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IMPACT OF BATHO PELE PRINCIPLES ON SERVICE DELIVERY: A CASE STUDY OF THE DURBAN REGIONAL OFFICE OF THE DEPARTMENT OF HOME AFFAIRS

Dissertation submitted in fulfilment of the requirements for the degree of Master of Technology: Public Management in the Faculty of Economics and Management Sciences at the Durban University of Technology.

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DECLARATION

I, Telesphorus Lindelani Ngidi, declare that this dissertation submitted to the Durban University of Technology for the Master of Technology: Public Management is my own work and has not been previously submitted by me for any degree at this or any other university and that all the materials contained therein have been duly acknowledged.

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ABSTRACT

The Batho Pele principles provide a framework about how public services should be provided for improving the efficiency and effectiveness of the Public Service. Adherence to these principles will guarantee the provision of excellent services that meet the people's needs and expectations, enhance customer satisfaction, while upholding the government's promise that access to decent public services is no longer a privilege to be enjoyed by a few, but the rightful expectation of all citizens.

From the literature review, it was evident that improved public service delivery depends on several aspects ranging from Human Resource Development (HRD) to performance measurement and accountability. The need for improving efficiency and effectiveness of the Public Service is emphasised throughout the various pieces of legislation.

Interviews and questionnaires were used to gather data and to get an understanding of data from the point of view of the participants. Analysis of collected data revealed that there is above average compliance to the principles evidenced by the modernised queuing system at the office of study. Batho Pele principles should be incorporated in the performance contracts of all employees in the

department so that periodic performance against them is assessed and ultimately all employees will become Batho Pele champions.

The findings of this study is not only beneficial to the case study institution, but to all public sector institutions.

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DEDICATION

I dedicate this work to my late father, Sixtus Dinginkosi Ngidi, and mother, Balindile Agnes Ngidi. As a couple, their dream was to see us, as their children climbing the corporate ladder through education that they provided, by surrendering a life of luxury and affluence for our sake. My achievement would have made them the proudest couple

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CHAPTER 1

INTRODUCTION AND GENERAL INFORMATION

1.1 Introduction

The ultimate purpose of government is to promote the common good of all its citizens. This role includes protection being offered by the accepted governing body, as in exchange for being governed and protected. Citizens expect the governing body to maintain an orderly community and protect their interests. Governing institutions thus deliver services because citizens are unable to satisfy all their own needs (Gildenhuys and Knipe, 2000:39-91).

Government and the activities it undertakes to deliver services are the results of political dynamics. Governance is the maintenance of law and order, the defence of society against external enemies and the advancement of the welfare of the group, community, society or state itself. Government is, thus, responsible for making laws, ensuring that there are institutions to implement its laws, and providing the services and products that these laws prescribe (Gildenhuys and Knipe, 2000:91-109).

It is the implementation of laws and the actual provision of services and products that constitutes governance. The programmes of government should thus contribute toward an enhanced quality of life for all. This implies that the outcomes of public administration are aimed at service delivery and the improvement of the general welfare of the people.

The Constitution of the Republic of South Africa Act No. 108 of 1996 (South Africa, 1996:6) underpins democratic transformation. It is there to protect the rights of every South African citizen. Chapter 2 of the Constitution deals with the Bill of Rights which is the cornerstone of democracy in South Africa. It enshrines the rights of all people in

South Africa and affirms the democratic values of human dignity, equality and freedom. Any democratic government, therefore, seeks to ensure that the rights of its citizens are respected, protected, promoted and fulfilled. The Bill of Rights applies to all laws and binds the legislature, the executive, the judiciary and all organs of state (South Africa, 1996:6).

According to the Public Service Commission Report (2008), the first five years of government, led by President Nelson Mandela, focused on transformation, the rationalisation of the apartheid infrastructure and extensive policy revision and development. The second democratic elections were held in June 1999 with Thabo Mbeki taking over as President of the majority ANC government. President Mbeki announced the theme of the second democratic government as a "*nation at work for a better life for all*" with an emphasis on delivery (Mbeki, 1999).

The Department of Home Affairs is one of such core organs of state that provides services which impact on the lives of all citizens in South Africa. The Minister of Home Affairs confirms the importance of the Department of Home Affairs in the following statement:

"*We are indeed a department that is needed by every single one of us at every critical moment of our lives*" (Dlamini-Zuma, 2009).

The greatest challenge facing South Africa is transforming public services so that it meets the needs and expectations of people who were denied basic services for decades. The Batho Pele White Paper (South Africa 1997:9) stated that the South African public service will be judged by one criterion: its effectiveness in delivering services that meet the basic needs of all South African citizens. The Batho Pele White Paper (South Africa 1997) focuses on eight principles: consultation, service standards, access, courtesy, information, openness and transparency, redress, and value for money. These principles describe the way in which services need to be provided to the

public where a priority is "people first". Therefore, these principles should drive service delivery in any government department, like the DHA).

According to Crous (2004:575-587), public services are not a privilege in a civilised and democratic society, but they are a legitimate expectation. Smith (1991:181) argues that one of the core functions of any organ of state is to provide one or more public services aimed at improving the quality of lives of citizens. According to Smith (1991:181), the primary evaluative indicator of any public service is the extent to which that service has or has not improved the lives of people. Seen in this way, the provision of public services by the Department of Home Affairs is not merely a mechanical process of getting products of reasonable quality to people at acceptable costs, but a primary means of promoting human development, thereby restoring human dignity as enshrined in the Constitution of South Africa, 1996. In this regard, du Toit, van der Waldt, Bayat, and Cheminias (1998:59) concurred that institutions are created and organised in a particular form to render services or products which are essential to people.

Department of Home Affairs and its core purpose

The core purpose of the Department of Home Affairs is to enable citizens to access a range of services like the provision of documents such as identity books, birth certificates and death certificates. The services provided by the department are vital because such services provide access to housing, government grants, jobs, bank loans, education and death claims from financial service providers. Services provided by the Department of Home Affairs need to be effective and efficient, because lack of service delivery, due to delays and errors, impacts negatively on citizens. Any evidence of poor service delivery works against some of the Batho Pele principles like access, service standards, redress courtesy, and value for money.

Challenges facing the Department of Home Affairs

Unfortunately, not everything that the Constitution promises has been fulfilled. Since the advent of democracy, the Department of Home Affairs has faced numerous problems or challenges regarding service delivery. Some of the challenges highlighted by Mavuso Msimang, Director-General of Home Affairs (2007), ranges from misappropriation of state funds; abscondment; soliciting bribes, theft of face value documents and crime syndicates.

According to the DHA Annual Report (South Africa 2009:28-189), staff shortages and the inability to fill posts, due to restructuring processes and the inability to appoint officials in acting posts, hamper service delivery. The annual report stated that irregular expenditure and the lack of effective and efficient internal control systems regarding performance management have hindered service delivery.

The annual report (South Africa 2009:80) highlighted that there are still challenges and shortcomings facing the Department of Home Affairs. This study, therefore, intended to address the nature of these challenges and their impact on public service delivery. The data was examined with the intention of identifying a model to improve public service delivery at the Department of Home Affairs. Since this department directly deals with citizens' lives which cannot be compromised, it is always the government of the day's mirror as it produces documents that give access to government and private services.

1.2 Definition of concepts

1.2.1 Batho Pele is a Sesotho word which means 'People First'. It is a concept given to the government's initiative to improve the delivery of public services, get public servants to be service oriented, strive for excellence in service delivery and to commit to continuous service delivery improvement (Batho Pele Handbook, 2003:8). It aims to improve delivery of public services based on the principles of putting people's interests first.

1.2.2 Effectiveness, according to Robbins and Coulter (2005:8), means completing activities so that organisational goals are attained, i.e., doing the right things. The right things, in this case, refer to those work activities that will help the organisation reach its goals. It is concerned with the means of getting things done; the attainment of organisational goals and can be judged in terms of output and impact. Organisational effectiveness is a measure of how appropriate organisational goals are and how well an organisation is achieving those goals (Robbins and Coulter, 2005:466).

1.2.3 Efficiency refers to getting the most output from the least amount of inputs. An organisation is considered efficient when it is able to produce the most goods and services using the least amounts of inputs. It is also termed doing things right (Robbins and Coulter, 2005:7). It relates to the degree to which outputs are achieved in terms of productivity and input.

1.2.4 Principles refer to formal written procedures which prescribe a specific course of action to be taken under specific situations and which public officials should follow without regard to personal preferences or special interests (Fox and Meyer, 1996:101). They can also be described as a set of ideas that guides behaviour.

1.2.6 Service delivery is the provision of public activities, benefits or satisfactions (Fox and Meyer, 1996:118). It relates to the manner in which customers' needs are met.

1.3 Problem statement

There have been numerous reports of poor service delivery by the Department of Home Affairs despite Batho Pele principles, being an approach which puts pressure on systems, attitudes and behaviour within the department to enhance service delivery.

Matoti (2011: 1) highlighted that initiatives such as the 2004 *"know your service rights campaigns"* aimed at encouraging participatory governance, the broader *'Batho Pele Revitilisation Programme' and the Service Delivery Watch'* (aimed at monitoring the quality and pace of service delivery) have proven to be of little assistance, as shown in numerous reports on poor service delivery by the DHA.

Mashego (2010:1) reported that Home Affairs employees, who were suspected of being members of a syndicate implicated in the illegal issuing of ID documents, passports and marriage certificates, were to spend their Christmas behind bars after being arrested in a swoop in various parts of the country. Mashego (2010:1) further stated that sources close to the investigation revealed that two Home Affairs employees involved in fraud and corruption in Gauteng were on the run. Padayachee (2009:4) further stated that police were on the lookout for fraudsters as false insurance claims appeared to be on the increase in the Durban area.

In the light of the aforementioned reports of poor service delivery, it can be argued that the Department of Home Affairs is failing to render services that meet the expectations of sound public administration, based on accountability, responsibility and good governance. If such principles are jeopardised in the course of service delivery, then the Batho Pele principles are violated.

The study was set out to analyse factors impacting on service delivery at the Durban Regional Office of the Department of Home Affairs. It is imperative that quality service delivery is not compromised in the said office, since it services densely populated areas such as Durban Central, Durban North and Durban South, thereby making it the largest regional office in KwaZulu-Natal. Furthermore, since the researcher is based in Durban, accessibility to the regional office was not compromised.

1.4 Literature review

The Constitution, Act No. 108 of 1996, stipulates that public administration should adhere to (South Africa, 1996:107)

- A high standard of professional ethics;
- Provision of equitable services without bias;
- People's needs; and
- Accountability, transparency and development.

According to Dlamini- Zuma (2009), the Department of Home Affairs has a dual mandate, namely:

- Civic issues;
- Issuing birth, marriage and death certificates, identity documents and passports, citizenship and permanent residence certificates;
- Safe maintenance and archiving of biometric and demographic records of citizens and people permitted to reside in South Africa; and
- Maintenance of The National Population Register and related records.

- Regulation of migration

- Facilitating the movement of persons across international borders through the country's 72 ports of entry.
- Managing migration effectively, securely and humanely.
- Ensuring the integrity of the state.
- Securing scarce skills available internationally.

In 1997, 'The White Paper on Transforming Public Service Delivery', (Batho Pele White Paper) adopted the principal objective of improving the standard of the public service by ensuring that the people first approach is designed (South Africa,1997:9) Matoti

(2011:1) stated that the Batho Pele was backed by other Acts to further encourage compliance. Matoti (2011:1) argued that, on the contrary, like many other public policies, the desired outcome has not been achieved. The Batho Pele principles include (South Africa, 1997:15):

- *Consultation:* Citizens should be consulted about the level and quality of the public services they receive and, where possible, should be given a choice about the services that are offered;

- *Service Standards*: Citizens should be told what level and quality of public services they will receive so that they are aware of what to expect;

- *Access:* All citizens should have access to the services to which they are entitled;

- *Courtesy:* Citizens should be treated with courtesy and consideration;

- *Information:* Citizens should be given full, accurate information about the public services they are entitled to receive;

- *Openness and transparency:* Citizens should be told how national and provincial departments are run, how much they cost, and who is in charge;

- *Redress*: If the promised standard of service is not delivered , citizens should be offered an apology, a full explanation and a speedy and effective remedy; and when complaints are made , citizens should receive a sympathetic, positive response; and

- *Value for money:* Public services should be provided economically and efficiently in order to give citizens the best possible value for money.

The first principle recommended that the public be consulted concerning all public service developments. Secondly, an accepted standard of service was a necessity, so was equal access to services (Matoti, 2011:1).

Matoti (2011:1) stated that the Department of Public Service (DPSA) vowed to be transparent in all its dealings. Matoti further argue that, previously, ethics were primarily guaranteed by section 32(a), 42(c & h) of '*the highest law in the land',* the Constitution. Such provisions became mere words on paper when the promise was not delivered; and a policy gap elapsed. Ahmad, Savage and Srivasta (2004), as quoted by Matoti (2011:1), stated that the success of service delivery depends on whether institutions of

service provisions are accountable to citizens. The public ought to exercise its lawful right, as endorsed by the constitution's section 41(c), 152(a b, e), and 195(e, f, g).

Biyela (2011:14) reported that Themba Mkhize (116), oldest man claims DHA previously known as "KwaNdabazabantu" changed his actual date of birth to prevent him from getting old age grant. According to Biyela (2011:14), Mkhize was very upset when DHA employees told him they would change his year of birth because he was going to eat government's money.

