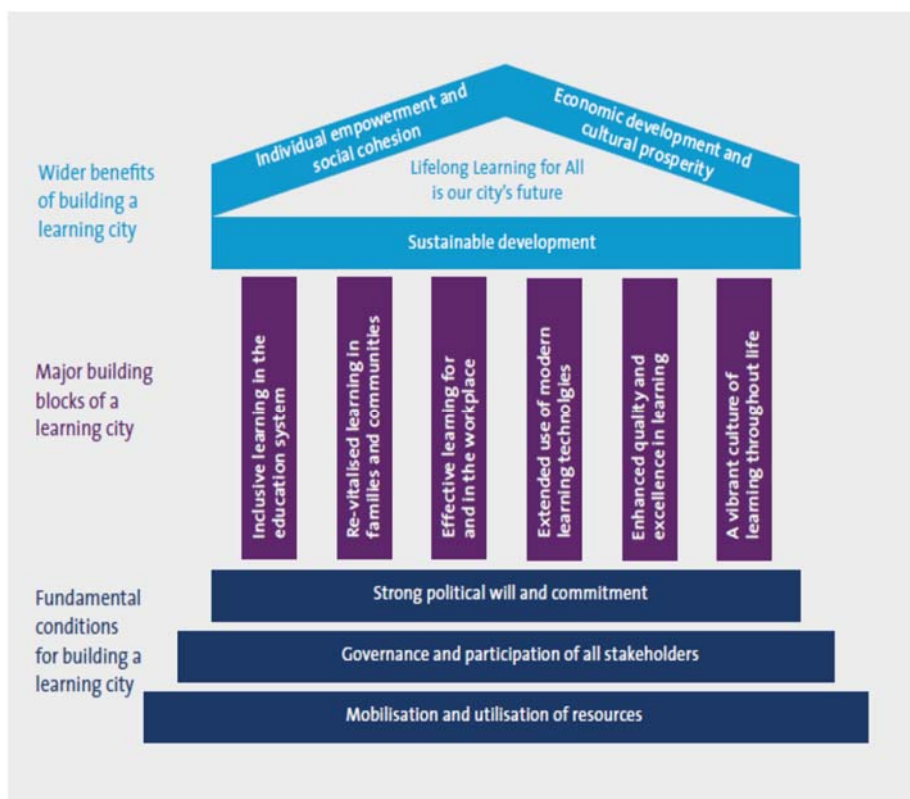
In 2013, UNESCO, in partnership with China’s Ministry of Education and the Beijing Municipal Government, took the initiative to organise the first international conference on learning cities. The conference had the explicit aim to adopt the proposed *Beijing Declaration on Building Learning Cities*; to co-develop the *Key Features of Learning Cities Survey*; and to discuss best practices in instituting learning cities, regions and communities (UIL, 2015).

The *Beijing Declaration* advocates lifelong learning as a vital component of education to secure a sustainable future for all human communities (UIL, 2015). The participants in the conference concluded with the following call to action (UIL, 2015): *“the establishment of a global network of learning cities to support and accelerate the practice of lifelong learning in the world’s communities; urging cities and regions in every part of the world to join this network; encouraging international and regional organisations to become active partners in this network to build learning cities, regions and communities, and to participate in international peer-learning activities; and inviting foundations, private corporations and civil society organisations to become active partners of the network.”*

An international platform was introduced by the UIL (2015) to enable cities and municipalities to exchange ideas and good practices on effective approaches to build learning cities, regions and communities. As part of this proposed initiative, the UIL (2015) agreed to the acceptance of the following concept definition:

*“A Learning city, region or community effectively mobilizes its resources in every sector to: promote inclusive learning from basic to higher education; re-vitalize learning in families and communities; facilitate learning for and in the workplace; extend the use of modern learning technologies; enhance quality and excellence in learning; and nurture a culture of learning throughout life. In so doing, it will create and reinforce individual empowerment and social cohesion, economic and cultural prosperity, and sustainable development.”*

The Framework of the Key Features of Learning Cities, Regions and Communities (UIL, 2015), as depicted in Figure 1, was also endorsed as a normative survey instrument at the Beijing conference to assist municipalities in their work in profiling learning cities, regions and communities. In Figure 1, the UIL (2015) depicts the Framework of the Key Features of Learning Cities, Regions and Communities. The figure resembles UNESCO’s logo in respect of the pediments, columns and foundational steps.



**Figure 1: The Framework of the Key Features of Learning Cities, Regions and Communities**

*Source: Beijing Conference Proceedings, 2013*

In terms of the Key Features Framework of Learning Cities, Regions and Communities depicted in Figure 1 (UIL, 2015), the following features are displayed:

The three areas of the pediment (UIL, 2015) form the objectives of lifelong learning and the motivation to establish a learning region such as TWK. These areas give an indication of the wider benefits of creating a modern learning city, region, and community, and can be explained in terms of individual empowerment and social cohesion; economic development and cultural prosperity; and sustainable development.

The six columns (UIL, 2015) depict the six most significant building blocks of a learning city, region or community. The building blocks include all-encompassing learning in the education system; inspiring learning in families and communities; fit for purpose learning for, and in, the workplace; the extended use of modern learning technologies; enhancing the quality of learning; and an energetic focus on lifelong learning.

The three foundational steps (UIL, 2015) indicate the important conditions that need to be in place before a learning region such as TWK can be established. These conditions include a strong commitment from politicians; the buy-in and participation of all stakeholders; and the sustainability of the establishment of the learning city, community or region in terms of the availability of resources.

In summary, it should be kept in mind that the pathways to establishing a learning city, region or community differ, and the changes towards becoming a learning city, region or community can only be measured within the setting of each city's, region's or community's own cultural, economic and social history and traditions.

In the next section, the case of TWK becoming a learning region is discussed.

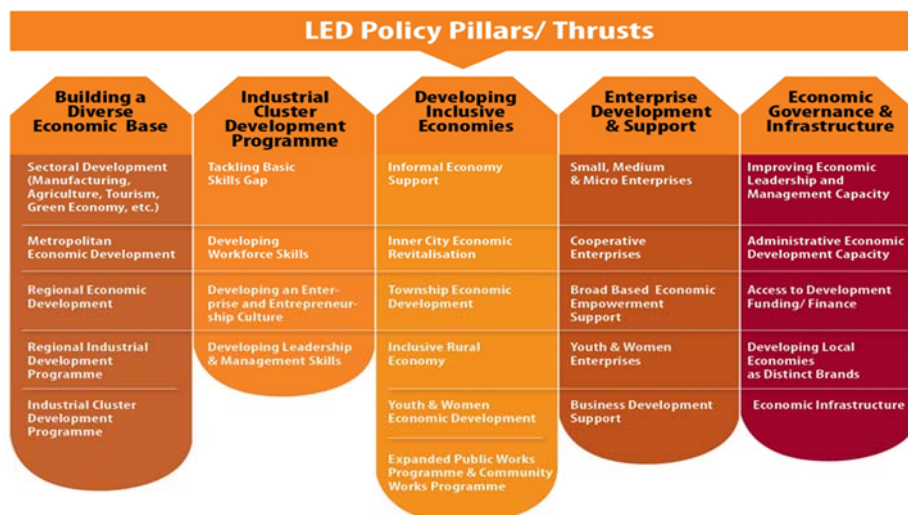
## **2. The Case of the Theewaterskloof Municipality (TWK)**

The Centre for Local Economic Development (CENLED) is a centre in the School of Economics within the College of Business and Economics (CBE) at the University of Johannesburg (UJ). CENLED was established in 2008, primarily to build capacity at African municipalities in the local economic development (LED) fields. CENLED reports to a Board

chaired by the Executive Dean of the CBE. The Board oversees, directs and evaluates CENLED’s activities. CENLED houses the Africa node of the PASCAL Observatory, an international Observatory of Place Management, Social Capital and Learning Regions (hereinafter “PASCAL”). PASCAL was founded in 2002 to undertake path-finding research on learning cities, regions and communities as conceptualised by the Organization for Economic Cooperation and Development (OECD). In 2013, PASCAL became involved in arranging preliminary meetings to establish collaborative partnerships and develop draft versions of the *Beijing Declaration* and the *Key Features Framework*.

The scope of this paper lies in the domain of LED. It is therefore important to note that LED is defined by Swinburn, Goga and Murphy (2006) as follows: “*LED occurs when a community consciously decides to improve the economy of the area where they live, by getting all stakeholders such as the public, private and non-governmental sector in that specific area to work together using their local assets in a manner that it creates decent jobs which will improve local living conditions ensuring a sustainable economic future*”.