It can be argued that such recurring incidents highlight the need for improved service delivery. Occurrence of these incidents directly violates the Batho Pele principles of consultation, service standards, courtesy and redress. The four principles were chosen because of their interrelatedness. In terms of the White Paper on Transforming Public Service Delivery (1997), the first step should be to consult customers so as to identify their needs, followed by the formulation of service standards based on the identified needs so that customers know what to expect from the departments (South Africa, 1997:15). The White Paper further speaks of how customers should be treated and development of the redress mechanisms in cases where the actual delivery of services falls short of the promised standard. If departments want to put their customers first, they should listen and take account of their views (consultation), provide them with the standards of service of the highest possible quality (service standards), treat them with courtesy and consideration (courtesy) and respond positively and with urgency when actual delivery falls short of promises (redress) (South Africa,1997:15)

1.5 Aim and objectives

The overall aim of this study was to explore the nature of service delivery within the Batho Pele framework as executed by the Department of Home Affairs Durban Regional office. This was accomplished through the following objectives:

- Identification of the core services provided by the department;

- Identification of the extent to which the Batho Pele principles are applied by the department;

- Exploration of the challenges facing the department in promoting effective and efficient public service delivery; and

- Development of a framework for the effective and efficient implementation of Batho Pele principles by the department.

1.6 Rationale for the study

The Department of Home Affairs': Annual Report (South Africa 2009:8) stated that the Ministry of Home Affairs was established according to the prescripts of Chapter 3 of the Constitution of the Republic of South Africa. The Ministry has national competency on all matters that relate to identification of persons as citizens or non-citizens who reside or visit the Republic. The Department's mission is carried out by a number of department units and regional offices. Service is delivered to customers through a network of regional/district offices and service points in an attempt to provide quality services. However, there is a need for public service delivery to be improved, especially in view of reports exposing poor service delivery within the Department (Department of Home Affairs: Annual Report 2008/09:28). This study is important as it addressed factors impacting on service delivery within the department. The findings from this study may be utilised to find solutions to shortcomings to fulfil the requirements of a democratic constitution and sound public administration in contributing to the general welfare of all citizens in South Africa.

According to Gildenhuys and Knipe (2000: 127), the basic function of government in a true democracy is optimum service delivery at a minimum cost in order to realise the ultimate goal of creating a good quality of life for every citizen. The continual and illegitimate denial of an individual's or groups civil rights generates feelings of hopelessness, anger, suicide and militancy among the deprived, as evident in the following statement.

"An ID is life...the passport to EVERYTHING! Without this document very little is possible...no job, education, health care...no bank accounts, no loans or even a cell phone... THESE THUGS HAD 892 OF THEM FOR SALE (Matekane, 2010:1-2). !"

According to Matekane (2010:1-2), behind each stolen ID is a struggling, frustrated person, who once was the real owner of the document.

This study attempted to explore strategies to improve service delivery at the department. Since many offices of the Department of Home Affairs are still blamed for poor service delivery and no research of this nature has been carried out at the regional office in Durban, it is expected that the outcomes of this research will assist management in developing strategies to improve its core services.

1.7 Scope of the study

The study was confined to the regional office of the Department of Home Affairs in Durban; KwaZulu-Natal, as the researcher is from Durban and it is the largest regional office in KwaZulu-Natal. At least two senior managers from the regional office and few customers were interviewed. Individuals at different levels of the regional office were issued with questionnaires.

1.8 Research methodology

1.8.1 Study type

For the purpose of this study a case study approach was used. According to Gillham (2000:1) a case study can be an individual, a group, an institution or a large-scale community. A case study is one that investigates a range of different kinds of evidence to get to the best possible answer to the research questions. According to Kothari (1990:140) view case study as a very popular method for qualitative analysis and

involves a careful and complete observation of a social unit, be it a person, family, an institution, a cultural group or a whole community.

Currently the DHA has one central (head) office in South Africa. All enabling documents for applications are lodged at the DHA districts and regional offices in all nine provinces. The processing, finalisation issuing of these documents is done at central office. The DHA customers after lodging applications wait for the approval and delivery of enabling documents. Each and every enabling document has its own processing time. The findings of this nature may not necessarily apply to all regional offices in a generalised manner. Therefore, a case study approach was deemed most appropriate as it considers contextual factors that promote a particular way of doing things. According to Welman and Kruger (2002:190), case study pertains to the fact that a limited number of units of analysis (often only one), such as an individual, a group or an institution, are studied intensively. In case study the researcher explores a single entity or phenomenon ("the case") bound by time and activity (a program, event, process, institution, or a social group) and collects detailed information by using a variety of data collection procedures during a sustained period of time (Mirriam, 1998; Yini, 1989 as cited by Creswell, 1994:12).

The case study is DHA Durban regional office. The regional office was chosen for convenience and easy accessibility as the researcher is a resident in Durban and it provides a service to a large population group in the greater Durban area. A mixed method approach was used. Quantitative data consisted of the questionnaire administered to all employees, while qualitative data consisted of document analysis and interviews with management and customers

1.8.2 Data collection

1.8.2.1 Survey

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Cooper and Emory (1995:269) state that to survey is, to question people and record their responses for analysis. A survey in the form of a questionnaire was hand delivered to DHA employees through the help of research assistant. According to Kumar (1999:110) a questionnaire is a written list of questions, the answers to which are recorded by respondents. The survey method was used as it enabled the researcher to have the confidence that the sample was not biased and the data needed from the respondents were available for a given analysis.

1.8.3 Sampling

Kumar (1999:48) states that sampling is the process of selecting a few from a bigger group, to become the basis for estimating or predicting a fact, situation or outcome regarding the bigger group. The sample used for this study is census because at 55 (all) employees served as the sample. White (2000:64) states that if the population is about 50 or less, the whole population must serve as the sample. According to Sekeran (2010:288), the closer one wants the sample results to reflect the population characteristics, the greater will be the precision one would aim for. He further stated that the greater the precision required the larger the sample size needed, especially when the variability in the population itself is large (Sekeran, 2010:288).

1.9 Structure of chapters

Chapter 1 - This chapter presented the general introduction, background, problem statement and research aims and objectives.

Chapter 2- This chapter investigated the research problem through the review of relevant literature.

Chapter 3 - This chapter outlined the design and the methodology of the research, sampling techniques and the research environment.

Chapter 4 - This chapter presented the data analysis, interpretation and graphical representation of the data and the research findings.

Chapter 5 - This chapter reviewed the extent to which the research problem was answered and presents recommendations.

1.10 Conclusion

This chapter presented an overall introduction to the study. The background of the study and the research problem provides an understanding of what was to be achieved during this research project. This chapter emphasises the fact that service delivery must not be compromised within the dictates of policies for the betterment of citizens' lives.

CHAPTER 2

LITERATURE REVIEW

2.1 Introduction

This chapter presents the literature review pertaining to the research problem and outlines public service delivery, the statutory and legislative framework guiding the provision of public services. It further examines service delivery within the DHA from the perspective of the application of the principles of Batho Pele.

Since the advent of democracy in 1994, several policies relating to service delivery have been formulated and implemented. One such crucial policy is the Batho Pele White Paper gazetted in 1997. The Batho Pele White Paper on Transforming Service Delivery is primarily about how public services are provided, and specifically about improving the efficiency and effectiveness of the way in which services are delivered (South Africa,

1997:9). The South African Public Service played a very critical role in implementing these policies as well as ensuring the delivery of service.

The then Minister for Public Service and Administration, Skweyiya (South Africa 1997:5), stated that one of government's most important tasks is to build a public service capable of meeting the challenge of improving the delivery of public services to the citizens of South Africa. He further stated that access to decent public services is no longer a privilege to be enjoyed by a few, but it is now the rightful expectation of all citizens, especially those previously disadvantaged.

According to Skweyiya (South Africa, 1997:5), the transformation of the public service is to be judged rightly by the practical difference people see in their everyday lives. Batho Pele is one of the policies that the Department of Public Services and Administration launched to turn words into action (South Africa, 1997:5). According to Skweyiya (South Africa, 1997:5), the needs of the South African people must come first and be satisfied. He further stated that he wanted people to view and experience the public service in an entirely new way (South Africa, 1997:5).

2.2 Public management

Cameron (2009:3) stated that the new model of public sector management, New Public Management (NPM), emerged immediately after the traditional bureaucratic public administration model of Max Weber and Woodrow Wilson failed in countries such as England, Australia and New Zealand. Cameron (2009:3) stated that NPM is generally inspired by the values and concepts of the public sector and was seen as a way of cutting through red tape and rigidity associated with old style public administration.

Clarke and Newman (1997), Ferlie, Ashburner, Fitzgerald and Perrigrew (1996) and Pollit and Bouckaert (2000), as quoted by Leisyle (2006:2), highlighted that, in Western Europe, changes in public governance with reforms focusing on cutbacks, deregulation and privatisation have been noticed. Some of these reforms have been inspired by new public management, which deliberately altered the structure and policy-development

process in the public-sector organisation with the purpose of making them more efficient and effective.

Thornhill (2008), as quoted by Cameron (2009:5), stated that, in South Africa, during the apartheid era (pre-1994), the South African public service was isolated and out of touch with international developments. According to Cameron (2009:5), during the transition in the early 1990's, very little work was done by the African National Congress (ANC) on the nature of post-apartheid administrative change. Cameron (2009:5) further stated that Gerald Fraser-Moleketi, the then Minister of Department of Public Service and Administration, declared in an interview that, *"public service is not a sexy topic".*

Bardill (2000), as quoted by Cameron (2009:3), highlighted that the White Paper on the Transformation of the Public Service laid down the national policy framework for the transformation of the public service in South Africa. He further stated that many of its recommendations were in line with "international best practice", although the White Paper warned against the uncritical adoption of the new public management framework.

Hood (1991), Pollitt (1993), Laegrid (2001), Hughes(2003), Gow and Dufour (2000), McCourt (2001), Pollitt and Bouckaert (2000), Olsen (2003), Kikert (1996) and Minogue (1998), as quoted by Cameroon (2009:3), postulated that NPM is not a coherent theory but rather a discrete set of ideas that can be broadly divided into two categories. First, there is the use of private management ideas, such as the provision of more responsive and efficient services, performance agreements including service standards, greater autonomy and flexibility for managers and new financial techniques. Secondly, there is greater use of market mechanisms, such as privatisation and public-private partnerships in service provision. NPM is seen as a way of improving efficiency and service delivery.

Hood (1991), as quoted by Cameroon (2009:3), stated that NPM is a marriage of two different streams of ideas. The first stream is business-type managerialism borrowed from the private sector. The other partner is the new institutional economics which draws on public choice, transaction cost theory and principal-agent theory. According to Manning (2001) and the United Nations (2005:195-196), as quoted by Cameroon (2009:4), NPM is inappropriate for developing countries.

The United Nations (2005: xi), as quoted by Cameroon (2009:4), stated that there is evidence that NPM strengthened the quality and integrity of the civil service. However, Minogue (1998), as quoted by Cameroon (2009:4), argued that the NPM's emphasis on efficiency sits uneasily with traditional Public Administration values with equity, community, democracy, citizenship and constitutional protection. In a similar vein, Farazmand (2006), as quoted by Cameroon (2009:4), stated that NPM's overriding concern is with managerial flexibility and cost efficiency without concern for fairness, equity, transparency and accountability.

Hughes (2003), as quoted by Cameroon (2009:4), raised concerns that by giving managers greater powers, it may detract from the accountability of elected politicians. If public servants are to be managerially accountable, this may detract from the political accountability of politicians.

It is often argued that NPM has been highly influential in shaping Public Sector Reform (PSR) in a post-apartheid South Africa (South Africa, 1998). Levin (2004), Miller (2005) and Cameroon (2005), as quoted by Cameroon (2009:2-6) pointed out that the government never lost sight of its' constitutional and developmental role. It is generally accepted that NPM reforms were influential in South Africa. Miller (2005), as quoted by Cameroon (2009:6), stated that much of the reforms (in South Africa) paralleled those which were implemented in other countries, in particular, Britain and the USA.

2.3 Legislation and statutory framework impacting on public service delivery

Public service delivery is about satisfying the basic and important needs of communities that have been identified through extensive consultation. It is the responsibility of all government institutions, irrespective of whether they are in the national, provincial or local government sphere, to render services by taking into consideration the needs of the people. Meeting the basic needs of the people is one of the key policy programmes of the Reconstruction and Development Programme (South Africa, 1994:9).

The White Paper on Reconstruction and Development (South Africa, 1994:9) identifies the meeting of the basic needs of all citizens through more effective service delivery as one of the five key programmes of the RDP. The basic needs of the people include housing, jobs, healthcare, education and social grants. It advocates the formulation of a communication strategy that should effectively communicate the objectives of, and progress with, implementing RDP to allow the public to be fully informed and participate (consultation and information). The role of the DHA and the impact of Batho Principles on service delivery do relate to other government departments because all departments need to be effective in service delivery and they rely mostly on enabling documents produced by the Department of Home Affairs.

The Section 41 (1) of the Constitution of the Republic of South Africa, 1996, outlines the principle of cooperative government and intergovernmental relations. It stipulates that all spheres of government and organs of state within each sphere must provide effective, transparent, accountable and coherent government for the country as a whole (South Africa, 1996:25)

Section 33 (2) deals with administrative action. It states that everyone whose rights have been adversely affected by administrative action has the right to be given written reason. This is related to the principle of redress. Section 195 (1), provided that, public administration must be, governed by democratic values and principles, as enshrined in the constitution (South Africa, 1996:15 and 107).

The Constitution, Act No. 108 of 1996, stipulates that public administration should adhere to (South Africa, 1996:107):

- A high standard of professional ethics;

- Provision of equitable services without bias;

- People's needs; must be responded to;

- Accountability and development.

- Transparency must be fostered by providing the public with timely, accessible and accurate information.

The aforementioned principles also highlight that by adhering to such guidelines the principles of Batho are not marginalised.

2.3.1 Batho Pele White Paper

According to the White Paper on Human Resource Management in the Public Service (South Africa, 1997:20), government adopted a vision and a mission for the management of employees in the South African public service. The vision states that, **"***human resource management will result in a diverse, competent and well-managed workforce, capable of and committed to delivering high quality services to the people of South Africa".*

Emanating from the preceding vision of the public service, government also adopted the following mission statement for the management of people in the South African public service. "*Human Resource Management should become a model of excellence, in which service to society stems from individual commitment instead of compulsion. It further, states that the management of people, should be regarded as a significant task for those who have been charged with the responsibility and should be conducted in a professional manner" (*South Africa, 1997:20).