The NFLED 2014-2019 (RSA, 2013) is the policy framework for implementing sustainable LED projects in South Africa, and comprises five pillars: “*building a diverse economic base; developing learning and skilful local economies; developing inclusive economies; enterprise development and support; and economic governance and infrastructure*”. The policy pillars are depicted in Figure 2.



**Figure 2: Policy pillars of the NFLED 2014-2019**

Source: *National Framework for LED 2014-19 (RSA, 2013)*

TWK consists of the towns: Botrivier, Caledon, Genadendal, Grabouw, Greyton, Riviersonderend, Tesselaarsdal and Villiersdorp. The interest of TWK to become a learning region is aligned with the objectives of all five pillars of the NFLED 2014/19, which are in line with the objectives of the New Growth Path (NGP), the National Development Plan (NDP), and the Industrial Policy Action Plan (IPAP) of South Africa.

TWK is the largest municipality in the Overberg District (OD) according to the Western Cape Provincial Government (WCPG) (2017). The municipal area comprises an area of approximately 3231km<sup>2</sup> and has an estimated population of 119 052 (WCPG, 2017). On the western side, TWK borders the city of Cape Town, and the Overstrand Municipality is located on the eastern side. TWK is the most populated municipality in the Overberg District (OD) with 42 per cent of the total district population. Table 1 depicts the population according to age.



Year	Children: 0 - 14 Years	Working Age: 15 - 65 Years	Aged: 65 +	Dependency Ratio
2011	27 724	75 465	5 601	44.2
2018	29 873	81 483	7 696	46.1
2023	30 302	85 921	9 282	46.1

**Table 1: Theewaterskloof Municipality Population by age**

Source: WCPG, Socio-economic profile, Theewaterskloof Municipality (2017)

TWK is a rural municipality, and the key economic sectors are: wholesale and retail trade, and catering and accommodation, both at 17,8 per cent; finance, insurance, real estate and business services at 16,6 per cent; and agriculture, forestry and fishing comprising 14,1 per cent. Between 2010 and 2015, the economic growth in the TWK area averaged 3,6 per cent per annum. During 2016, it decreased to 0,5 per cent (WCPG, Department of Social Development, Theewaterskloof Socio-Economic Profile, 2017).

### 3. Methodology and findings: Key Features Survey for the Theewaterskloof Municipality (TWK)

According to the UIL (2015), the Key Features Questionnaire was: “*Formally endorsed by mayors and city education executives of learning cities as well as experts participating in the International Conference on Learning Cities, the Key Features can serve as a comprehensive checklist of action points to help municipal governments and other stakeholders of cities in their efforts to build learning cities that promote lifelong learning for all.*”

The Key Features Questionnaire was adapted for TWK’s circumstances. It was completed for TWK through interviews with key politicians, employees and stakeholders, and the gaps were filled using secondary data to determine a starting point in becoming a learning region. A summary of the main findings is discussed in this section.

Firstly, the survey revealed that TWK is a region that has immense prospects but also various challenges. The TWK Vision 2030 shows that the political will is evident as part of the foundation of a learning region (TWK, 2011).

Secondly, TWK Vision 2030 identifies lifelong comprehensive education as an integral part of establishing a culture of learning as a possibility to address the region’s economic woes (TWK, 2011). The perception is that if decent schooling and a wide-ranging higher education system is in existence, it might increase employment possibilities for the current and next generations. It may also attract investors to the region, which will boost economic growth and job creation.

Thirdly, education is not a municipal function. However, the survey indicated that TWK needed to engage and support the education stakeholders in the region. It was established that Genadendal, *inter alia*, housed the first teachers’ training college in South Africa, and the Department of Education has a regional office in Caledon. The survey revealed that TWK is committed to creating programmes to stimulate learning that could begin to equip the local communities with the necessary skills to grow the local economies.

Fourthly, TWK in 2010 demonstrated remarkable leadership when it was the recipient of the Best Municipality of the Year award. This turn-around came five years after being declared a “project consolidate site”, meaning that the WCPG identified that the municipality had a weak capacity in terms of its systems and financial sustainability. TWK then implemented the necessary steps to empower employees. During the survey, it was established that the view is held that empowerment through learning resulted in TWK winning the award. However, it must be noted that the Integrated Development Plan (IDP 2016/17) confirms that TWK still remains financially vulnerable.

Fifthly, the survey indicated that learner enrolment in TWK is on the decrease. This links with the information in the IDP (2016/7) that enrolment decreased slightly from 18 488 in 2013 to 18 245 in 2014. According to the Western Cape Department of Education (2017), TWK had a relatively high average school dropout rate of 40,8 per cent in 2012. The dropout rate

measured amongst Grade 10 learners in 2013 and Grade 12 learners at the start of 2015 was 31,3 per cent. Thus, one in every three learners who were in Grade 10 in 2013 in TWK did not progress to Grade 12 by 2015. Some contributing factors to this situation are drop-outs, failures, or learners that have moved away from TWK within this period.

A sixth important finding was that in TWK, the learner-teacher ratio showed an increase from 30,3 learners per teacher in 2014 to 45,7 in 2015, whilst it increased to 44,7 in 2016. This finding is important because it may affect learner performance within the TWK area in the future (WCPG, Department of Social Development, 2017). The ability of schools to employ more educators when needed, and the ability to collect school fees, are some of the factors impacting on the learner-teacher ratio.

A seventh finding was that TWK's literacy rate was recorded at 78,4 per cent in 2011; much lower than the average literacy rate of the Western Cape at 87,2 per cent (Western Cape Government Provincial Treasury, 2015). The literacy rate is influenced by the availability of adequate education facilities such as schools, Further Education and Training (FET) colleges, of which there are 16 in TWK, as well as schools equipped with libraries and media centres.

An eighth finding indicated that the TWK had 38 schools in 2014, which accommodated 18 245 learners. The proportion of "no-fee" schools has risen from 73,7 per cent in 2012 to 81,6 per cent in 2016 (WCPG, Department of Social Development, 2017). This finding confirmed that the tough economic climate impacted on parents' ability to pay their school fees. This situation in TWK has been alleviated by the Western Cape Department of Education converting certain "fee-paying" schools into "no-fee" schools.

The ninth finding indicated that the per capita income of TWK increased only slightly from R 25 182 in 2011 to R25 692 in 2015 (Western Cape Government Provincial Treasury, 2015). The low growth in disposable household income unsurprisingly led to a decline in the collection of municipal rates and service fees (IDP 2016/17).

The tenth finding was that TWK experienced a 2,0 per cent growth rate (Western Cape Government Provincial Treasury, 2015). The TWK area is dependent on agriculture, so if this sector underperforms, it influences the economic growth rate of this area. Some of the contributing factors influencing the insignificant economic growth include the performance of the global markets, the changes experienced in the climate, and the increase in agricultural production costs.

The eleventh finding relates to inequality. The NDP aims to reduce income inequality in South Africa from a Gini coefficient of 0,7 in 2010 to 0,6 by 2030. However, TWK has experienced an increase in income inequality for the period 2010 to 2016. An exception occurred during 2011 when it dropped below 0,56 (WCPG, 2017).

The twelfth finding of note in respect of TWK was that 47 644 persons are economically active (IDP 2016/17). This number includes persons employed and the number of persons unemployed but actively looking for work. The official unemployment rate is 11,9 per cent. Youth unemployment is rife at 19,8 per cent; thus, 23 559 economically active youth (15–34 years) are unemployed (WCPG, 2017). The expectation in the TWK Vision 2030 document is that unemployment in the area will likely reach 44 per cent by 2030 (TWK Vision 2030, 2011). It is further anticipated that the dependency ratio will escalate, reaching 4,32 in 2030 (TWK Vision 2030, 2011).

The thirteenth finding indicated that TWK experiences a relatively high carbon footprint. According to the TWK Vision 2030 (2011), estimations indicate an intensification from the current estimate of 825 000 tCO<sub>2</sub> to 2,8 million tCO<sub>2</sub> by 2030. This escalation in the carbon footprint may lead to a devastation of the natural resources within the TWK municipal area, which will have a detrimental impact on the quality of life of the inhabitants of TWK and may lead to negative impacts such as water shortages. Water is a scarce natural resource and imperative for the agricultural and tourism sectors of TWK.

Lastly, the results of the survey indicated that crime levels of TWK are relatively high. This finding is confirmed in the IDP (2016/17), which indicates that the Grabouw and Villiersdorp areas are experiencing significant crime levels.