The statutory framework for public human resource management should be seen in the light of the operationalisation of the vision and mission statements. The South African

government has three spheres and over 1, 2 million employees. The South African government has both a political and moral responsibility to lead by example in terms of adopting best practice (South Africa, 1997:9).

2.3.2 The Constitution of the Republic of South Africa (Act 108 of 1996)

Chapter 10 (195) of the constitution contains specific provisions pertaining to public administration. It speaks of ethical or normative guidelines to be observed by all public personnel in the provision of service to society. The basic human rights of South African citizens are found in the Bill of Rights detailed in chapter 2 of the constitution and are based on the democratic tenets of human dignity, equality and freedom (South Africa,1996: 6 and 107).

2.3.3 The Public Service Act 103 of 1994

This is one of the most significant statutes regulating the employment of public employees. It was established to provide for the organisation and administration of the public service of South Africa, the regulation of the conditions of employment, terms of office, discipline, retirement and discharge of members of the public service and matters connected therewith (South Africa, 1994). All government departments are governed by this Act and DHA is not an exception. Hence, it has to put people first as specified by White Paper on Transforming Public Service (South Africa, 1997:.3)

2.3.4 The Labour Relations Act 66 of 1995

The Act replaced the Public Service Labour Relations Act 102 of 1993 which focused only on the public service. The purpose of this Act is to advance economic development, social justice, labour, peace and the democratization of the workplace. The Act regulates the relationship between trade unions and employers and forms part of a broader process of labour law reform (South Africa, 1995). DHA employees also have a right to join unions which have become agents of change in government

departments. This Act deals with entry, wellbeing and exit of employees. As unions in the work place, they further cater for and protect the public, thus promoting the ANC led government agenda of putting people first. (South Africa, 1995)

2.3.5 Basic Conditions of Employment Act 75 of 1997

The main purpose of the Basic Conditions of Employment Act is to enhance economic development and social justice through the establishment and enforcement of basic conditions of employment. The Act applies to all public employees, except the South African National Defence Force (SANDF), National Intelligence Agency (NIA) and the South African Secret Service (SACC). The broad content of the Act pertains to the regulation of working time, leave, remuneration and termination of employment (South Africa, 1997).

2.3.6 Public Service Regulations (Notice 679 of 1999)

This Act makes provision for the total spectrum of public human resource management activities, including job evaluation, compensation, working conditions, appointments, promotions, termination of service, performance management, and training and development (South Africa, 1999).

2.3.7 Skills Development Act 97 of 1998

The act aims to promote productivity and competitiveness of employers, self employment, and the delivery of social services (South Africa, 1998). According to Smith and Cronje (2003), as quoted by Naidoo (2010:8), the skills that leadership and management need in the public service, in order to perform the functions of general management as effectively as possible, can be divided into the following three main categories:

- Conceptual skills refer to the mental ability to view the operation of the organisation and all its parts holistically. Such skills involve the manager's thinking and planning abilities, as well as their ability to think strategically;

- Interpersonal skills refer to the ability to work with people. A manager should, therefore be able to communicate with people, understand their behaviour, resolve conflict and motivate groups and individuals; and

- Technical skills entail the ability to use knowledge or techniques of a specific discipline in order to attain goals.

Good leadership and management are prerequisites for the success of the customer service model. The management of the DHA must model correct behaviour in the way they treat their subordinates and customers. Managers must recognise the efforts and achievements of employees by giving rewards and celebrating "champions". They must also drive customer service programmes through continuous in-service training. It can be argued that happy employees will always provide quality service to external customers. They will be able to apply the principles of Batho Pele and the values of ubuntu.

2.3.8 Promotion of Access to Information Act 2 of 2000

To uphold the tenets of democracy such as openness and transparency, this Act aims to provide for public access to information held by the government bodies, subject to certain exemptions. It also provides for the protection of those individuals who make known evidence, disclosing contravention of the law and serious maladministration or corruption in government bodies (South Africa, 2000).

2.3.9 White Paper on Public Service Training and Education (WPPSTE)

It aims to establish a clear vision and policy framework to guide the introduction and implementation of new policies, procedures and legislation aimed at transforming public service training and education into a dynamic needs-based and pro-active instrument. It

plays an integral and strategic part in the processes of building a new public service for a new and democratic society in South Africa (South Africa, 1997).

Batho Pele as a public management strategy to enhance service delivery plays a vital role in preventing the gross violation of government's plan of making public servants accountable to their *"employee",* the citizens. Therefore the thrust of the Batho Pele is the improvement of service delivery in the public service which is underpinned by several guiding principles stipulated in the statutory and regulatory framework guiding effective and efficient public service delivery.

2.4 Batho Pele in context

The White Paper on Transformation of the Public Service (South Africa, 1997:9), highlights the transformation priorities of government, which includes transforming service delivery to meet the basic needs, while redressing past imbalances. Regarding consultation and participation of the community, it stresses the creation of government-community partnerships for effective use of public funds and community resources. The formulation, implementation and monitoring of service delivery plans should be carried out in close consultation with unions and staff, and especially with service users. It also states that the Ministry for Public Service and Administration places considerable emphasis on the need for effective consultation, both within the public service and with the South African society. This means that communities should be afforded an opportunity to participate in the decision-making process on issues affecting their welfare and should also be encouraged to contribute to the delivery of services through community-based initiatives (South Africa, 1997:23).

Batho Pele vision and mission emanated from the realisation that government should transform service delivery Skweyiya (South Africa, 1997:5) stated that the key component of Batho Pele is a relentless search for increased efficiency and the reduction of wastage within the public service. He argued that every rand wasted in cumbersome, inefficient processes, in delays and duplication, is money which could be

invested in improving services. According to Skweyiya (South Africa,1997:5), Batho Pele aims to progressively raise standards of service, especially for those whose access to public services have been limited in the past and whose needs are greatest.

Batho Pele is, therefore, an instrument that seeks to introduce a fresh approach to service delivery; an approach which puts pressure on systems, procedures, attitudes and behaviour within the public service and reorients them in favour of the customer. It can be viewed as an approach which places the people first. It involves creating a framework for the delivery of public services which treats citizens more like customers and enables the citizens to hold public servants accountable for the service they receive. It can be stated that is a framework which allows the energy and commitment of public servants to focus on more customer-focused ways of working (South Africa, 1997:12).

According to the White Paper on Transforming Public Service (WPTPS), (South Africa, 1997:15), the Batho Pele policy framework consists of eight service delivery principles which are: consultation, service standards, access, courtesy, information, openness and transparency and redress.

The KZN Citizen Charter (South Africa, 2005) has three additional Batho Pele principles, which are: encouraging innovation and rewarding excellence, service delivery impact and Leadership and strategic direction.

2.4.1 Principles of Batho Pele

The White Paper on Transforming Public Service Delivery (South Africa, 1997:16) emphasizes consultation with the end-users of the services provided by government through it's various departments and institutions.

Craythorne (1970), as quoted Swana (2008:17), states that every government department is a public body that exists to serve the public and, therefore, needs to

communicate with the public it is meant to serve. This is in line with Section 195 (1) (e) of the Constitution, which stipulates that, in public administration, the public must be encouraged to participate in policy making. By consulting the end-users, an opportunity is created for their participation (South Africa, 1996:16)

Bekker (1996), as quoted by Swana (2008:18), stated that citizens' participation is conducive for sound planning and is consistent with democratic ideals of providing information to citizens and enhancing acceptance of public services. It is along these lines that there is a belief that participation by citizens is a key cornerstone of good governance (Van der Waldt, 2004:10). Participation is also regarded as one of the major characteristics of good governance because it encourages the community to get involved in and take responsibility for the implementation of development to improve their quality of life (Van der Waldt and Knippe, 2001:109).

According to Craythorne (1970), as quoted by Swana (2008:18) public participation and consultation are vital means of reducing autocratic behaviour, involving the people in government and directing governmental efforts at the real needs of society. Citizens' needs and how it should be provided must not be decided by politicians and administrators.

Service is for citizens, therefore, it is imperative that they are consulted at all times and be given a chance to make decisions and that can contribute to improved service delivery, thereby promoting the government's agenda of improving people's lives.

- Service standards

According to Maseko (2008:16), Batho Pele is not outward–looking only, as it also starts from within. He suggested that all sections within departments must have set service standards on how they contribute toward bringing a better life for all in South Africa and not for self-enrichment. Nicklaus (undated), as quoted by Michelli (2008:256), stated that achievement is largely the product of steadily raising one's level of aspiration and

expectation. Grenfel (undated), as quoted by Michelli (2008:119), viewed the service that public servants render to customers as the rent they pay for their rooms on earth. He stated that it is obvious that man is himself a traveller, that the purpose of this world is not "*to have and to hold but to give and serve".* He believed that there can be no other meaning for the applicability of quality services in the public sector.

Maseko (2008:16) suggested that government employees must refrain from being players, referees and owners of the services rendered. Maseko (2008:16) stated that in most cases public servants sense and feel the plight of the people and start strategising for them instead of with them merely because of a lack of consultation.

- Consultation

According to Maseko (2008:16), public servants have a tendency of questioning communities and then coming around to say they have consulted. Maseko (2008:16) highlighted that it is a fallacy that over-consulting hinders or retards the pace of delivery. Michelli (2008:119) concurred with Maseko when he stated that quality processes ensures that the fundamentals of top service delivery are consistently maintained. Michelli (2008:119) believed that if an organisation does not deliver flawlessly in fulfilling the basic service expectations, it deprives itself of the opportunity to engage its customers with anticipatory service. Maseko (2008:16) further revealed that, in strategic planning, there is a notion that people will not support a top-down approach, if they have not been party to it's creation. According to Michelli (2008:119), participative management practices motivate staff to deliver quality service. Maseko (2008:16) recommended that communities must be involved as far as possible and must be allowed to participate as players and not as observers or spectators. Michelli (2008:119) stated that leaders who focus on detailed attention on the wants and the needs of their staff ultimately see that some detailed, personalised attention being passed on to customers.

- Information

Information is one of the most powerful tools at the public's disposal in exercising their right to good service. Government institutions must provide full, accurate and up-to-date information about their activities. The consultation process should be used to establish what the public wants to know and then to work out where and when the information can be provided (Gildenhuys, 2004:390-392). Kaul (undated), as cited in Crous (2004:581), emphasised the necessity for accurate and unbiased reporting, as this strengthens the climate of openness and public accountability. Information must be provided in a manner that is convenient and useful to the users.

Maseko (2008:16) highlighted that knowledge is power. He stated that problems exist in situations where there is an absolute drought of information dissemination. He further stated that it is wrong for managers to keep or archive information to themselves. He argued that for directional purposes, stating that the implementers who are foot soldiers need it more than the chiefs. Maseko (2008:16) recommended that staff meetings should be held regularly to discuss pertinent issues that affect performance on a daily basis. Further, Gildenhuys and Knipe (2000:132) stated that government institutions must provide full, accurate and up-to-date information about their activities.

Maseko (2008:16) suggested that leadership and management should always strive to increase interactions with stakeholders, declare it's mandate and discuss newly developed policies. He further stated that, in most cases, staff members in government departments do not know the vision, mission and even strategic objectives of the departments, but they are expected to deliver optimally.

- Openness and transparency

According to Maseko (2008:16), public servants have degenerated into think tanks for the vulnerable. Sometimes, they think that delivering a service is like a favour that they are doing for their communities. He suggested that extensive consultation should be done in ensuring that the management of public funds are effectively and efficiently utilised for the benefits of

those who need government services. The White Paper on Transforming Service Delivery, (South Africa, 1997:20), stated that openness and transparency are the hallmarks of a democratic government and are fundamental to the public service transformation process. According to Crous (2004:582), transparency in the public service helps keep the public service clean, effective, and free from nepotism and corruption. Maseko (2008:16) believed that the gap between managers and foot soldiers creates a void which impacts negatively on service delivery.

- Access

The primary aim of the White Paper on Service Delivery (Batho Pele) (South Africa: 1997:16) is to provide a framework for decision making regarding public service to South Africans who were and are still denied access to public services within the parameters of Government's Growth, Employment and Redistribution (GEAR) strategy and the inequalities of distribution in existing services. According to Maseko (2008:16), good and visible signage must be placed in strategic positions for easy access to government offices. Services must look after the people's needs. He further stated that, in terms of equity, offices should spread, even to remote areas. Crous (2004:579) stated that management has to set targets for increasing access to services giving by giving effect to the constitutional principle of service being provided impartially, fairly, equitably and without bias.

- Redress

Redress means that public officials must apologise to the citizens when they do not deliver the promised standard of service and undertake to remedy the situation immediately. They have to explain why the service quality is below standard (Du Toit *et al*., 2002, as quoted by Ralane, 2011:40). Michelli (2008:186) highlighted that the more expediently a problem is resolved, the

more quickly it is forgotten. Michelli further stated that whether or not a business is responsible for issues and mistakes, a customer is most likely to remember who took the initiative to fix them. Crous (2004:583) referred to redress as a principle of remedying mistakes and failures which he says is also known as recovery. Recovery implies acknowledging that the institution made a mistake, apologising, rectifying the mistake, and doing more than is required or expected. According to Maseko (2008:17), services rendered, whether considering equity or not, should make an impact on the recipients. He highlighted that there is a tendency of rendering mediocre services to deep rural areas and quality services to urban areas. He stated that the recent unrest in South Africa has been propelled by poor quality service delivery. He further stated that the adage "a *better life for all"* knows no boundaries. Maseko (2008:17) acknowledged that government policies are excruciatingly trying to defend this democracy, but some of the appointed drivers have turned into divers.

According to Michelli (2008:186), breakdowns will always occur, despite the best intentions to provide flawless service. Empathy, quick attention, and a willingness to go beyond the resolution will salvage a bad situation and turn it into a winning outcome. Such an approach is vital for ensuring that services of the highest standard are rendered by public institutions.