In the next section, some recommendations are outlined.

#### 4. Recommendations

In terms of the findings, the following are some recommendations that were made in respect of the region becoming a learning region:

- a. TWK should become a region recognised for its lifelong learning in learning institutions focussing on entrepreneurship.
- b. Grabouw should become the nucleus to provide training which matches the agricultural sector with skills-based learning programmes.
- c. Genadendal should investigate the feasibility of re-vitalising the historical past of the town in terms of educating teachers and training artisans.
- d. Caledon should become a hub to provide training for municipal officials.
- e. Follow-up surveys should be conducted, for example, to determine the needs of senior citizens, early childhood development, literacy training and resource management.
- f. TWK to enter into a Memorandum of Agreement (MOA) with PASCAL Africa to assist TWK to become a learning community.

#### 5. Summary

TWK is a rural region in the Western Cape, South Africa, politically committed to becoming a learning community in a globalised world where social, economic and political norms are constantly being redefined. The aim of TWK is to provide lifelong learning opportunities to its communities in order to reduce poverty, increase local economic growth and employment opportunities; to combat demographic transformations; to promote diversity and equality; to negate climate change; and to ensure a decrease in urbanisation problems such as crime and drug dealings. It is envisaged that lifelong learning could be the starting point for this change, as citizens who develop their knowledge, skills, values and attitudes throughout life are better equipped to help society overcome challenges. Enabling citizens to learn throughout life has become a priority for TWK. Lifelong learning, as the foundation of sustainable social, economic and environmental development, is also at the heart of UNESCO's learning region concept. To support the implementation of lifelong learning, the UNESCO UIL established the UNESCO Global Network of Learning Cities. The work of the network is based on two key documents: *The Beijing Declaration on Building Learning Cities* and the *Key Features of Learning Cities*. Guided by these documents and the NFLED 2014/19, PASCAL Africa hosted by CENLED aims to help TWK use the power of lifelong learning to secure a sustainable future.

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## THE IMPACT OF TRADE ON STOCK MARKET INTEGRATION OF EMERGING MARKETS

**Anmar Pretorius**

School of Economic Sciences, North-West University, South Africa

Email: anmar.pretorius@nwu.ac.za

Orcid ID: 0000-0003-0410-5099

**~Abstract~**

*The contribution of emerging market countries to the global economy has increased drastically over the past decade. Not only are the emerging stock markets more integrated with the global markets, but emerging markets also contribute more to global exports. The aim of the article is to analyse the determinants of stock market integration, with a particular interest in the role of trade. The sample includes a panel of 18 emerging market countries for the period 1998 to 2011. A unique measure of stock market integration, the explanatory power of a factor model, is employed. The measure is determined from a global sample of stock markets. Various economic and financial indicators are tested as explanatory variables, including the level of domestic credit, the budget deficit, economic growth, inflation, market capitalisation, exports and imports as percentage of GDP. The results of panel data analysis confirm the importance of trade, and particularly exports, as a driver of stock market integration. It also indicates that financial indicators (such as market capitalisation) and institutions (the regulation of stock markets) are significant in explaining the level of stock market integration for emerging markets. As emerging markets continue to expand exports to developed countries, policymakers must be aware of the resulting impact on their stock markets.*

**Keywords:** emerging markets, stock market, integration**JEL classification:** F36, G15**1. INTRODUCTION**

In a recent publication, the International Monetary Fund (IMF) stresses the increasing importance of emerging market economies in the world economy (2016:58). Considering total production, trade and the financial sector, the contribution of this group of countries has increased remarkably. For instance, the volume of trade between advanced economies and emerging markets is now more than trade among advanced counterparts themselves. At the same time, financial integration has also increased. In 2002, only 7% of all equity allocations from advanced economies went to emerging markets; this increased to 20% in 2012 (IMF 2014:49). The stronger links between advanced and emerging markets have led to increased synchronisation of asset price movements (IMF 2014:49-50). This increased level of stock market integration for emerging markets is confirmed by various empirical studies – see section 2.2.

In assessing the factors explaining equity spill-overs (the impact of movements in emerging stock prices on stock prices in advanced economies), the IMF (2016:67) finds that trade linkages can explain between 10 and 20 % of spill-overs from emerging markets to advanced economies. The IMF study confirms the link between stock markets and international trade and points out that the significance of trade is higher in the case of commodity exporting emerging markets. Hereby, the link between the financial sector (stock markets) and the real sector (trade flows) is placed under the spotlight.

Against the background of increased interest in emerging market assets and the increasing level of financial market integration of emerging markets, this paper focuses on the determinants of stock market integration of emerging market countries. The aim of this study is to empirically investigate to what extent trade-related determinants have an impact on stock market integration. Trade-related explanatory variables include: exports as percentage of GDP, imports as percentage of GDP, and total trade as percentage of GDP. Other macroeconomic indicators – such as market capitalisation, the size of the budget deficit and the effectiveness of the regulation of the securities exchange – are included in the regressions as control variables. In a major contribution, the empirical study considers a direct measure of stock market integration from a global sample and not bi-directional measures, linking only

two countries, or market synchronisation among a chosen group of countries. A further contribution deals with the time-varying nature of integration. Previous studies dealt with this issue, mainly in the presence of specific crises, by splitting the data sample into a pre- and post-crisis sample. By extracting common factors from a global sample, this study is able to calculate an integration measure for every country over different time horizons.

## **2. LITERATURE REVIEW**

### **2.1. Emerging markets**

The International Finance Corporation (IFC) introduced the emerging markets category for portfolio investment in 1986 (Mobius 1996:4). Initially, two different definitions of 'emerging' were provided: "Emerging' implies that change is underway, that a market is growing in size and sophistication in contrast to a market that is relatively small, inactive and gives little appearance of change." Or it could "refer to a stock market in any developing economy, no matter how well developed the stock market itself may be, with the implication that the stock market's potential to emerge further is strongly linked to the economy's overall development potential" (Mobius 1996:6). Other definitions used other criteria, for example that the market should represent less than 3% of the world's stock market capitalisation or consider the market turnover and/or the number of listed companies (Mobius 1996:8). In this paper, the FTSE classification is used and all the stock markets that are classified as emerging markets in the March 2011 update of the FTSE Global Equity Index Series Country Classification are considered.

### **2.2. Trends in integration**

Various synonyms, referring to the integration of financial markets, are found in the literature. Apart from 'integration', authors also refer to 'co-movement' and 'synchronisation'. Analogous to different terminology, different measures of integration are employed. Lemmen and Eijffinger (1996) measure financial integration by means of the intensity of capital controls. Arfaoui and Abaoub (2010) express financial indicators – such as assets, liabilities and FDI flows – as a percentage of GDP, which act as integration indicators. Vo (2005) uses the same indicators as Arfaoui and Abaoub, but adds to it portfolio investment and equity flows as a percentage of GDP. Correlation is often used: correlation of stock market returns (see Wälti 2005; Pretorius 2002; Tavares 2009; Chen and Zhang 1997) as well as correlation between individual markets and the US (Johnson and Soenen 2003). A further two measures include market capitalisation as percentage of GDP used by Yarte (2008) and the Gweke measure of feedback used by Bracker, Docking and Koch (1999).

Most international studies on stock market integration focus on a specific region, such as Europe, East Asia or Latin America – or an economic grouping, such as emerging market countries or the OECD. Pukthuanthong and Roll (2009) employ a global sample of stock markets and conclude that global markets are more integrated than before. At least three emerging market studies confirm that the level of integration changes over time, and that it is increasing for this specific group of countries. Frijns, Tourani-Rad and Indriawan (2012) use firm-level data from 19 emerging markets to conclude that the level of stock market integration increased over time. The same increasing trend is observed by Arouri and Foulquier (2012), including five emerging markets, as well as by Yang, Kolari and Min (2003), who considered ten emerging markets. Pretorius (2002) observes that studies on co-movement of stock markets ask three questions: whether markets are integrated, whether the level of integration changes over time, and why markets are integrated. Therefore, the next section deals with the determinants of financial and stock market integration.

### **2.2. Determinants identified in literature**

Apart from discussing individual/specific determinants of integration, authors also attempt to classify the determinants into different categories. In this regard, Hoy and Goh (2007) refer to market characteristics, economic fundamentals and world information; Pretorius (2002) uses contagion, economic integration and stock market characteristics. This section discusses recent findings regarding factors influencing integration, first with a broad focus and then with a narrower focus.