- Courtesy

According to Crouse (2004:581), courtesy is related to ethical behaviour. The conduct of public employees' should be above reproach in the execution of their official duties. Public employees should be free from vested, selfish interest and are, therefore, expected to display selfless behaviour. Maseko (2008:17) believed that the "serve *with a smile*" approach does not bear fruit. He stated that one cannot differentiate grinning, smiling or even laughing at those who are supposed to receive the service. The Batho Pele White Paper (South Africa, 1997:18) stated that the concept of courtesy is much wider than asking public servants to give polite smiles. Michelli (2008:186) stated that continuity of care, active team communication and personalised attention drive life-long repeated business from devoted clients. The code of conduct for public

servants issued by the Public Service Commission makes it clear that courtesy and regard for individual dignity are one of the fundamental duties of public servants. (Public Service Commission, 2008) According to Fox and Bayat (2006:24), departments must specify the standards for the new way in which customers should be treated.

- Value for money

Public servants never or hardly think why they are paid a salary or why they are given appointment letters when given the position that they occupy in government. Some think they are appointed to improve their lifestyles (Maseko, 2008:17).

According to Maseko (2008:17), public servants need to ensure that they strengthen the organisational culture specifically, and to uphold set standards by ensuring that budgets are spent as per strategic plan. He highlighted that the Public Finance Management Act is explicit in terms of expenditure patterns (do not spend a cent if you do not have a plan).

Baloyi (2008:9) stated that, with feedback from the people, there is room for improvement in dealing with Batho Pele compliance. According to Baloyi (2008:10), the Public Service Commission findings on the state of compliance with the Batho Pele principles revealed that the rate of compliance is very low.

According to Mokgoro (2003:12), during the period October 1999 to February 2000, the Public Service Commission (PSC) conducted a survey with a view to establish the extent to which departments were Batho Pele compliant. The survey included a number of departments. The findings of the survey were that:

- The public service was lacking in skills necessary for the application of Batho Pele principles;

- The service delivery transformation programme was seen as separate from day-to-day business of departments;

- Demands for improved as well as new services were imposed on service delivery units without consideration of cost implications;

- Batho Pele was a mere listing of principles, without any indication of implementation;

- The Batho Pele policy had not impacted on the daily tasks of front-line personnel; and

- "*Batho Pele*" had not been integrated with performance management and strategic plans (Mokgoro 2003:12).

According to Baloyi (2008:10), for policies to be implemented and for the public service to remain competent, public servants should adhere to the following attributes:

- Breaking new grounds;

- Inspiring success;

- Raising the standard;

- Being on board;

- A determination that nothing is impossible;

- Making a difference to people;

- Collective responsibility and teamwork; and

- Internal activism.

Baloyi (2008), further stated that the way public servants conduct themselves has an impact on service delivery. It matters how things are done, irrespective of the claim to the attributes of an ideal public servant.

Maseko (2008:17) suggested that delegation, not over-delegation, must be encouraged. He quoted an ideal incompetent supervisor delegating everything to junior officials except his or her salary. He further stated that as long as the public service hangs on to this calibre of people, the country will always cry foul about a shortage of skilled

personel. He recommended that spending just for the sake of ensuring that people see white elephants all over the show must be avoided at all costs (Maseko 2008:17).

Maseko (2008:17) highlighted that the country owes public servants nothing, but public servants owe the country by not fulfilling it's critical mandate of ensuring a better life for all its citizens.

2.4.2 Batho Pele and Code of Conduct

Policies in most cases are formulated to address certain problems. This is evident by the formulation of Batho Pele of which its key purpose is a relentless search for increased efficiency and the reduction of wastage within the public service. For this policy to be implemented effectively, a change of attitude amongst public servants is an imperative. The Department of Public Service and Administration (South Africa, 2007) stated that, in order to give practical effect to the relevant constitutional provisions regarding public service, all employees are expected to comply with the Code of Conduct. A code of conduct was developed for public servants to act as a guideline for what is expected of them from an ethical point of view, both in their individual conduct and in their relationship with others as shown below (Baloyi, 2008:10):

- Relationship with the legislature

This aspect of the Code of Conduct provides that a public servant:
- Shall be faithful to the Republic and honour the Constitution; and
- Shall put the public interest first in the execution of his/ her duties.

Baloyi (2008:10) argued that the nation expects public servants to carry out their duties to guarantee the rights of people, to be responsive to their needs, and public servants to be accountable for their actions. This high state of responsiveness and accountability has to be in accordance with the national agenda as enshrined in the constitution, which looks at access to services as a right. He further stated that it should be stressed that

complying with the Code of Conduct and the Batho Pele principles is possible only in a supportive environment.

- Relationship with the public

This aspect of the Code of Conduct provides that a public servant:

- Shall serve the public in an unbiased and impartial manner;
- Shall be committed and provide timely services;
- Shall respect and protect every person's dignity and shall recognise the public's rights of access to information unless specifically protected by law; and
- Shall cooperate fully with other employees to serve the public interest.
  According to Jardine (2008:14), Batho Pele is a noble vehicle to give practical meaning to our constitutional imperatives on socio-economic rights and participatory democracy. Jardine (2008:14) highlighted conditions that provide fertile ground for the success of Batho Pele. The conditions highlighted by Jardine (2008:14), included:
- Resources: resource allocation and utilisation has to impact where it is needed;
- Efficiencies in the bureaucracy: working conditions in the public service should not be restricted to senior managers, but should apply across the board. There must be clear leadership from politicians is vital ;and
- Genuine engagement to enable participation: partnership and collaboration in the public service and with broader society.

2.4.3 Perspectives on the implementation of Batho Pele

According to Maseko (2008:15), most employees in the public sector ranging from general administrators upwards do not want to implement the principles of Batho Pele, merely because the principles just do not suit their style and mode of operating. Levin (2004:28-35) stated that one of the challenges confronting Batho Pele is that many managers continue to operate within a rule-based culture which disregards Batho Pele. Another challenge, as seen by Bond (2000), is that citizens struggle to access services

with unintended consequences, whereby class and patronage rather than citizenship are often the defining routes to services.

Maseko (2008:15) stated that, in any institution or organisation, working does not imply waking up in the morning and going to your office. It means that, on a daily basis, one should know the effective and efficient contributions made toward fulfilling the objectives of the department's strategic plan. He further stated that a generic problem in government is that the process of strategic planning is meant for management only. He argued that the "dead wood" in government is of our own creation. He further stated that one cannot expect a person to make a positive contribution to something that he or she has never contributed anything to or even heard about. Maseko's argument can be supported, since the government is failing to deliver because the strategic plan is attached to people rather than it being an organisational tool.

2.4.4 Batho Pele: Evaluating performance and compliance

Mphiswana (2008:13) highlighted that there are four elements of service standards, namely, quality/description, delivery targets/quantity, costs and complaint and redress mechanism, which are discussed below:

- Quality/description

Quality/Description refers to the key aspects of the specific service being referred to in the service standards. It provides details of the service the departments intend to provide. It provides the nature of the benefits citizens can expect to receive.

- Delivery targets/quantity

Minimum targets should be defined. It describes the quantity of service which the department promises to provide. It generally relates to issues of time and access for, example, to process one's application within thirty days.

- Costs

It is important for citizens to know about the cost of a service even when there are no user fees.

- Complaint and redress mechanisms

It refers to mechanisms that deal with the concerns and complaints of the citizens when they feel that a department has not met the service standards it has promised. Several principles can be considered to improve redress systems. Accessibility refers to a well publicised and easy to use system. It speaks of speed, where acknowledgements are made immediately and citizens are kept informed of progress and delays. Fairness means that complaints should be fully and impartially investigated. Confidentiality allows for protection of complainants. Responsiveness, which means that, a complainant must be taken seriously, no matter how trivial it may seem. Remedial action must be considered. Review means that a complaint' systems should incorporate review and feedback mechanisms to those responsible for rendering the service to ensure that fairness and mistakes are not reported. Training should be given to all officials to ensure that they know what action to take when a complaint is lodged.

Maphiswana (2008:14) regarded the principles as an acid test to determine the impact on Batho Pele principles on service delivery, largely because the issue of *'people first'* is of priority. There is no excuse for any government department not to adhere to Batho Pele principles. According to Sebina, Hemson and Carter (2009), as quoted by Ralane (2011:29), Batho Pele was intended as the framework that would establish a new service delivery ethic in the public sector in line with the nation's constitutional ideals, which promote the efficient, economic and effective use of public resources in a manner that is development-oriented and responsive to people's needs.

2.4.5 Application of Consultation, service standards, redress, and information
   principles for the Department of Home affairs

Sebina *et al.* (2009), as quoted by Ralane (2011:29), stated that, in South Africa, Batho Pele has been set as an instrument within a strategy to transform public service delivery, from the autocratic practices of the apartheid state, into the '*people's first*' practice of a democratic state. She further stated that Batho Pele sets out as a major departure from a dispensation which excluded the majority of South Africans from government projects, to one that seeks to include all citizens for the achievement of a better life for all through services and products of a democratic dispensation (Ralane, 2011:29).

According to McLennan (2007:14), Batho Pele principles sought to introduce a new approach to service delivery by ensuring that systems prioritise citizens. He stated that this creates a framework for delivery which treats citizens as customers and enables them to hold public officials accountable.

The White Paper on Service Delivery (1997), as quoted by Ralane (2011:31), signalled very strongly government's intention to adopt a citizen oriented approach to service delivery informed by eight principles. These principles, as seen by Du Toit, Knipe, van Niekerk, van der Waldt and Doyle (2002:108), serves as guidance at all levels of government and the public sector when servicing citizens.

Du Toit *et al.* (2002:253) further stated that Batho Pele principles illustrate how the actions of public officials could be regulated. These eight principles are all important in the sense that they stipulate that customers have the right to: be consulted, have service that complies with set standards, access to services, be treated with courtesy, information, transparency, redress and receive value for money.

Mokgoro (2003:12) indicated that a study was conducted by the Public Service Commission (PSC) on the nature and extent of irregularities and inefficiencies in the

management of the Department of Home Affairs and its compliance with the Batho Pele principles. The main findings of the study were Mokgoro (2003:12):

- The department was performing below its own published service standards;
- Staff time was inefficiently utilised;
- The department did not consult with the public about services and service standards;
- No targets for increasing access to the department's services had been set;
- The department did not have a formal mechanism for handling complaints; and
- The department did not have a productivity improvement programme, and was not measuring its productivity.

Mokgoro (2003:13) stated that this study suggests that the fundamentals are not in place for Batho Pele to succeed. These fundamentals, as perceived by Mokgoro (2003:13), include attitudes, beliefs, skills, structure, systems and processes.

Consultation, service standards, redress, and information principles were chosen largely because of their interrelatedness. In terms of the White Paper on Transforming Public Service Delivery (South Africa, 1997:16), the first step should be to consult customers so as to identify their needs. The second step should be the formulation of service standards based on the identified needs, so that customers know what to expect from the departments. The third should be the development of redress mechanisms, where the actual delivery services fall short of the promised standard. The fourth step should be information dissemination, where citizens are given full, accurate information about the public services they are entitled to receive.

These four principles directly link to the DHA because all government departments need enabling documents from this department to effectively and efficiently deliver service to citizens. Further, all people who enter or leave South Africa have to go via the DHA. For any new developments in DHA, all key stakeholders, e.g., customers should be consulted. Service standards must also be set to ensure that citizens know what to expect and this implies that employees cannot in anyway deviate from the service standards formulated and communicated to customers. Due to the fact that the DHA

services are centralised, poor service and mistakes cannot be avoided. Therefore, the DHA has to adhere to the redress principles which speak of acknowledging that the institution made a mistake, apologising, rectifying the mistake, and doing more than is required or expected. The DHA also has a responsibility to provide accurate and up-to-date information, which can be provided through posters in the DHA offices, media and through front desk employees. This keeps customers abreast of new developments.

2.4.5 1 Consultation

The consultation principle is integral to modern management and it leads to sound planning and decision making. Customers should be consulted in the early stages of the strategic planning so that services are more responsive to their needs and expectations (Ralane, 2011:32).

According to the White Paper on Transforming Service Delivery, 1997, as quoted by Ralane (2011:32), consultation gives citizens the opportunity to influence decisions on public service by providing objective evidence that will determine service delivery priorities. Consultation also helps to foster a more participatory and cooperative relationship between providers.

Du Toit *et al.* (2002), as quoted by Ralane (2011:32), stated that consultation must take place between public officials and citizens about the level and quality of services that the public receive. They further stated that citizens must have a say regarding the services delivered to them. Ralane (2011:32) suggested that citizens should be alert and should not be just passive recipients of services, further adding that customers should be vocal and contact the public institution or public official concerned in cases where they are not satisfied with the quality of a service.

The Batho Pele White Paper 1997, as quoted by Ralane (2011:33), states that it is essential that consultation should include the views of those who have previously been denied access to public services. He highlighted that consultation must be conducted intelligently. It should not result in a list of demands that raise unrealistic expectations;

rather it should reveal where resources and effort should be focused in the future to meet the public's most pressing needs.

Gildenhuys and Knipe (2000:131) believed that it is important to consult many customers and to use the information received to improve service delivery for them. They further stated that it is also important to give customers feedback so that they know what to expect. They highlighted that while clients of public services can be consulted in many ways, such as customer surveys, interviews with individuals and consultation with a variety of interest groups, it is also important that consultation must be conducted intelligently and according to proven scientific methods.

Crouse (2004:577) stated that, through communication, government ensures that it is not pursuing it's own agenda, but rather the general welfare of the broader population by encouraging the public to participate in policy–making. It can be added that the reason for the public service undertaking consultation is to ensure that consensus building is present in almost all public endeavours (Crouse, 2004:57).

Lack of consultation in public institutions robs citizens of decent services that they ought to receive. Public institutions should, therefore, have regular consultations with customers. This will enable them to know and understand the priorities of the customers. A service will not in any way be perceived as quality, if the beneficiaries do not receive what they ought to receive.

2.4.5 .2 Service standards

According to Maseko (2008:16), Batho Pele is not outward–looking only, it starts from within. Crous (2004:578) concurred with Maseko when he stated that setting targets is normally part of the corporate planning cycle and should involve the collective effort of employees so as to ensure broad ownership of and commitment to the plan and the targets.

According to Gildenhuys (2004:390), it is for this reason that citizens should be informed about the level and quality of public services they can expect. He further stated that standards for the level and quality of services, including the introduction of new services, should be published.

Gildenhuys (2004:390) suggested that a standard for national services should be set to serve as the national base-line of standards for nationwide service delivery. He further suggested that, in addition to this intra-departmental initiative, service standards should be set to serve as minimum norms for internal departmental supporting activities. He stated that standards must be precise and measurable so that the customer may judge whether they are receiving what was promised (Gildenhuys, 2004:390).

Fox and Bayat (2006:24) stated that once set and published standards may not be reduced or changed. Du Toit *et al.* (2002), as quoted, by Ralane (2011:35), argued that service standards means that the citizens must be informed about the level and quality of the service they will receive in order for them to know what to expect. He further stated that citizens have a right to complain when public institutions do not deliver the quality of service that they said they would.

Hilliard and Msaseni (2000), as quoted by Ralane (2011:35), suggested the following preconditions to ensure that minimum service standards are maintained:

- Management's commitment to real quality service standards;

- Adequate funding;

- Visible improvement in service;

- Retraining and training of human resources;

- Good interdepartmental relations;

- Involvement of all employees in quality; and

- Encouraging constructive contributions of employees to quality improvement.

Setting service standards, therefore, helps the government of the day in ensuring that service is being received by it's intended beneficiaries.

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2.4.5 .3 Redress

Du Toit *et al.* (2002), as quoted by Ralane (2011:40), stated that redress means that public officials must apologise to the citizens when they do not deliver the promised standard of service and undertake to remedy the situation immediately. They further stated that explanation must be given as to why the service quality is below the standard.

According to Crous (2004:583), redress is a principle of remedying mistakes and failures and is also known as recovery. He further stated that recovery implies acknowledging that the institution made a mistake, apologising, rectifying the mistake, and doing more than is required or expected.

Further, Michelli (2008:186) argues that the more expediently a problem is resolved, the more quickly it is forgotten. Therefore, it is of paramount importance that public officials rectify their failures and mistakes in cases where services rendered, did not meet the promised standards and was not rendered timeously.

2.4.5 .4 Information

According to Gildenhuys (2004:390-391), information is one of the most powerful tools at the public's disposal in exercising it's right to good service delivery. He stated that the consultation process should be used to establish what the public wants to know and then to work out where and when the information can be provided.

Maseko (2008:16) maintained that problems exist in situations where there is inadequate information. He stated that it is the violation of the information principle not

to provide information to key stakeholders. Kaul (1996), as cited in Crous (2004:581), endorsed the necessity for accurate and unbiased reporting. He stated that this strengthens the climate of openness and public accountability.

Ralane (2011:38) stated that information must be provided in a manner that is most suited to the needs of the particular customers and at intervals most convenient and useful to these customers. For effective and efficient information dissemination, a variety of media and languages should be used to meet the differing needs of different customers. This is essential to ensure the inclusion of who are or have previously been disadvantaged by physical disability, language, race, gender and geographical distance, thus promoting the access principle. Contact numbers and relevant officials' names should always be provided for obtaining further information and advice.

2.5 Public service delivery

According to Zuma (2009), by working together, we can ensure that South Africans obtain the services they are entitled to. He urged political parties and civil society to partner with the ruling party, with the common goal of improving service delivery to the public.

Glynn, Perkins and Stewarts (1996:246) stated that effectiveness refers to the extent to which an activity or programme achieves its intended objectives. The exclusive focus is outputs, outcomes and impacts. According to Epstein (1992:166), effectiveness is the degree to which goods and services meet the needs and desires of the community, client or consumers served. Members of society are not the only customers. National and provincial departments have various internal customers such as staff within their own organisations, as well as other departments and institutions to whom they provide a service (Du Toit, van der Waldt and Doyle, 2002:307). According to Nqakula, the former Minister of DHA, central to the vision of the government departments like DHA are its customers, their needs, preferences and, most importantly, the obligation is to serve customers in a convenient and efficient way. The twin objective for the improvement of

the service systems is to ensure that departments serve its customers efficiently, and to create an identification regime that is sanitised, credible and secured (South Africa, 2009:4).

The leadership development management strategic framework developed by the Department of Public Services and Administration (DPSA) in 2007 defined the policies and performance mandate for public service leadership and management. This framework highlighted the importance of leadership development to ensure that the objectives of the developmental state are achieved through *" public leaders that demonstrate high ethical standards and shared values to perform well by doing the right things, at the right time, in the right way"* (South Africa, 2007).

Naidoo (2010:8) stated that many of the new programmes stress the need to move beyond the generic leadership and management approach to one that is both mission and customer driven. Southhall (2007), as quoted by McLennan and Munslow (2009:10), stated that political control of the state structure is an avenue for politicians to manage policy and sometimes to accumulate power and money. He further stated that this can be detrimental to public service delivery. The Public service commission (2007), as quoted by Dorasamy (2009:58), stated that concerns regarding service delivery can be attributed to the performance of public officials. Dorasamy (2009:58) argued that sustained efforts to improve standards while expanding services has failed in many of the government departments because of person-to-post mismatch, lack of skills and a lack of performance standards. She further argued that these contributory factors can be linked to egoistic leaders who assumed positions without giving consideration to performance based on accountability and responsibility (Dorasamy 2009:59). West's Encyclopedia of American Law (2008) as quoted by Reeves (2011:2) argued that patronage systems extending far down the organisational chain are susceptible to incompetence, unprofessionalism and corruption. Reeves (2011:2) stated that the situation in Liberia is equally true; patronage politics has continued to affect every facet of government functionaries, leading to gross inefficiency in service delivery and increased corruption.

McLennan and Munslow (2009:10) highlighted that the problem with patronage political appointments is that no matter how committed and willing the person appointed, if the expertise is missing, service delivery will be adversely affected. Reid (2003) as quoted by Reeves (2011:3) argued that patronage politics is destructive to a country's economy and its people in that it does not forge the common good of diverse segment of society, instead it limits itself to the awarding of public office to individuals in payment for political support. They further stated that there are people who surround themselves with competent professional advisers. According to McLennan and Munslow (2009:10), these leaders are leaders who acknowledge that they do not know and will listen to advice. They stated that there are also leaders who surround themselves with support and patronage networks, rather than with those with technical competence for effective delivery. Both forces are at work, professionalism and an emphasis on delivery on the one hand, and politics of patronage and its sister corruption, on the other hand.

The Presidential Review Commission Report (1998: Chapter 2:2-3), as quoted by Mafunisa (2003:94), stated that a number of new ministers and senior public servants assumed office without any previous experience or formal training. However, for the department to be effective, it must ensure that it appoints highly qualified personnel to head departments.

Mafunisa (2003:88) stated that members of the ANC are expected to be ready to serve in any capacity, taking their speciality, aptitude, qualification and capability into consideration. This is evidenced by Miller (2005:85-6), when he stated that the African National Congress (ANC), in its early days as government, started employing people who shared its ideological values into senior positions in the public service. Mafunisa (2003:86), stated that the ANC deployed some of its members to key public sector positions with a view of promoting loyalty and service delivery. Mafunisa (2003:86) argued that the ANC believed that effective service delivery depended on people who understand and are loyal to it's policies and programmes, which is problematic.

Mafunisa (2003) and Maserumule (2007), as quoted by Cameron (2010:18), pointed out that, in 1997, the ANC introduced its Cadre Policy and Deployment Strategy, which advocated political appointments to senior positions in the public service. This policy emphasised recruitment from within parties, and potential employees were made to understand and accept the basic policies and programmes of the ANC. According to Cameron (2010:18), the Cadre Policy and Deployment Strategy made no reference to the need for administrative competence. Cameron (2010:19), regards having any of the top two levels of appointees (MEC/ Minister and Head of Department) with expertise as a bonus. Mafunisa (2003:89) stated that Section 195 (4) of the Constitution of the Republic of South Africa, 1996 (Act 108 of 1996), also provides for political appointments. However, it is also important to ensure that political appointments also consider competence.

Svara (2001:3), as quoted by Mafunisa (2003:90), stated that to ensure effective service delivery, both political office bearers and public servants should complement each other. To ensure that services are provided to members of the public effectively and efficiently, the tension between political office bearers (ministers or MEC's) and senior public servants (especially director-generals) should be eased. There is therefore, a crucial need for government to develop and affirm a professional protocol specifying broad guidelines to facilitate more appropriate management of the relationship; roles and responsibilities of elected officials and senior public servants (Mafunisa 2003:90-100). A need also exists to ensure a common understanding among ministers and MEC's, their deputies, and appointed officials of the machinery, systems, principles and practices of government and administration. This is to not only increase knowledge and skills, but also to avoid conflicts inherent in the political-administrative interface (Mafunisa, 2003:100).

2.5.1 Challenges facing service delivery

Schwella, (2001:367-368) stated that the extent and effectiveness of service delivery is influenced by societal contextual realities and the needs of the client base. He argued

that South Africa is a world in one country, characterised by diversity, pluralism, and inequality. The policies of the past, apartheid and "*separate development*", contributed to the fragmentation of South African society through their emphasis on forced separation. In conjunction with diversity and pluralism, this has contributed to the deeply divided and unequal state of South African society. A deeply divided society is generally and technically regarded as difficult to govern and administer. South Africa is no exception to this generalisation (Schwella, 2001:367-368). Higgins (2008:54), stated that unauthorised expenditure and under-spending hamper service delivery, and he argued that there is no reason why the public should not be serviced, given the fact that, each year all three tiers of government approve and vote for the budgets of departments and municipalities throughout the country.

Higgins (2008:54) argued that it is difficult to govern and administer a divided society. His argument is evidenced by the following reports .Shiba (2011:10) reported that Tatane (33) was killed by the police during a service delivery march. He died struggling to get government to provide a simple necessity, water. Shiba further reported that the Setsotso municipal manager admitted that Tatane's death made them double their efforts to deliver the services to the community. Wallis (2011) stated that when people riot for service delivery, they are fighting for the quality of life. Booysen (2007:21-32) concurred with Wallis when he says that the rising number of local protests against poor service delivery reflects a tension between delivery and democratisation. Booysen (2007:21-32) further stated that managing the strain of securing "*a better life for all*" is difficult given that the apartheid legacy is not easy to eradicate.

Ramoo (2008:60) indicated that, even though government has very good policies, government's efforts to deliver on projects are being affected by a number of inhibitors. According to Ramoo (2008:60), the main factor working against government at the moment is a lack of skills and capacity in terms of it's own employees implementing the policies and decisions made by the upper echelons in government. In the area of administration alone, numerous departments lack the skills needed to keep corporate services efficient and up-to-date.

Milazi (2007), as quoted by McLennon and Munslow (2009:7), concurred with Ramoo's statement. He stated that efforts to match skills shortages by attracting foreign professionals were not pursued with sufficient vigour and were hampered by incompetence and rule complexities in government departments like the DHA. Ramoo (2008:60) highlighted that the absence of a *"culture of delivery"* is noted especially among lower level employees. Although definite commitment and action from middle management and senior management in departments may be visible, he stated that, there is lack of both at ground level. According to Ramoo (2008:60), improving work ethics needs to become a priority. He further stated that people need to understand how they, as individuals, can enable delivery and to take pride in making things happen in their departments.

In general, government's strategy in managing poverty and unemployment has been to increase the number of social grants available to the poorest and neediest (Mc Lennan and Munslow, 2009:7). This is not always completely successful due to the failure of the DHA in providing birth and identity documents (ID) timeuosly. Dlamini (2011:5) confirmed that the DHA gives customers a hard time. According to Dlamini's report, a 42 year old man was classified as a woman in his identity book. The man felt his life was on hold. Dlamini (2011:5) further stated that Jabulani Ngcobo, of Itshelimnyama near Marianhill, experienced difficulties when it came to doing anything that required his identity document. The DHA records (ID book) reflected that Jabulani Ngcobo's gender is female. The greatest challenge Jabulani Ngcobo is faced was that he was required to go to the doctor and get a confirmation letter that stated that he was really a man. According to Dlamini (2011:5), Jabulani's life was affected at work because he could not get his salary deposited in his account because he could not open an account. This difficulty confirmed that if any government department fails to offer effective and efficient services, the citizens ultimately suffer.

McLennan (2007), as quoted by McLennan and Munslow (2009:9), suggested that South Africa should build capacitated administrative machinery capable of delivering to

the poorest of the poor. The machinery is premised on the assumption that service delivery is best left in the hands of professional managers who are clear about their objectives and have the technical expertise to deliver. According to Mc Lennan and Munslow (2009:9), this created challenges for delivery, in the following areas:

- It is not possible to assume that technical expertise always exists in the delivery system;
- Challenges in capacity that undermine effective delivery, as a result of an over-reliance on consultants;
- A lack of application of administrative due process and regulations; and
- Inappropriate outsourcing or poor decision-making.

Ramoo (2008:60) explained that exacerbating "*the people inhibitor*" is the fact that government is required to *"do far more with far less"*. Government does not have the resources required to deliver on its mandate. He added that the myriad of complex legislation it has to adhere to in terms of systems and processes compounds the situation of non-delivery that much more. Instead of focusing on getting the job done and actually delivering, officials often become bogged down in red tape. Mc Lennan and Munslow (2009:9) believed that effective management and political leadership emerged as key issues for the system to address and there is a general and worrying tendency to develop systems of patronage to get the job done.