Gelos and Sahay (2000) study financial spill-overs for 12 transition economies from 1993 to 1998 and find that trade linkages are important in transmitting spill-overs. Focusing on stock and bond market returns, the Forbes and Chinn (2004) study identifies bilateral trade flow as a significant determinant of linkages in stock and bond markets – and with a large effect. This effect has increased since 1996 and was not so evident before then. Vo (2005) considers variation in international financial integration. He finds capital controls, trade openness, the level of domestic credit and economic growth to be successful in explaining this variation. Arfaoui and Abaoub (2010) attribute increasing levels of international financial integration to global factors as well as domestic factors such as economic stability, trade openness, the level of investment, economic growth and the local tax regime.

Chen and Zhang (1997) include the Pacific Basin and major developed countries in their study. Correlations between the various stock markets can be linked to trade volumes, GDP growth and volatility of return volatility. They conclude that the cashflows of countries are linked via their trade activities and therefore equity markets become more integrated.

Pretorius (2002) focuses specifically on emerging market economies. She uses as dependent variable the correlation between stock markets and then regresses it on the average of identified explanatory variables across the same time period. Working with correlations between two countries at a time, allows her to consider bilateral trade and interest differentials. She concludes that a substantial part of co-movement is explained by fundamentals and not so much by contagion; as such bilateral trade, industrial growth differentials and regional indicators are significant. Another fundamental factor influencing integration is the institutional environment. China is one of the most important emerging market economies and concerns are often raised about the institutional environment, particularly for companies from more developed economies (Miska, Witt and Stahl 2016).

Also with a focus on emerging markets, Johnson and Soenen (2003) consider Canada and seven emerging market economies in their attempt to see whether variables linked to economic integration can explain stock market integration. Stock market integration is measured in correlation with the US market. Positive co-movement is evident with those countries who display a high share of trade with the US. Lower co-movement is found when the stock market capitalisation ratio with the US is higher. Regarding the role of trade, Chambet and Gibson (2008) confirm that less open economies tend to display less integrated financial markets. They then continue and stress a different factor not often mentioned in integration literature. Financial markets of emerging economies are more integrated if they have a less diversified trade structure.

From a sample of 26 (mostly developed) countries from different trading blocs, Hooy and Goh (2007) find that trade openness and global dividend yield the significant determinants of stock market integration. The geographical aspect of trade is raised by Park and Mercado Jr (2014). According to their findings, regional trade can intensify financial stress. Emerging market countries with more diverse trading partners are financially more stable.

Tavares (2009) and Liu (2013) both include a combination of emerging and developed markets in their empirical samples. Tavares (2009) concludes that correlation of stock market returns is explained by trade intensity, having the same export structure, GDP per capita, common colonisers and well-developed legal and political institutions. Liu (2013) takes the analysis a bit further and distinguishes between the determinants of developed and developing economies. For developed markets, information capacity (number of telephone line and cellular phone subscriptions) and similar industrial structures are important determinants, while economic integration, and particularly trade, matters for developing economies. Financial integration (measured by capital account openness) is important in each group, but does not explain co-movement between the two groups.

The most recent study focuses on stock market interdependence between Australia and its trading partners. Paramati, Gupta and Roca (2015) use exchange rates and inflation differentials as significant control variables, but found that interdependence is driven by trade intensity.

From the above literature survey, the one variable that proves to be significant in explaining (the broader) financial market integration as well as (the narrow) stock market integration is

trade. The empirical study of this paper will therefore seek to find a significant relationship between trade and stock market integration of emerging market economies, while also considering macroeconomic, financial and institutional measures identified in the literature.

### 3. METHOD AND DATA DESCRIPTION

While most studies discussed in section 2 measure co-movement or synchronisation through a bi-directional relationship (pairwise correlations), this study measures stock market integration as the explanatory power (or the R-square) of a multi-factor model, a technique also employed by Emiris (2000), Brooks and DelNegro (2004), Kabundi and Mouchili (2009) and Pukthuanthong and Roll (2009). Following the arbitrage pricing theory (APT) of asset returns, common sources of global systematic risk are identified for the global stock market. Using exploratory factor analysis, the appropriate number of latent factors is extracted through the principal components estimation technique. Once the latent (common) factors of systematic risk have been identified, they are used as explanatory variables in a regression explaining returns on the stock market of a specific country. The R-square (or variance share) from these regressions is an indication of the proportion of each country's returns that are explained by global forces – and consequently the level of that country's integration into global markets. This is regarded as a much broader measure of integration than the mere co-movement with one other market or a chosen group of markets with similar economic conditions or from a specific region.

A truly global sample of stock market indices, all stock market price indices (all share as well as the different equity sub-sectors per country) available from the Datastream database of Thompson Reuters, is included in the analysis. For a complete list of the indices per country, see Pretorius (2016). Since stock market data on most emerging markets is only available from the 1990s, and data on the Russian Federation only since February 1998, the time period for the study starts on 18 May 1998. Daily data for each index is converted into weekly observations by taking the average of the five observations of each week. Weekly returns are calculated as the log difference of consecutive weekly averages. Therefore, a total of 691 weekly observations is included, spanning the period May 1998 until August 2011. These 691 observations span across 50 countries and a total of 451 stock market indices. The market capitalisation of the listed companies in these 50 countries together accounted for 95.98% of the world market capitalisation, measured in US dollars, in 2010.

Out of the 50 countries represented in the global sample, 18 are classified as emerging markets (according to the FTSE classification): Brazil, Chile, China, Colombia, Czech Republic, Hungary, India, Malaysia, Mexico, Pakistan, Peru, Philippines, Poland, Russian Federation, South Africa, Taiwan, Thailand and Turkey. The focus now shifts to the calculated integration level, as well as selected stock market characteristics for each of the 18 countries.

From the mentioned 451 indices, two common factors, representing the variation in the global stock markets, are extracted for each week – for further details, see Pretorius (2016). A major advantage of this factor model approach is that integration can be measured over different time periods. The first column of Table 1 shows the R-square when the return of each country is regressed on the two common factors over the whole sample period – an indication of stock market integration over the full sample period. The higher this R-square, the more integrated the specific market is deemed to be with the global stock market. For example, the 0.4982 value for Chile means that 49.82% of the variation in stock market returns of Chile is explained by the two global factors during the sample period. In the subsequent panel data analysis, each country's weekly returns for a whole year is regressed on the corresponding common factors – resulting in an annual integration measure per country.

The country with the highest level of stock market integration is South Africa. This is not surprising if one considers that, established in 1887, it is one of the oldest stock markets in Africa and in the world. The Johannesburg Stock Exchange (JSE) is also constantly being rated as the best regulated securities exchange in the World Competitiveness Report. The next two stock markets, Thailand and Mexico, are also the next two oldest in the sample of emerging markets – with Datastream data available since 1986 and 1988, respectively. With the exception of Brazil in the 6<sup>th</sup> place, the next positions are all taken by European emerging stock markets. The least integrated countries are Pakistan, China and Colombia – with



obvious lower integration values compared to the other 15 countries. Only 6.97% of the variation in the Pakistan stock market returns is explained by the two global common factors – one can therefore conclude that the Pakistan stock market is not integrated with the global stock markets.

**Table 1: Stock market characteristics of emerging markets**

Country	Level of integration	Market cap	Regulate	Restrict
South Africa	0.6205	129.5	6.0	3.9
Thailand	0.6023	77.7	4.8	4.4
Mexico	0.5992	34.9	3.8	4.9
Hungary	0.5952	13.7	4.5	5.2
Poland	0.5833	26.8	5.0	4.5
Brazil	0.5739	49.6	5.7	4.4
Czech Republic	0.5449	17.8	4.6	5.2
Taiwan	0.5056	140.2	5.2	3.8
Philippines	0.5028	73.8	4.1	4.5
Chile	0.4982	107.6	3.7	5.4
India	0.4597	54.0	5.3	4.4
Russian Federation	0.4304	41.8	3.3	3.4
Turkey	0.3855	26.0	4.6	5.0
Malaysia	0.3500	136.6	5.2	4.4
Peru	0.3449	46.5	3.4	5.3
Colombia	0.1942	60.0	3.5	3.8
China	0.1474	46.3	4.4	3.3
Pakistan	0.0697	15.3	4.0	4.2

Market cap: Market capitalisation as % of GDP in 2011 (Source: World Bank)

Regulate: Global Competitiveness 2011 score for regulation of securities exchange (higher value indicates better regulation)

Restrict: Global Competitiveness 2011 score for the restrictiveness of capital flows to the country (higher value indicates fewer restrictions)

In looking for explanations for the varying levels of emerging stock market integration, Table 1 also provides stock market indicators for the 18 countries. Market capitalisation refers to the total value of shares listed on the stock market of the country as a % of the country's GDP. 'Data commence' indicates the date from which onwards stock market data for the specific country is available on Datastream database. This serves as a proxy for the age of the stock

market. The last two indicators are taken from the 2011 Global Competitiveness Report. 'Regulate' represents the score regarding the question to assess the regulation and supervision of securities exchanges in the country (A score of 1: Ineffective; and 7: Effective). 'Restrict' measures the restrictiveness of regulations related to international capital flows (1: Highly restrictive; 7: Not restrictive at all).