Ramoo (2008:60) cited a disconnection between political promises and realistic operational delivery capacity and resources as another inhibitor of delivery. He further stated that despite the promises politicians make, what is actually delivered is not according to expectations. This is due to expectations created by politicians that cannot often be met by officials as a result of financial constraints, lack of skills and capacity, procurement bottlenecks, limited timeframes and infrastructure realities on the ground and even corruption (Ramoo, 2008:60).

2.5.2 Impact of corruption on service delivery

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The government of the day has an overwhelming task to do all things necessary to ensure effective and efficient public service delivery. However, achieving government's mandate is greatly challenged by the prevalence of corruption, thereby placing severe constraints on the governance of this country (Heath, 2010). According to Heath (2010), corruption undermines our constitutional rights to human dignity, quality and freedom. It endangers the stability and security of our societies. It also undermines the institutions and values of democracy. He further stated that corruption seriously jeopardises sustainable development, the rule of law and the credibility of our governments. It provides a breeding ground for the violation of the fundamental principles of Batho Pele.

 Mbanjwa (2011:1-4) reported that the Public Service Commission (PSC) Report revealed that fraud and corruption are rife in most government departments. Mbanjwa (2011: 1-4)) further reported that the Home Affairs and Correctional Services departments are the most corrupt departments as per reports based on calls by anonymous whistleblowers to the National Anti-Corruption Hotline between 2004 and 2010.

 According to Mbanjwa (2011: 1-4), the most common cases of alleged corruption relate to fraud and bribery, mismanagement of government funds, abuse of government resources and procurement irregularities. Mbanjwa (2011:1,4) stated that the Public Service Commission reported that the majority of cases lodged against the DHA involved the bribing of officials to obtain fraudulent identity documents, passports, marriage certificates and the sale of identity documents to illegal immigrants. Of the 3 554 cases reported to the hotline since 2004, the largest number involved the DHA, with 781 reported but only 142 resolved (Mbanjwa, 2011:1-4).

The Public Service Commission expressed concern that the lack of action on reported cases of corruption by senior managers and directors-generals was a *"trend"* which could compromise the integrity of the hotline and weaken the public's confidence in government's commitment toward fighting fraud and corruption (Mbanjwa, 2011: 1, 4).

Heath (2010) believed that corruption distorts the allocation of resources, thereby sharply increasing the cost of goods and services. By diverting scarce resources to non-priorities, largely neglects fundamental needs, particularly basic needs such as food, health and education. He further stated that corruption can act as a disincentive, possibly deterring prospective economic activities and investment. It increases the likelihood of committing other crimes. Corruption, therefore, becomes both the cause and consequence of under development and poverty, in general which can be attributed to South Africa as well. According to Hassim (2007), the country we live in is engulfed in fraud and corruption and an escalating diminishing service to its citizens.

Fraser- Moleketi (2008:46) argued that corruption reinforces the banality of evil and its conceit lies in its ability to implicate, its complicity and its ability to violate the laws of the country. She further stated that it flouts international conventions and treaties and undermines democratic values and ethos (Fraser- Moleketi, 2008:46).

Fraser-Moleketi (2008:46) viewed corruption as an anarchy that has been loosed upon the world in which we live. Chinua Achebe and many other writers, as quoted by Fraser-Moleketi (2008:46), pointed to the significance of fighting corruption because it erodes the social fabric of society like undermining communities, perpetuating poverty, inequality and underdevelopment. Fraser-Moleketi (2008:46) suggested that, as a country, people must be resolute and steadfast in the fight against corruption in all spheres of society. According to Fraser-Moleketi (2008:46), the corrosive effect of corruption is experienced not only where corruption is perpetrated, but simultaneous reverberations of its effects are felt throughout the global economy and society at large. She further stated that corruption is a global problem that affects both the developed and developing world, but it is in the developing world that it's effect is most destructive.

It was Plato, as quoted by Fraser-Moleketi (2008:46), who warned us to *"do no service for a present".* Aristotle, as quoted by Fraser-Moleketi, once said *"we become just by doing just acts".* Both the scholars quoted are addressing corruption of values, the corruption of the soul of the nation, the corruption of the institution of democracy, and

the corruption of the individual. The researcher faced a number of people who would come to his office and say *"please help me, I have R200.00".* The people needing help are always people requesting letters that confirm that children receiving grant are enrolled in the institution. Some would be people who intend bribing the researcher to issue letters that state that they started schooling in the researcher's institution and late birth registration as well as identity book applications. Giese and Smith (2007: 54) concurred with the fact the above statement when they say; desperate clients are forced into a situation where they pay bribes to officials in order to bypass inefficiencies in service delivery.   Here, perpetrators of corruption are the customers apart from the employees.

Fraser-Moleketi (2008:46) stated the following seven important premises relating to corruption as outlined in the Africa Forum on Anti Corruption held in March 2007:

- The first premise being that while corruption manifests itself in the relationship between individuals and institutions, corruption, as a practice, is rooted in the operation of market forces, the pursuit of individual prosperity and gain as opposed to the common good. This possessive individualism has undermined the goals and objectives of national and community level development;

- The second premise is that corruption is fundamentally undemocratic; it undermines the legitimacy and credibility of democratically elected governments and of responsible and accountable civil servants;

- The third premise is that corruption is about the interface of political and economic elites at a global, national and regional scale;

- The fourth premise is that the intentional preoccupation in the global corruption discourse with bribe takers and bribe givers and particularly with bribe takers is disingenuous, ideologically loaded, and simplistic and certainly serves other agendas that are not linked to developmental goals. This discourse needs to be challenged precisely because it overlooks the complexity of the social forces, systems, processes and structures which underpin acts of corruption;

- The fifth premise is that corruption is a direct impediment to Africa's development. Corruptions hurt the many and benefit the few. It inhibits the ability

of government to respond to citizens' needs and to utilise scarce resources in the most efficient and effective manner. It also hampers the continent's efforts to instil sound political, socio-economic and corporate governance;

- The sixth premise is that corruption distorts and undermines the value systems of all societies and their peoples and possessive individualism and overrides any sense of the common good; and

- The seventh premise is that an anti-corruption strategy must be articulated by leaders in the political, economic and civil society spheres and must engage all sectors of society on the basis of a core set of leadership practices and values. Anti-corruption strategy must articulate an alternative ethos and value system.

According to Fraser-Mokeleti (2008:46), corruption engenders perverse political dependencies, lost political opportunities to improve the general well being of the citizenry and fosters a climate of mistrust, particularly of public officials. The losses that accrue from a culture of permissiveness with respect to corruption include a loss of revenue, loss of trust, loss of values, loss of credibility and legitimacy and a loss of the democratic ethos and impulse within institutions and organisations. Fraser-Moleketi (2008:46) further stated that corruption erodes the "*common good*" and the "*People's Contract*". The political cost of corruption is that it undermines democracy, weakens the developmental state and undermines responsibility, accountability and legitimacy. Therefore, the state needs to take a lead in combating, preventing, managing and eliminating corruption. In eroding the "*People's Contract*", corruption alienates citizens from the very officials they have elected and also alienates people from each other. Corruption destroys trust and erodes both the sense of global citizenship and the sense of shared responsibility as well as national citizenship and the sense of social cohesion (Fraser-Mokeleti, 2008:46).

Fraser- Moleketi (2008:46) stated that the time for complacency is over. Every day of inaction is a missed opportunity to create a more prosperous and transparent world. According to Fraser-Moleketi (2008:46), the greatest challenge is for those international commitments made on paper to become concrete action in order to eliminate

corruption. According to Fraser- Moleketi (2008:46), South Africa's fight against corruption can only be effective if government works in partnership with civil society and the business sector. Fraser-Moleketi (2008:46) stated that the fight against corruption is growing and new manifestations of corruption show gaps in the application of existing legislation and policies.

2.6 Service provision by the Department of Home Affairs

Each and every government department is guided by its vision, mission and value statement. According to the Department of Home Affairs Strategic Plan (South Africa, 2010/11-2012/13:2), the department is guided by the following:

Vision

A safe secure South Africa, where, all of its people are proud of, and value, their identity and citizenship.

Mission statement

The efficient determination and safeguarding of the identity and status of citizens and the regulation of migration to ensure security promote development and fulfil our international obligation.

Value statement

The DHA is committed to being: people – centred and caring; patriotic; professional and having integrity; corruption free and ethical; efficient and innovative.

In the spirit of Batho Pele, the department is guided by the following principles: ethical conduct, accountability, transparency, flexibility and professionalism.

2.6.1 Department of Home Affairs mandate

The Department of Home Affairs has two core responsibilities (South Africa, 2010:14-15)

- Civic services: To administer citizenship and provide enabling documents to SA citizens; and
- Immigration: To facilitate the movement of people in and out of South Africa.

There are five core civic services, namely (South Africa, 2010:14-15):

- Issuing of birth, marriage and death certificate and this include:
  - Registration of births up to 15 years, marriages and deaths- this information is captured on the National population Register (NPR);
  - Applications for abridged birth, marriage or death certificates;
  - Applications for unabridged birth, marriage or death certificates;
  - Rectification of personal particulars –this includes alteration of forename, surname, amendment of date of birth etc.
- Late registration of births for person over the age of 15 years (late birth registration for applicants over the age of 15 years is always accompanied by an application for a first issue of an identity document);
- Issuing of ID books:
  - Application for an ID document for person over the age of 15 years;
  - Application for re-issue of ID book; and
  - Temporal ID.
- Citizenship
- Passports.

2.6.2 Legislative framework

The DHA mandate is derived from numerous pieces of legislation, which creates complex legal framework. Amongst the documents, the work of the DHA is governed by the following (South Africa, 2010:14-15):

- *Births, marriages and deaths*
- Recognition of Customary Marriages Act, 1998

- The Births and Deaths Registration Act No. 61 of 1992 subsequently amended in Act No. 67 of 1997 and in Act No. 43 of 1998.
- The Regulations promulgated in terms of the Births and Deaths Registration Act No.61 1992 as amended.
- Delegation by the Minister in terms of the Births and Deaths Registration Act No.61of 1992.
- The Marriage Act No. 25 of 1961.
- The Regulations promulgated in terms of the Marriage Act No. 25 of 1961.
- Recognition of Customary Marriages Act No. 120 of 1998, that came into effect on 15 November 2000.
- The Regulations in terms of the Recognition of Customary Marriages Act No. 120 of 1998 (Government Gazette No. 21700, 1 November 2000) that came into effect on 15 November 2000.

- *Identity documents and Identification*
  - Identification Act No. 68 of 1997. This Act repealed previous Identification Acts (Act No. 72 of 1986, Act No. 21 of 1991, Act No. 4 of 1993 and Act No.47 of 1995).
  - The Regulations in terms of the Identification Act No.68 of 1997.
- *Citizenship*
  - The South African Citizenship Act No. 88 of 1995 as amended.
  - The Regulations in terms of the South African Citizenship Act 88 of 1995 as amended.
  - Delegations in terms of Section 22 of the South African Citizenship Act No.88 of 1995.
- *Travel documents and passports*
  - South African Passports and Travel Documents Act No. 4 of 1994 as amended.
  - South African Passports and Travel Documents Regulations, 1996 as amended.
- *Immigration*

- o The Refugees Act No. 130 of 1998.

- o The Regulations made in terms of the Refugees Act No.130 of 1998.

- o The Immigration Act No. 13 of 2002.

- o The Regulations made in terms of the Immigration Act No. 13 of 2002.

- o The Criminal Procedure Act No. 51 of 1977.

- *Other relevant mandates include:*

  - o The South African Constitution;

  - o The Universal Declaration of Human Rights;

  - o The Public Service Act No. 103 of 1994, and associated regulations;

  - o The Promotion of Access to Information Act No. 2 of 2000;

  - o The White Paper on the Transformation of the Public Service, Government Gazette No. 1227, 24 November 1995;

  - o The White Paper on the Transformation of Public Service Delivery: Batho Pele, government Gazette No. 18340, October 1997;

  - o The White Paper on an Integrated National Disability Strategy, 1997;

  - o Promotion of Administrative Justice Act, 2000; and

  - o The Intergovernmental Relations Framework, Act No. 15 of 2005 (Giese and Smith, 2007:15-16).

All government departments are directly or indirectly linked to the Department of Home Affairs since failure of this department to perform a certain function may result in another department suffering. A practical example is if a person fails to get an ID book, the Department of Human Settlement and Social Welfare cannot provide a service to a needy citizen.

According to Zuma (2009), the Batho Pele principles require public servants to be cautious and responsive by offering good quality and value for money services. He further stated that, as a country we must move faster and make our public service to begin to embody and practise these noble principles. This is highlighted in the following statement: *"We are pressing ahead with the implementation of services, coupled with service delivery improvement mechanisms internally in the public service. We have to*

continue with our efforts to re-orientate our public service toward putting people first. Well-crafted policies mean nothing if they do not change the lives of ordinary people" (Zuma, 2009).

Despite being a public sector institution with clearly defined roles and responsibilities, the Department of Home Affairs is still reputed for *"being one of South Africa's most dysfunctional departments"* (Msimang, 2009). This suggested that the Department of Home Affairs is not effective in its day-to-day operations. The Department of Home Affairs Annual Report (South Africa; 2008:26) revealed problems that included the lack of a properly functioning Electronic Document Management System (EDMS) which assists with record management and the lack of efficient information services (IS) systems. Xenophobic violence, causing significant backlogs at the Refugee Appeal Board (RAB) and the Standing Committee on Refugee Affairs (SCRA), have resulted in cases not being finalised and clients returning repeatedly to centres for extensions. The aforementioned report suggested some of the reasons that influence customers to bribe officials from DHA to fast-track the processing of documents and obtain documents illegally.

2.6.3 Application of Batho Pele principles in the department

The Batho Pele initiative applies equally to both internal and external customers of the DHA. According to the White Paper on Transforming the Public Service Delivery (South Africa, 1997:14), lack of information, complex regulations and too many complicated forms was a barrier to good service delivery. Often, customers were left with no option, but to figure out on their own what services were available. Therefore, the White Paper on Transforming the Public Service Delivery (1997) sought to create a framework for the delivery of public services which treats citizens more like customers. It also enables citizens to hold public servants to account for the service they receive. The Batho Pele policy framework consists of eight service delivery principles, namely, consultation, service standards, access, courtesy, information, openness and transparency, redress and value for money. Therefore, the Department of Home Affairs is delegated to fulfil the mandate of the Batho Pele White Paper. (South Africa, 1997:12)

Despite government strategies employed and implemented by the Department of Home Affairs, there are still huge challenges experienced by customers. The Public Protector, Thulisile Madonsela, criticised the department for failing to solve a five- year duplicate identity document problem for Patrick Khanyile, who failed to secure a place at university (Mercury Correspondent, 2010:3).

Siphosihle Cele, known as Touch, lost an opportunity on Television Class Act auditions, because the DHA failed to issue a correct identity book that he applied for since 2006. The 2008 identity document application was issued with the correct picture but someone else's information. In 2009, he tried to reapply, but was then told that his fingerprints were not clear (Msomi, 2010:1).

The principle of redress was violated in the preceding cases mentioned since it took a long time to address problems. According to the Batho Pele White Paper (South Africa, 1997:21), the principle of redress requires a completely new approach in handling complaints. In most cases, complaints' procedures are often lengthy and bureaucratic. The White Paper on Transforming the Public Service Delivery (South Africa, 1997:21), further suggested that national and provincial departments need to improve their complaints' system in line with the principles of accessibility, speed and fairness.

Further, in another case the spokesperson for the DHA, Ronnie Mamoepa indicated, that Dlamini–Zuma hoped that the police investigation over fake identity books found packed and ready to be sold to anyone with enough cash at a house in Eldorado Park, south of Johannesburg, would lead them to the corrupt officials from the DHA as well (Matekane, 2010:1-2).

In view of the aforementioned problems, government is committed to serve its customers. This is evidenced by the State of the Nation address of President Jacob Zuma, when he declared 2010 as a year of action, which meant that government employees have to intensify their efforts to deliver quality services to government

customers (Zuma, 2010a). It is envisaged that the study will assist government to fulfil its commitment to improve service delivery in the Department of Home Affairs.

2.6.4 Challenges hindering service delivery in the Department of Home Affairs

Giese and Smith (2007:52) stated that in South Africa the demand for legal and illegal citizenship documents is large and growing. They further stated that, some DHA officials were clearly torn between keeping illegal immigrants out and facilitating access to enabling documents for legitimate applicants. According to Giese and Smith (2007:52), the dual mandate of immigration and civic services places pressure on departmental officials, which ultimately impacts on service delivery and access for clients.
The current Minister of the DHA, Dlamini-Zuma highlighted the following challenges (2009a):

- How people are channelled into queues;
- Bribing of officials to avoid queues;
- Lack of floor managers who assist to ensure a smooth flow of people;
- Forms are not filled in correctly and people have to come back,
- Large volume of paperwork on a daily basis and loss of some documents; and
- Attitudes of employees.

Msimang (2009) cited the following challenges:
- In 2009, the department had a backlog of some 600 000 identity document (ID) applications; and
- Over 144 000 refugee applications backlog.

Msimang (2009) cited the following as the common cases:
- Misappropriation of state funds;
- Aiding and abetting illegal immigrants;
- Illegal issuing of documents;

- Selling fraudulent documents;

- Abscondment;

- Soliciting bribes and theft of face -value documents;

- Fraudulent marriages;

- Marriage of convenience; and

- Crime syndicates.

Corruption, being an act of dishonesty and accepting of bribes, is prevalent in the department. Padayachee (2009:4) reported that two female teachers from the Clermont Schools in Durban allegedly misled DHA officials and obtained a death certificate fraudulently. A sum of R25 000 was claimed and paid out by insurance companies. Padayachee further revealed that the victim found out that she had been declared dead when her government grant was not paid to her. This is further supported by the Home Affairs Annual Report (South Africa, 2008:80), which states that corruption is the single highest challenge to the department. According to the World Bank (1992:16), corruption hinders efficiency in service delivery, for instance, the bribing of officials to avoid queues, fraudulent marriages and selling of fraudulent documents. Poor customers end up not being attended to because officials want quick cash, which results in them attending to those who will pay.

Giese and Smith (2007:53) stated that challenges to obtaining proof of birth and maternal identity leave many applicants at a loss. They argued that legitimate applicants are caught between a rock and a hard place. Being unable to negotiate their way through the bureaucracy, many are forced to resort to fraudulent means of obtaining documents.

According to Padayachee (2011:6), seven officials were arrested for fraud. These seven officials included a marriage officer and six DHA officials at the Durban Regional Office. Padayachee (2011:3) stated that these arrests occurred during a police raid at these offices in Umgeni Road on Wednesday, 6 April 2011.Padayachee stated that these people were arrested as part of an ongoing investigation aimed at rooting out corruption

at the Department of Home Affairs. The investigation was carried out following a tip off from citizens. It is further revealed that officials arrested were suspected of facilitating "*convenience marriages*" between South Africans and foreign nationals. The so- called marriages aimed at helping foreign nationals to get South African citizenship (Padayachee, 2011:3). This has necessitated the department recently appointing a new investigator to deal with fraudulent activity at the Department of Home Affairs (Padayachee, 2011:6).

Dorasamy (2009:58) argued that by being manifested with widespread corruption, the subordination of public interest has negated the requirement for accountability and responsibility in this department. She postulated that the influence of personal advantage over the general desire to do what is right or what is in the best interest of the public has resulted in people's rights being violated, leading to a loss of credibility for this department. Klitgaard (1995) stated that the following three factors are particularly critical in creating opportunities for officials to engage in corruption:

- The monopoly power of officials;
- The degree of discretion that officials are permitted to exercise; and
- The degree to which institutions are accountable and transparent.

The aforementioned challenges, especially corruption related, highlight the gross violation of service delivery and the Batho Pele principles of consultation, service standards, redress and courtesy. Such acts, like the bribing of officials and selling of fraudulent documents deny citizens of good quality service because customers, who matter most, are likely to be the people who do not have money.

Therefore, the DHA needs to monitor the implementation of Batho Pele principles of openness, accountability and transparency in an attempt to eradicate corruption. Further, it would also contribute to ensuring that consultation, service standards, redress and information requirements are not compromised.

2.6.5 Strategies to improve service delivery

The key strategy of the Department of Public Services and Administration (South Africa, 2000) to improve the quality of public services entailed the development of a culture of accountability to citizens and consumers of government services. According to the DPSA-Annual Report (South Africa, 1999), the agenda for action is built on the Batho Pele principles and its main focus is the practical initiatives in ensuring that services are in relation to the needs of it's citizens.

The current government, under the leadership of President Jacob Zuma, pioneered a planning, monitoring and evaluation department to ensure that insanity, as defined by Einstein, is eradicated in all government departments. As a result, all government departments embarked on turnaround strategies to improve service delivery.

The Government Digest (2009:47-50) further revealed that, in 2007, the Auditor-General's disclaimer report recommended that the DHA required drastic action. The DHA then embarked on the Turnaround Strategy to put it's house in order and improve on the levels of service delivery. The Strategy's aims include rooting out corruption and inefficiency. According to the Government Digest (2009:47-50), the former DHA Minister, Mapisa-Nqakula, revealed that they started in 2007 with an in-depth process to understand the root cause of the DHA's problem and designed solutions to solve them. The first point of departure was the introduction of a Support Intervention Team (SIT). Public Service and Administration Minister, Richard Baloyi, analysed the department's challenges and later presented a report, which formed the basis of its Turnaround Strategy. Baloyi's report identified problems in service delivery. The problems identified include (Government's Digest, 2009:47-50):

- Internal control and financial management, leadership and management, human resources and information and communication technology. This report aimed to deliver a turnaround in three years;
- Unauthorised expenditure and under spending hamper service delivery;

- "*Fraudulent deaths*";

- Identity theft; and

- Backlog which slows down the issuing of birth, marriage and death certificates.

The Government Digest (2009:47-50) revealed that few months after the former Minister announced progress on the Turnaround Strategy, DHA was honoured with a prestigious Public Service Delivery to Citizens' Award at the bi-annual Technology in Governance in Africa (TIGA) Awards held in Addis Ababa, Ethopia.

The DHA submitted four projects for the awards (Government's Digest, 2009:47-50):

- Automated fingerprints identification systems (ASIF);

- Online fingerprint verification;

- Operations management ; and

- Client Service Centre and Track and Trace.

In view of the numerous challenges the department faced, the following strategies have been implemented (South Africa, 2009:4):

- Establishment of the track and trace system that enables the department to know exactly where each document is;

- Compulsory Batho Pele induction course for all Home Affairs employees;

- Compulsory name tag wearing by all Home Affairs employees for customers to be able to identify officials rendering services and report bad service and corruption;

- Establishment of the call centre for the public to voice their complaints; and

- Establishment of a Home Affairs office at public hospitals to register deaths and births.

Dlamini-Zuma (2009b) revealed another strategy that showed that the department's ultimate objective was really striving to be a paperless department and this is evident by:

- the introduction of online capturing of new passports, applications and online applications for identity documents; and

- an amount of R700-million had been budgeted for a complete revamp of Home Affairs IT services.

The Annual Report of (South Africa, 2008:80) revealed that specific measures were taken to address the problem of corruption. Measures included centralising certain functions and tightening access to others. The major step taken was to strengthen controls on late registration of births, since it remained a major target for syndicated crime. The department also established a code of ethics for departmental officials, fraud hotlines and a Counter Corruption Unit.

Msimang (2009) stated that the track and trace system, launched in August 2008, allows customers to trace the progress of their applications via cell phones, laptops and PC's. Msimang further stated that the track and trace system has curtailed opportunities of corruption. Through management training, a culture of accountability among Home Affairs staff has been instilled. Msimang (2009) further declared that, before recent operations, management exercise documents were stored haphazardly and the environment was untidy, but today the environment has been cleaned up and a basic document management process has been put in place.

Dlamini-Zuma (2010) declared that the DHA is far healthier and a more effective organisation than the one prior to the commitment of the turnaround programme in 2007 and changes in leadership in 2004. The intensive turnaround strategy changed the department fundamentally on every level. She further stated that the transformation efforts over the past year has resulted in huge gains and concrete improvements such as the introduction of a queue management system, which has reduced the approximate waiting time from 45 minutes to between 25 and 30 minutes, the reduction in the backlog of the National Population Registration from 29 000 to about 6 000, which was the cause of frustration and grief to DHA customers.

2.7 Conclusion

The provision of public services make government visible to it's citizens. Public services are the citizens' direct line to government. They make government tangible through almost daily interaction, whether direct or indirect. Governments are shaped by images and practices. Public services contribute to the creation of these images and practices (Migdal, 2001:16).

Dorasamy (2009:56) stated that the public service is the primary delivery arm of a democratic state. All employees of the public service, including managers must use the organisational purpose as a frame of reference for the execution of all functions within the organisation so that public satisfaction can be best achieved, without compromising ethical behavior (Dorasamy, 2009:56). Migdal (2001:16) highlighted that public servants are expected to be faithful and honour the Constitution in the execution of their daily tasks. The public service is obliged to put the public interest first, and loyally execute the policies of the government of the day, no matter which party is in power.

The DHA is an important and integral part of central government. The aim of the DHA is to protect and regulate the interest of the inhabitants of the Republic of South Africa, regarding their individual status, identify and specific rights and powers, and to promote a supporting service to this effect (South Africa, 2011:20).

The DHA is meant to provide to all citizens the quality of service expected in a modern democratic state. Under colonialism and apartheid, quality service was reserved for whites only and, for the great majority of the population Home Affairs was an instrument of repression and control. Given this legacy, the transformation of the DHA must be citizen and client centred and designed to meet the actual needs, as well as address national priorities (South Africa, 2011:28).

The White Paper on the Transformation of the Public Service, 1997 (Batho Pele), serves as the cornerstone of introducing the principles of Batho Pele to further enhance the agenda for service delivery. One of the critical principles of Batho Pele is that of its customer focus. Today, much emphasis is placed on customer satisfaction, and to

regularly interface with the customers whom public servants are paid to serve in the public domain (South Africa, 1997:25).

According to the White Paper on Transforming Public Service Delivery (South Africa, 1997:33-36), the following key aspects ought to be acted upon by public institutions:

- Inform staff and encourage them to focus on improved service delivery;
- Provide information to facilitate monitoring by the Public Service Commission, DPSA, Portfolio Committees, the national, provincial and inter-provincial transformation coordinating committee, and developmental transformation units; and
- Make provisions for the organisation's service standards and other service delivery goals and commitments.

Generally, Batho Pele is an approach which puts pressure on systems, procedures, attitudes and behaviour within the public service and reorients them in favour of the customer (South Africa, 1997:12) This chapter analysed the importance of effective and efficient public services and the role of Batho Pele principles in contributing to the achievement of this within the context of the case study. The next chapter focuses on research methodology.

CHAPTER 3

RESEARCH METHODOLOGY

3.1 Introduction

The purpose of this chapter is to discuss the research methods employed in obtaining the results for the study. This includes a discussion of the objectives of the study, the research instruments, the sampling technique, the data collection as well as the statistical technique used to analyse the results. The research design was chosen

because it acknowledges that research into the implementation of Batho Pele principles on service delivery is relatively un-researched in the context of South African consumers of public services provided by the DHA. It is well stated that the White Paper on Transforming Public Service Delivery (South Africa, 1997:9), commonly known as the Batho Pele (People First) White paper, aims to make service delivery a priority in the public service.

This chapter outlines the theoretical framework for this research that is informed by using a case study and both qualitative and quantitative techniques. Arguments for this mixed method approach in the research methodology are presented together with the process for data collection. The sampling design and the justification for the study are also discussed.