With the exception of Pakistan, countries such as Hungary, Poland and the Czech Republic (with relatively young market economies) display the lowest levels of market capitalisation and some of the highest levels of integration. Taiwan and Malaysia, with some of the highest market capitalisation percentages, are ranked somewhere in the middle of the 18 countries, while the highest ranked, South Africa, is also among the countries with the highest market capitalisation.

#### 4. EMPIRICAL STUDY

The empirical study follows the same two-step procedure as in most of the studies described in section 2. The first step is the determination of the level of stock market integration – which is done by means of the factor analysis and the results reported in Table 1. The second step involves the explanation of integration at the hand of specified variables. Since the integration measure does not involve bilateral relationships (but rather measures integration from a sample of global stock markets), it is impossible to include measures such as geographical distance, specific ratios and differentials. The best possible specification would include a combination of macroeconomic fundamentals, financial market indicators and institutional aspects.

##### 4.1. Cross-section analysis

Building on the visual inspection of Table 1, Table 2 reflects the results of a cross-sectional regression run on some of the data displayed in Table 1. The data for 'Integration', 'Restrict' and 'Regulate' corresponds with that in Table 1, while 2011 values for trade as percentage of GDP (Openness) and the budget balance as percentage of GDP (Budget balance) are added.

**Table 2: OLS results for emerging markets**

<b>Dependent variable: Integration</b>		
<b>Explanatory variable</b>	<b>Estimated coefficient</b>	<b>Probability</b>
Openness	0.0005	0.4931
Budget balance	0.0339	0.0295
Restrict	0.0293	0.5201
Regulate	0.1612	0.0007
C	-0.3903	0.1324
Observations	18	
Adjusted R <sup>2</sup>	0.5159	

\* Estimated with white-heteroskedasticity-consistent standard errors and covariance

Despite the low number of observations, the estimates render two statistically significant determinants. The surplus/deficit of the budget as well as the strictness, with which the stock exchange is regulated, have a statistically significant impact on the level of stock market integration of the 18 emerging market countries. (It is worth noting here that the same cross-sectional regression estimated for the advanced economies did not render any significant

results.) However, further analysis of the determinants over the full sample period is needed in order to make valid conclusions. Therefore, the analysis proceeds with panel data analysis, where annual measures of integration are combined with macroeconomic variables in annual frequency. This could render more refined results than the regression in Table 2 that involved just one value for each of the variables regardless of the 21-year sample period.

#### 4.2. Panel data analysis

In order to expand the regression analysis, the following are considered as potential explanatory variables.

CREDIT:	Domestic credit provided by financial sector (% of GDP)
DEFICIT:	Budget deficit (% of GDP)
GFCF:	Gross fixed capital formation (% of GDP)
GROWTH:	Economic growth (annual %)
INFLATION:	GDP deflator (annual %)
MARKETCAP:	Market capitalization as % of GDP
TAX:	Tax revenue (% of GDP)
XGDP:	Exports as % of GDP
MGDP:	Imports as % of GDP
XMGDP:	Exports + Imports as % of GDP

Three more variables were considered, but not included in the above list. Data from the Global Competitiveness Report is only available from 2005; therefore, 'Restrict' and 'Regulate' could not be included in the panel data analysis. UNCTAD considers five of the 18 countries in the sample to be commodity dependent, namely: Brazil, Chile, Colombia, Peru and South Africa. However, a dummy variable for commodity dependence did not render significant results, unlike the findings from the IMF (2016) study.

An initial inspection of the data revealed that only one series, CREDIT, is not stationary. The integration measure and all the other potential explanatory variables are stationary. Therefore, the use of panel cointegration techniques is ruled out.

The panel data analysis includes data of 16 emerging market countries: Brazil, Chile, China, Colombia, Czech Republic, Hungary, India, Malaysia, Pakistan, Peru, Philippines, Poland, Russian Federation, South Africa, Thailand and Turkey for the period 1998 to 2011. Taiwan and Mexico, initially part of the sample, are omitted from the analysis due to a lack of data for the specified explanatory variables.

According to preliminary results from the Hausman test, a random effects model is preferred to a fixed effects model. However, the estimated random effects models (not reported here) suffer from cross-section dependence. In light of these statistical diagnostics, the generalised method of moments (GMM) model, as derived by Arellano and Bond (1991), is estimated and reported as the preferred specification. Panel 1 to 4 in Table 3 represent results of different specifications – particularly regarding the specific measure of trade that is included. Estimations in panels 1 and 2 include exports as % of GDP, while panel 3 includes exports plus imports as % of GDP and panel 4 includes imports as % of GDP.

**Table 3: GMM results for emerging market integration**

**Dependent variable: Integration**

<b>Explanatory variable</b>	<b>Estimated coefficient</b>	<b>Probability</b>
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*Panel 1*

INTEGRATION(-1)	0.136012	0.0222
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CREDIT	0.003508	0.3629
INFLATION	-0.002973	0.2412
MARKETCAP	0.001924	0.0074
XGDP	0.012873	0.0077

*Panel 2*

INTEGRATION(-1)	0.048515	0.0000
D(CREDIT)	0.002424	0.0110
INFLATION	0.001895	0.8828
MARKETCAP	0.000674	0.0023
XGDP	0.005351	0.0015

*Panel 3*

INTEGRATION(-1)	0.287062	0.0000
D(CREDIT)	0.006017	0.0714
INFLATION	7.64E-05	0.9755
MARKETCAP	0.002546	0.0034
XMGDP	0.009555	0.0116

*Panel 4*

INTEGRATION(-1)	0.329181	0.0000
D(CREDIT)	0.004766	0.2876
INFLATION	4.61E-05	0.9892
MARKETCAP	0.002818	0.0075
MGDP	0.018534	0.0614

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\* The Arellano-Bond serial correlation test (not reported here) confirms that that the model error terms are serially uncorrelated as required

The results reported in Table 3 confirm the significance of market capitalisation in explaining stock market integration of emerging market countries. Stock markets with higher levels of capitalisation are more integrated than those with lower levels of capitalisation. This variable is significant at 1% in all four panels.

INFLATION displays the expected negative sign only in panel 2, but is not statistically significant. Since CREDIT is non-stationary, it enters the regression in differenced format in

panels 2, 3 and 4. There is some indication that the level of credit provided by the domestic financial sector impacts on stock market integration, but with probabilities ranging between 1.1% and 28.8%, it is not as overwhelming as the impact of market capitalisation.

MGDP is not significant at 5% when it is included in the regression as representative of trade (see panel 4). XGDP proves to be significant in panels 1 and 2 as well as the combination of exports and imports (XMGDP) in panel 3. This finding is in line with most of the empirical results discussed in section 2. As such, trade activities increase cashflows between countries and lead to more integrated stock markets. It furthermore seems as if emerging market exports are more inclined to increase integration levels than emerging market imports.

## 5. CONCLUSION

The global financial crisis has highlighted the urgency to better understand the link between the financial and real sectors of the economy. This paper comes to the important finding that, apart from the level of market capitalisation (as financial indicator), trade (representative of the real economy) is a significant determinant of stock market integration of emerging market countries, economies not yet classified as developed. The empirical results confirm the importance of trade in shaping stock market interdependence; also while using a unique measure of stock market integration that differs from correlation analysis most often employed.

The results further indicate the importance of financial indicators (including market capitalisation) and institutions (how well the stock market is regulated) as determinants of integration. This finding challenges the narrow/limited finding of Liu (2013) that emerging market integration is only driven by economic factors.

The current empirical analysis covers data until 2011. This can be regarded as a weakness and further analysis is needed on an expanded sample. The changing nature of integration may be reflected in more recent data. The literature mentions additional aspects of trade, apart from the normal discussion on the volume and value of trade. These include: the impact of the number of trading partners, the location of the trading partners and the content of the export basket (how diversified a country's exports are). These three factors can be included in future research and tested as additional determinants of the level of financial market integration of emerging markets.

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**THE INFLUENCE OF PERCEIVED RISK, VENDOR CREDIBILITY AND WEBSITE EASE-OF-USE ON CONSUMERS' ONLINE FASHION SHOPPING INTENTION**

**Rejoice Tobias-Mamina**

Marketing Division  
University of the Witwatersrand  
Email: rejoice.tobias-mamina@wits.ac.za  
Orcid ID: <http://orcid.org/0000-0002-0965-8170>

**Eugine Tafadzwa Maziriri**

Department of Business Management  
University of the Free State  
E-mail: MaziririET@ufs.ac.za  
Orcid ID: <http://orcid.org/0000-0002-8047-4702>

**~Abstract~**

*Consumers' perception of risk has been considered as a primary concern of decision making during online shopping. The rationale of this paper is to examine perceived risk, vendor credibility and website ease of use as potential antecedents of online shopping intention in a sample of consumers in Gauteng province of South Africa. Research scales were operationalised on the basis of prior work. Appropriate modification was made in order to fit the current research context and purpose. This study examined dimensions of consumer risk perception, vendor credibility and website ease of use as potential antecedents of purchase intention in a sample of consumers in Gauteng province of South Africa. To investigate the hypotheses of the research, data was collected from 395 respondents, 88 percent response rate, using incognito completed questionnaires. Descriptive analysis tested a risk perception, vendor credibility and ease of use model. A conceptual model was tested using structural equation modelling. Results suggest that perceived risks negatively affected behavioural intention. However, vendor credibility has no effect on behavioural intention. Important to note about the study findings is the fact that website ease of use has a significant influence on the intention to purchase fashion clothing online.*

**Key Words:** South Africa. Perceived risk, Vendor credibility, Perceived ease-of-use, Purchase intention

**JEL Classification: M10, M16, M31**

**1. INTRODUCTION**

Recently, organizations have invested a lot of resources in their business innovation. The advent of the e-commerce platform within the fashion retail industry has resulted in this development. Electronic commerce has evolved from an evolving brand to become an integrated reality for organisations and clients (Escobar-Rodríguez & Bonsón-Fernández, 2016). With the Internet emerging, many organisations would have no option but to expand their services and channels of distribution to stay competitive. Most fashion retail organizations, by offering their services electronically, are always engaged in innovation to assist their customers enjoy the finest shopping experience. According to internetworldstats.com (2019), South Africa has an internet penetration rate of 32.9% as of June 30, 2019. The main objective of the study was to determine whether consumers' perceived risk, vendor credibility and website ease of use were associated with online purchase behaviour. Several prior studies have attempted to identify different factors that encourage online shopping. For instance, some scholars put forward psychological constructs such as trust and attitude, perceived relative advantage (Amaro & Duarte, 2015) while others consider cognitive motivations such as perceived behavioural control, environmental values, social and ethical values (Wang et al., 2014).

In addition, Weisberg et al (2011), have attempted to integrate the psychological and cognitive perspectives to explain purchase behaviour. However, the perceived risk, vendor credibility - perceived ease of use linkage remain under researched particularly from an African emerging market perspective. Based on the research gaps identified, the present study aims to

determine the impact of perceived risk, vendor credibility, and perceived ease of use on online shopping behaviour of South African consumers. In a nutshell, it is anticipated that the present research will provide empirical evidence and inform online retailing design and operation that suits consumer needs.

## **2. LITERATURE REVIEW**

### **2.1 Behavioural intention**

The study model presents intention to purchase on-line as the exogenous variable derived from the Theory of planned behaviour that posit that behavioural intention is the main antecedent of actual behaviour (Ajzen & Fishbein, 1975). Behaviour intentions have been accepted as a dominant antecedent of online shopping (Ajzen & Fishbein, 1975), and actual information technology usage (Venkatesh, Morris, Davis & Davis, 2003). Extant literature assumes that the intentions capture the psychological motivational factors that influence behaviour. Therefore, it can be inferred that the stronger the motivation the more positive the intention to engage in an act.

### **2.2 Perceived risk**

Perceived risk has been consistently recognized as an inhibitor of online buying, regardless of technological developments and the increasing skills and competencies of customers on the Internet (Belanche et al., 2012; Bianchi and Andrews 2012). Online transactions can lead to a sense of uncertainty about the effects of the purchase. Given that e-buyers can not physically examine the item before it is received, their perception of risk was discovered to have a significant impact on the purchase decision (Antony et al., 2006). Hence, perceived risk in an internet environment may be categorized as a consequence of the transaction according to the nature of the loss. Risk perception may include delivery concerns (Glover & Benbasat, 2010), potential fraud (Hong and Cho, 2011), inconvenience (Forsythe et al., 2006) as well as privacy concerns (Baruh et al., 2017). Overall, the nature of the internet as a transaction method generates uncertainty about online transactions, making risk one of e-commerce's critical elements.

### **2.3 Vendor credibility**

Online technologies have created electronic word-of-mouth which provides possibilities for collecting credible information that guide consumer behaviours. Extant literature found that consumers' perception of reputational differences among online vendors ultimately affect their assessment of a vendor's trustworthiness, perceptions of risk, and their willingness to purchase from the vendor (Jarvenpaa et al., 2000). Gefen (2003) proposes that familiarity with and trust in an online retailer influence consumer intention to both inquire about the retailer's merchandise and purchase from the retailer. Balasubramanian et al. (2003) find that perceived trustworthiness of an online broker significantly affects investors' satisfaction. Prior credibility research found trust and credibility correlating with willingness to purchase (Gefen et al, 2003; Pavlou, 2003). Extant literature identifies two elements of credibility, trustworthiness (believability) and expertise (capability of delivering the promise. The extent of consumer trust in an online platform assist in building psychological belief in the e-vendor which eventually influence purchase decision (Hajli, Sims, Zadeh, & Richard, 2017).

### **2.4 Perceived website ease of use**

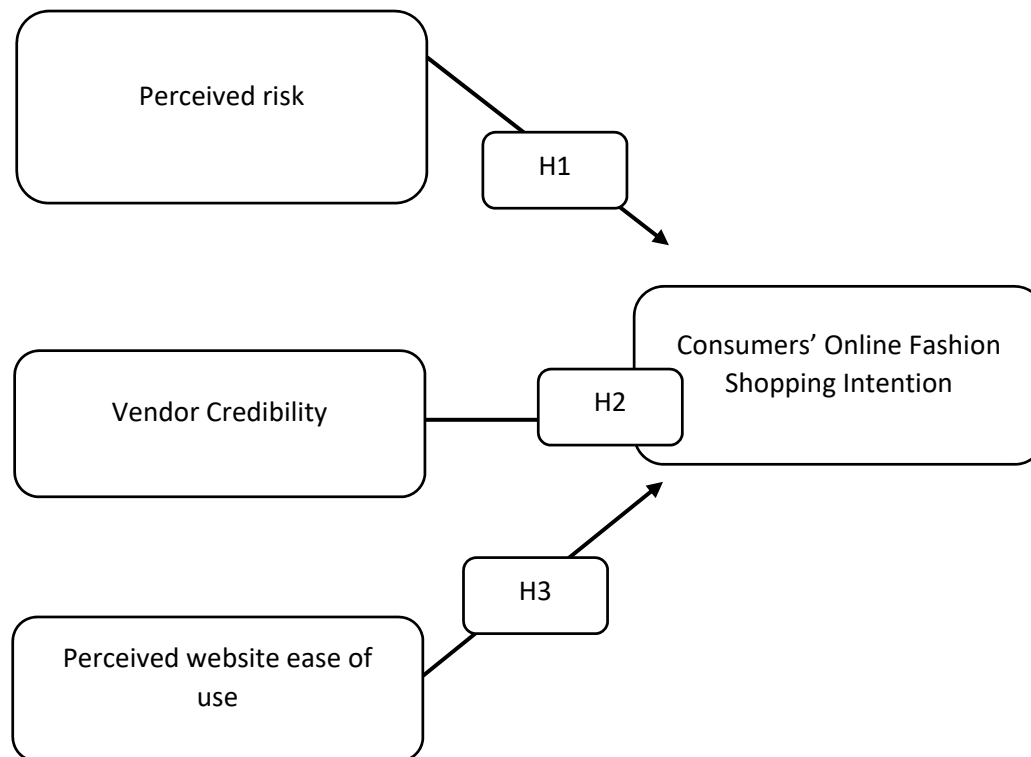
Perceived ease of use (PEOU), a key factor in the technology acceptance model, is the degree to which an individual believes that using a technology would be free of cognitive effort (Davis, 1989). The most significant indicator of a successful website design is where a visitor is attracted to an extent where he/she is converted into a shopper as it is the most difficult task to many online vendors (Chen & Teng, 2013). Prior research posits that a well-explained and easy to understand web site increase customers' trust in an e-commerce vendor (Gefen, 2003; Hajli et al. 2017).



### 3. Conceptual model and hypothesis development

To empirically test the interrelationships between variables a conceptual model is developed to examine the effect of perceived risks, vendor credibility and website ease of use on online shopping of South African consumers as shown on Figure 1.

Figure 1: Conceptual model



#### 3.1 Perceived risk and online purchase intention

Perceived risk is the degree to which purchasing through the Web is perceived as risky in terms of credit card fraud, information privacy and general uncertainty about the Internet environment. Consumers' perceived risk has been found to be an accurate antecedent of consumers' behaviour in both traditional and online environments (Vila & Kurster, 2011), given that consumers are generally more preoccupied with uncertainty avoidance rather than utility maximisation when making a purchase (Pavlou, 2003). Despite significant diffusion of e-commerce, B2C consumers continue to perceive internet purchase as risk (Andrews & Boyle, 2008). Studies confirm that perceived risk is a factor that influences an individual's attitude or intentions to purchase online (Cheung & Lee, 2001; Qureshi *et al.*, 2009). Forsythe *et al.* (2006) found that perceived risk negatively impacts consumers' perceptions of online purchase mostly among those who purchase less frequently. Conversely, Rouibah *et al.* (2016) found that respondents who are high on innovativeness perceive less risk about online purchase. Since prior researches have indicated that perceived risk has a negative effect on attitude towards online shopping as well as on intention to purchase online (Bign\_ *et al.*, 2010; Jensen, 2012), the following is hypothesised:

H1: Perceived risks negatively affect behavioural intention to purchase online

#### 3.2 Vendor/Brand credibility and online purchase intention

Credibility is generally defined as the believability of an entity's intentions which requires that consumers perceive that the brand have expertise (ability) and trustworthiness (willingness) to constantly deliver what has been promised (Erdem & Swait, 2004). Consumers can perceive differences in reputation among online vendors which ultimately affect their assessment of a vendor's trustworthiness, perceptions of risk, and their willingness to purchase from the vendor

Jarvenpaa et al. (2000) find that Gefen (2003) proposes that familiarity with and trust in an online retailer influence consumer intention to both inquire about the retailer's merchandise and purchase from the retailer. Balasubramanian et al. (2003) found that perceived trustworthiness of an online broker significantly affects investors' satisfaction. Gefen et al. (2003) argue that consumers' trust in an online vendor and their assessment of the information technology play important roles in determining consumers' online purchasing intentions. In this study, it is proposed that the more credible an online vendor, the higher the propensity to purchase from the vendor online. Thus, this study hypothesises that:

H2: Vendor credibility directly influences behavioural intention to purchase online.

### **3.3 Perceived website ease-of-use and online purchase intention**

Technology acceptance model (TAM) suggests that perceived ease of use has a significant effect on perceived usefulness. Consequently, the easier it is to use a technology, the more likely the users will find it useful. Empirical research has presented significant evidence that supports this relationship in diverse contexts (e.g. Venkatesh et al., 2012; Ma et al., 2016). In an effort to corroborate this hypothesis in a novel context, this study argues that the extent to which consumers find retailers' website easy to use will positively impact their attitude towards the vendor which will consequently influence their intention to purchase through that particular vendor. Thus, the following hypothesis is proposed.

H3: Website's perceived ease of use positively influence behavioural intention to purchase online.

## **4. Research methodology**

### **4.1 Sampling and data collection**

Data was collected from online shopping users; 450 self-administered questionnaires were conveniently distributed among consumers who previously purchased online. Finally, 395 usable questionnaires were retrieved for the final data analysis, representing a response rate of 88 per cent. To eliminate differences in response patterns due to different reference points, all respondents were prompted to answer the questionnaire with reference to online purchase of fashion clothing. In this regard, the respondents were asked to identify a retailer website which they had frequently visited to make a purchase intention decision. Respondents were then asked to name the retailer brand and they were requested to think about that brand as they complete the entire questionnaire, guided by the research assistants.

### **4.2 Measurement instrument and questionnaire design**

Research scales were operationalized based on prior work. Appropriate modifications were made to fit the current research context and rationale. Perceived risk measure used 14-item scale adapted from Masoud (2013); Vendor credibility used four-item scale measure all adapted from Casaló *et al* (2007); perceived website ease-of-use used a six-item scale measure adopted from Casaló *et al* (2007) and purchase intention used a three-item scale measure adopted from Escobar-Rodríguez and Bonsón-Fernández (2016). All the measurement items were measured on a five-point Likert-type scale that was anchored by 1=strongly disagree to 5=strongly agree to express the degree of concurrence.

### **4.3 Respondents Profile**

The respondents were asked to report their demographic information, age and level of study. The respondents were predominantly undergraduates.

## **5. RESEARCH RESULTS**

The results section focuses on the results of confirmatory factor analysis (CFA), hypothesis tests performed through structural equation modeling (SEM) and discussions. A CFA is a unique type of factor analysis used to assess whether a construct's measurements are compatible with that construct's nature (Kline 2011). The SEM method is used to evaluate interactions between variables that are latent (unobservable) such as dependent and independent constructs (Mafini, & Louri-Okoumba, 2018).

### **5.1 Psychometric properties of measurement scales**

The assessment of the measurement scales' psychometric characteristics was performed through a CFA to determine the construct's reliability, validity, and model fit. Table 1 presents the outcomes of the CFA assessment.

**Table 1: Psychometric properties of measurement scales**

Research constructs		Item to total correlation values	$\alpha$ values	CR	AVE	Factor loadings
Codes	Code items					
PR	PR1	0.610	0.798	0.930	0.500	0.873
	PR2	0.539				0.838
	PR3	0.518				0.643
	PR4	0.551				0.678
	PR5	0.502				0.654
	PR6	0.528				0.669
	PR7	0.619				0.790
	PR8	0.593				0.562
	PR9	0.608				0.635
	PR10	0.530				0.643
	PR11	0.543				0.693
	PR12	0.561				0.754
	PR13	0.598				0.736
	PR14	0.538				0.635
VC	VC1	0.621	0.801	0.830	0.540	0.690
	VC2	0.591				0.728
	VC3	0.581				0.749
	VC4	0.601				0.781
PWEOU	PWEOU1	0.	0.813	0.820	0.440	0.567
	PWEOU2	0.				0.654
	PWEOU3	0.				0.659
	PWEOU4	0.				0.673
	PWEOU5	0.				0.698

	PWEOU6	0.				0.703
COFSI	COFSI1	0.596	0.744	0.750	0.500	0.589
	COFSI2	0.500				0.723
	COFSI3	0.598				0.803

Note: PR=Perceived Risk; VC=Vendor Credibility; PWEOU=Perceived Website Ease-Of-Use; COFSI=Consumers' Online Fashion Shopping Intention; SD= Standard Deviation; CR= Composite Reliability; AVE= Average Variance Extracted

According to Nunnally (1978), the reliability of a measure is supported if Cronbach's Alpha is 0.7 or higher. The results provided in Table 2 range from the lowest Cronbach Alpha (0.744) to the highest (0.813). Cronbach's Alpha scores indicate that each construct exhibit strong internal reliability (Lee, 2009). Table 2 shows the loading of each item on their construct. The lowest value for each respective item loading for the research constructs is 0,562; all the individual item loadings exceed the recommended value of 0,5 (Anderson & Gerbing, 1988). This indicates that all the measurement instruments are acceptable and reliable, since all the individual items converged well and with more than 50% of each item's variance shared with its respective construct (Fraering & Minor, 2006). CR and AVE for each construct were also computed and assessed to determine if they met the required thresholds for reliability and validity. As per the results shown in Table 1, the lowest CR value (0.750) is well above the recommended 0.6 (Hulland, 1999), while the lowest obtained AVE value (0.440) is above the recommended 0.4 (Anderson & Gerbing, 1988). This indicates that convergent validity was achieved, further confirming excellent internal consistency and reliability of the measurement instruments used.

## 5.2 Discriminant validity

According to Field (2013) discriminant validity refers to items measuring different concept. Table 2 presents the results of the discriminant validity analysis. As depicted in table 2 all the correlation coefficients of this study fell below 0.70, thereby confirming the theoretical uniqueness of each variable in this research (Field, 2013).

**Table 2: Intercorrelations for independent and dependent variables.**

Variables	POS	CGD	EL	PWB
PR	1	-	-	-
VC	0.347**	1	-	-
PWEOU	0.423**	0.364**	1	-
COFSI	0.319**	0.491**	0.484**	1

\*\* Correlation is significant at the 0.01 level (2-tailed).

**Note: PR=Perceived Risk; VC=Vendor Credibility; PWEOU=Perceived Website Ease-Of-Use; COFSI=Consumers' Online Fashion Shopping Intention**

Discriminant validity was further confirmed by the square root of AVE of all latent factors which ranged from 0. 575 to 0.863, which was higher than the highest correlation of factors. As such, all pairs of the constructs and the two-factor CFA tests results indicated sufficient level of discriminant validity.

## 5.3 Model fit assessment

This study used structural equation modelling (Amos Version 24) to estimate the relationship among the constructs based on conceptual model in Figure 1. A two-step model building approach was used, with the measurement models tested prior to testing the structural model

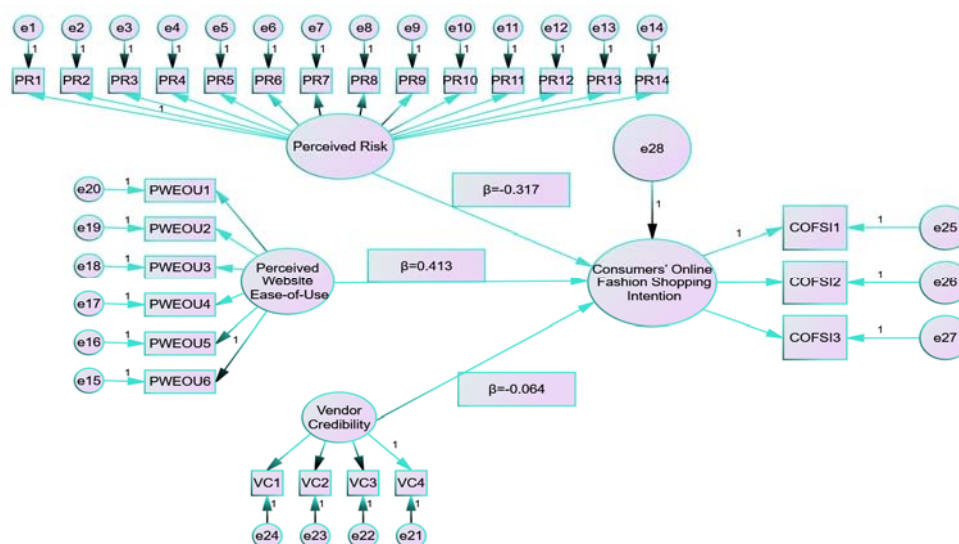
(Anderson & Gerbing, 1988). The general model fit indices for both the CFA and SEM models are presented in Table 3. The model is acceptable in terms of overall goodness of fit. Acceptable model fit is indicated by CMIN/DF value < 3; both GFI and AGFI values  $\geq 0.80$ ; RMSEA values  $\leq 0.080$ ; IFI, TLI and CFI values  $\geq 0.90$ . As shown in table 3 it can be noted that study achieved the suggested thresholds (Bentler, 1990). This suggests that the model converged well and could be a plausible representation of underlying empirical data structures collected in Gauteng.

**TABLE 3: Model fit statistics.**

Fit indices	Acceptable fit indices	CFA (measurement model)	SEM (structural model)
Chi-square/degree of freedom (df)	<3.0	1.164	1.276
Incremental fit index (IFI)	> 0.90	0.989	0.959
Tucker-Lewis index (TLI)	> 0.90	0.985	0.938
Comparative fit index (CFI)	> 0.90	0.989	0.968
Normative fit index (NFI)	> 0.90	0.926	0.945
Goodness of fit (GFI)	> 0.90	0.950	0.955
Root mean square error of approximation (RMSEA)	< 0.08	0.026	0.044

**CFA=confirmatory factor analysis; SEM=structural equation modelling**

**Figure 2: The final structural model of the study**



The results in Table 4 provide support for all three of the proposed hypotheses.

**Table 4: Results of structural equation model analysis**

Proposed Hypothesis relationship	Hypothesis	Path Coefficient	P-Value
PR -> COFSI	H1	-0.317	0.01

VC -> COFSI	H2	-0.064	0.635
WEOU -> COFSI	H3	0.413	0.01

**Note: PR=Perceived Risk; VC=Vendor Credibility; PWEOU=Perceived Website Ease-Of-Use; COFSI=Consumers' Online Fashion Shopping Intention**

The first postulated hypothesis was the relationship between perceived risk and intention to purchase online. The path coefficient of risk to purchase intention was significant at the 0.01 level (-0.302\*\*\*). Thus, H1 was supported. Consistent with hypothesis one (H1), results indicate a negative relationship between perceived risk and intention to purchase fashion clothing online. Thus, this study provides evidence that a consumer's perceived risk reduces the consumer's intention to purchase online. The second posited hypothesis was the relationship between vendor credibility and intention to purchase online. Hypothesis two (H2) was rejected and was not significant. The results indicate that vendor credibility may probably influence purchase intention indirectly by first building consumer trust which then enhance vendor credibility and subsequently influence purchase intention. The third proposed hypothesis was the relationship between website perceived ease of use and intention to purchase fashion clothing online. The standardized coefficient of perceived ease of use is positive and significant ( $p < 0, 01$ ). This implies that hypothesis three (H3) is consistent with the current study prediction and is supported. The results for H3 may perhaps be a result of familiarity with the e-vendor and understanding how to search and purchase items through the site. The study refrains from claiming causality among the variables but confirm the positive and negative associations between them since the methodology used in this study does not test for causality.

## 6. Discussion and conclusion

The purpose of this study was to investigate the influence of perceived risk, brand credibility and website ease of use on intention to purchase online. Notably, three hypotheses were postulated. To test the proposed hypotheses; data were collected from a Higher Education Institution in Gauteng province in South Africa. The empirical results supported all except one of the posited research hypotheses in a significant way except H2. Important to note about the study findings is the fact that perceived website ease of use has stronger effects on purchase intention (0.413) than vendor credibility (-0.064) which is negative and not supported. Perceived risk has negative effects on purchase intention (-0.317). One possible reason for this insignificant effect of perceived risk on purchase intention may be explained by the fact that online purchase decisions are essentially risky, and therefore trust may be an important factor in giving consumers the assurance they need to engage in online transactions. By implication, this finding indicates that trust-building processes (e.g. information quality, security or reputation), which the vendors, may manipulate through website design, to directly influence risk perceptions as well as purchase decisions. Website ease of use deals with simplicity or confidence related to interfaces or procedures (e.g. searching and ordering products) which reflect a vendor's capability and thus its ability to honour its obligations. This study provides evidence that a consumer's perceived risk reduces the consumer's intention to purchase online, whereas a vendor's credibility has no direct effect on purchase intention and finally ease of use significantly influence purchase intentions. Thus, these findings validate the argument that a consumer's perception of risk impacts significantly electronic, "virtual" transaction decision and thereby support the proposed framework (Peter & Tarpey, 1975).

## 7. Implications of the study

Therefore, the model and results are likely to provide practical implications for merchants or vendors wishing to enhance their business through e-commerce by decreasing their customers' risk and simplifying their interfaces and procedures. By differentiating the concepts both theoretically and empirically, the study provided significant insights into their distinctive role in online purchase experience. From academic perspective, this study makes a significant contribution to the consumer behaviour literature by systematically exploring the impact of risk perception and perceived ease of use on purchase behaviour of South African consumers. Overall, the current study findings provide tentative support to the proposition that perceived

risk and website perceived ease of use should be recognized as significant antecedents for influencing online purchase decision amongst South Africa consumers.

## 8. Limitations and direction for future research

Despite the usefulness of this study, the research has its limitations. Firstly, the study can be strengthened by increasing the sample size and including participants in other geographical areas. Secondly, the current study was limited to the Higher Education Institution in Gauteng, South Africa. The framework proposed in this study could be utilised with other product categories, brands and markets to escalate the generalisability of the results. Finally, the present study did not examine such factors perceived benefits and vendor reputation. Future studies should focus on the antecedents and their potential effects on purchase behaviour. Overall, these suggested future opportunities of study stand to greatly contribute new knowledge to the existing body of consumer behaviour literature in Africa – an often-neglected context.

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