3.2 Aim of the study

The aim of the study was to explore the nature of public service delivery within the Batho Pele framework as executed by the DHA Durban regional office. This was accomplished through the following objectives:

- Identification of the core services provided by the department;
- Identification of the extent to which the Batho Pele principles are applied by the department;
- Exploration of the challenges facing the department in promoting effective and efficient public service delivery; and
- To develop a framework for the effective and efficient implementation of Batho Pele principles by the Department of Home Affairs.

To achieve the objectives outlined in chapter one, the researcher designed the study to facilitate data collection in a systematic and logical manner. The selected design had to be valid and reliable.

3.3 Research design

According to Creswell (2008:3), research design is plans and procedures for research that spans the decision from broad assumptions to detailed methods of data collection and analysis. Mouton (2001:55) defined a research design as a plan or blue print of how you intend conducting research. Mouton (2001:55) further stated that the research design focuses on the end product. He viewed research design as a point of departure which equates the research problem or question and believes that it focuses on the logic of research. According to Cohen, Manion & Morrison (2010:78), research design is governed by the notion of 'fitness for purpose'.

In essence, research design stands for advance planning of the methods to be adopted for collecting the relevant data and the techniques to be used in their analysis, keeping in view the objective of the research. A good research design is often characterised by its flexibility, appropriateness, efficiency and economy. The case study approach was chosen as the research design for this project. Two approaches were used to collect data viz., a survey via questionnaires (quantitative approach) and semi-structured interviews and document analysis (qualitative approach). This can be referred to as a mixed method.

Mixed method studies are those that combine the qualitative and quantitative approaches into the research methodology of a single or multiphase study (Tashakkori and Teddlie, 1998:17).

Overview of the mixed methods and its advantages is that qualitative research generates rich, detailed and valid data that contribute to in-depth understanding of the context. Quantitative research generates reliable population based and general data and is well suited to establishing cause-and-effect relationships. The advantages of the mixed method research include:

- Increased validity: confirmation of results by means of different data sources;

- Complementary: adding information i.e. words to numbers and vice-versa;
- Research development: one approach is used to inform the other, such as using qualitative research to develop an instrument to be used in quantitative research; and
- Creating new lines of thinking by the emergence of fresh perspectives and contradictions (UK Geocites, 2007:2-3).

Qualitative research deals with data that are verbally presented while quantitative research deals with data that are numerically presented (de Vos, 1998:15). Document analysis provides a secondary source of information. According to McNeill and Chapman (2005:131), secondary data is evidence used that has been produced either by organisations such as the state or by individuals which usually takes the form of officials statistics and various types of documents.

3.4 Research methodology: Case study using quantitative and qualitative techniques

Research methods are a variety of techniques that are used when studying a given phenomenon. They are planned, scientific and value-neutral. Research method is deliberately employed in a way that is designed to maximise the accuracy of the results (Methods Tutorial, 2008:1).

The case study approach was used and the study is qualitative and quantitative in nature. White (2000:39) defined a case study as an extensive study of a single situation such as an individual, family or organisation. He further stated that a case study employs a variety of different techniques that includes questionnaires and interviews. According to Sekaran (2007:125), case studies that are qualitative in nature are, however, useful in applying solutions to current problems based on past problem-solving experiences. He further stated that they are also useful in understanding certain phenomena and generating further theories for empirical testing (Sekeran, 2007:125). The regional office of the DHA in Durban was used as a case study.

Quantitative research aims to determine how one thing affects another in a population, by quantifying the relationship between variables (Altinay and Paraskevas, 2008:75) The study used questionnaires distributed to staff at the DHA Durban regional office to identify and analyse the various factors impacting on effective and efficient public service delivery.

According to Cooper and Schindler, (2008:162), qualitative research is designed to tell the researcher how (process) and why (meaning) things happen as they do. It aims to achieve an in-depth understanding of a situation. Penzhorn (2002:244) stated that the qualitative approach involves investigating individuals and phenomena in their natural settings to gain a better understanding of the area under research. White (2000:28) believed that qualitative research is a descriptive, non-numerical way to collect and interpret information. The study interviewed customers and some employees at the regional office to determine their perception of customer service.

For the purpose of this study, a case study using the mixed method for the DHA Durban regional office was used. Implementation of Batho Pele principles in government departments is bound to differ within each regional office. This means that the findings of a study of this nature may not necessarily apply to all regional offices in a generalised manner. Therefore, a case study approach is most appropriate as it strives to portray 'what it is like' to be in a particular situation, to catch the close up reality and 'thick description' of participants' experiences of thoughts (Geertz, 1973

The advantage of a case study approach is that it helps the researcher not to solely depend on already published work (White, 2000:39). It also reinforces the use of multiple sources of data which, in turn, facilitates the validation of data (Denscombe, 2003:38). Questionnaires and interviews were used in this study.

3.4.1 Rationale for using a case study

The rationale for using the case study of Home Affairs Durban Regional office was chosen for convenience of easy accessibility and that it was the busiest office in Durban. It is always packed to capacity with people who often complained about service delivery in the office.

For the past three years, the researcher served as the Acting School principal where his office was always inundated with people who did not have birth certificates and they were sent by Home Affairs officials to request for letters stating that they started schooling at his school. Some would lie because they did not have money to go to deep rural areas where they started schooling, and some would come with letters that were not approved by Home Affairs officials because they were hand written and were not on letterheads.

Another critical factor was that about 79 % of learners at the school did not have birth certificates because their parents did not have identity documents. As a result, they did not benefit from government grants for children and parents did not benefit from the Reconstruction and Development housing Scheme. (Zuma, 2010b) revealed that he was nearly reduced to tears when he saw a family's living conditions in a shack he visited in Orange Farm, Johannesburg, as they did not have documents for applying for housing and other government's benefit.

In most cases, families that stay in shacks are those that do not have identity documents. This is evident by the television programme, (Cutting edge, 2009) that reported of the Mangena family at Idutywa, where the granny was taking care of eight grand-children of school-going age. They all shared the R1000.00 grant for the granny and they did not have a Reconstruction and Development Programme (RDP) house. They lived in a one partly roofed house. Cutting edge further revealed that the mother of these eight children died without having an identity book which made it difficult for the children to get birth certificates in order to access children's grants.

Preceding the local government elections (2011), people nominated as candidates (prominent members of the ruling party) for councillorship started approaching the researcher asking him to write confirmation letters for people who did not set their feet at the township school because they wanted votes. However, because of fraud as a *"buzz"* word in DHA offices, the researcher has distanced himself from this request, because he did not want to be an accomplice in fraudulent acts in view of their unethical nature.

In view of the aforementioned problems, it was important to investigate factors impacting on service delivery at the DHA being researched. The research study findings can play an important role in not only identifying the challenges, but also make recommendations for improved service delivery.

3.4.2 Data collection methods

Leedy (1993:117) stated that primary data is the information closest to the source of the ultimate truth underlying the phenomenon. He further stated that primary data reflects truth more faithfully than any other approach to truth. The data collection methods in this study used questionnaires combined with interviews. These served as primary data collection methods. The main point here was that the data collected was unique to the researcher and confidentiality of the respondent was guaranteed. A covering letter assured respondents of their anonymity. A consent form was attached to the questionnaire.

Questionnaires are data collection instruments that enable the researcher to pose questions to participants in his or her research for answers to the research questions.

The questionnaire gathered primary data. A field worker assisted in the distribution and collection of questionnaires to the regional office staff. Qualitative research for this study included interviews. As with any summary information, a pattern may be apparent. This can only be satisfactorily explored by some kind of interview technique (Gillham,

2005:166).Saunders *et al.* (2003:280) suggested that it is generally good practice not to rely solely on questionnaire data but to use the questionnaire in conjunction with at least one other data collection instrument. Therefore, the interview is used as a technique for discourse or interaction between two or more people, in which verbal communication is used to achieve a certain purpose such as gathering or giving information or influencing behaviour (Ziel and Antoinette, 2003). In this study customers were interviewed.

Open-ended interviews took the form of a conversation with the intention that the researcher explores with the participants his or her views, ideas, beliefs and attitudes about certain events or phenomena. Interviews were conducted with customers and some members of management at this office in order to establish their concerns regarding service delivery and to ascertain whether they are treated as the real customers in line with the Batho Pele principles or not.

3.4.3 Population and size

Fink (2010:89) defined a sample as a constituent of a larger population to which the findings of a study.

According to Graziano and Raulin (1999), a target population is the larger group of all the people of interest from which the sample is selected. The target population for this study was employees of the Department of Home Affairs

The Durban DHA regional office served approximately 1500 customers per day. This office had sixty five (65) employees. However, due to abscondement, suspension and misconduct of employees, the office operates with 55 employees (Ngongoma, 2012). The sample population was a census because 55 employees served as a sample. White (2000:64) stated that if the population is about 50 or less, the whole population must serve as the sample. According to Sekaran (2010:288), the closer one wants the sample results to reflect the population characteristics, the greater will be the precision

one would aim for. He further stated that the greater the precision required, the larger the sample size needed, especially when the variability in the population itself is large.

3.4.4 Sampling strategy

The sampling method used for this study is a census of all employees inclusive of heads of units and top management. This was used with the view that the representativeness of the sample is of paramount importance in the interest of wider generalisation.

3.4.5 Pilot test

The questionnaire was pilot tested before being finalised. Pre-testing the questionnaire was done to make sure that respondents can understand and interpret the questions accurately and to enable collection of the required information (Hussey, 2000:87). The questionnaire was in-house pretested and pilot tested on 7 employees at the Department of Home Affairs in the Durban Regional Office.

3.4.6 Data analysis

The data analysis presented the results of the study and conclusions that was drawn from the study. It further presented a set of recommendations based on the interpretation of the results. Primary data gathered from the interviews and questions and secondary data gathered from the department's reports and documents were analysed and used for the recommendations and conclusions. The data was organised into manageable themes, analysed and stored with the use of Predictive Analytic Software (PASW) Statistics version 18.0.

3.4.7 Reliability and validity

According to Pilot (2006:246), reliability refers to the ability, consistency or dependability of an instrument, which is reliable, measures accurately and reflects the time score of the attributes under investigation. He further stated that reliability is concerned with the findings of the research and relates to the credibility of the findings. In determining whether findings are reliable, Cronbach's coefficient alpha test was used for inter-item

consistency. Further to that, observation and unstructured interviews and document search was also used to ensure reliability.

Swetnam (2000:30) postulated that validity is about carefully constructing definitions of concepts, hypothesis or prepositions so that they can be translated clearly and predictably into detailed operational methods, down to the level of specific questions and observations. It is about ensuring that there are strong transparent relationships between the conceptual or theoretical part of the research, the phenomenon identified for investigation and the method a researcher intends to use to get access to that phenomenon. Validity refers to the degree to which an instrument measures what it is supposed to measure. Face-to-face interviews and questionnaires are valid instruments of collecting data. The questions in the interview schedule to customers and the questionnaire administered were compared with the objectives of the study.

Mouton (1998:156) stated that triangulation can be seen as an aspect that combines qualitative and quantitative approaches in research. For several authors, triangulation means the cross validation among data sources. The inclusion of multiple sources of data collection in a research project is likely to increase the reliability of the observation. A content analysis was conducted on the data gathered from the interviews and questionnaires (primary data) and the organisation's reports and other documents (secondary data). Lee and Lings (2008:239) maintain that triangulation is one way in which one can try to enhance validity. Therefore, the findings were valid as the study used data triangulation to attempt to corroborate findings according to different approaches.

3.5 Questionnaire and interviews

The questionnaires had questions that directly addressed the study objectives and were linked to the literature review. The Likert Scale was used because it is easy and quick to construct. It gives a real picture of a well-defined sample group. It is also a popular summated scale to express either a favourable or unfavourable attitude toward the

object of interest (Cooper and Schindler, 2008:306-309). Questionnaires were administered to personnel at different levels of organisational hierarchy at the regional office. The pilot study was conducted with 7 employees to test for accuracy. Thereafter, review and corrections were undertaken against identified weaknesses in the questionnaire.

The interviews were used because of their flexibility, response rate, non-verbal behaviour, and control over the environment. Open-ended questions to fifty customers were used to obtain data, determine attitudes and opinions in a structural framework from respondents. According to Bailey (1994:120), open- ended questions are useful if the possible answers are unknown or the question is exploratory.

3.6 Limitations

Vithal & Jansen, (2006), as quoted by Naicker (2011:55), stated that all studies are limited by time, resources, access, and availability of data and credibility of data. This is a small scale, in- depth study that took place in a particular context. The findings may not be applicable to different contexts.

3.7 Conclusion

The strategies employed to undertake the study was covered. In addition, the chapter explains the reason for the use of a qualitative approach and its appropriateness. It goes on to discuss the methodological approach, the data collection procedures and analysis process. While it deals with the qualitative trustworthy issues, it also presents the limitations to ensure credibility. The next chapter focuses on the analysis and findings regarding the research study.

CHAPTER 4

FINDINGS AND ANALYSIS

4.1 Introduction

This chapter presents the results and discusses the findings obtained from the questionnaire in this study. The data collected from the responses were analysed with the Predictive Analytic Software (PASW) Statistics version 18.0. There are two sections under data analysis, namely, statistical analysis of the collected data which will be presented first followed by qualitative analysis. The quantitative results are presented in the form of graphs, cross tabulations and other figures.

4.2 Reliability

Cronbach's alpha relates to how well a set of items (or variables) measures a single unidimensional latent construct. When data have a multidimensional structure, Cronbach's alpha will usually be low. Technically speaking, Cronbach's alpha is not a statistical test - it is a coefficient of reliability (www.ats.ucla.edu/stat/sas/notes2/).

Cronbach's alpha can be written as a function of the number of test items and the average inter-correlation among the items. For conceptual purposes, the formula for the standardized Cronbach's alpha follows (www.ats.ucla.edu/stat/sas/notes2/),

$$\alpha = \frac{N \cdot \bar{c}}{\bar{v} + (N-1) \cdot \bar{c}}$$

N is equal to the number of items, c-bar is the average inter-item covariance among the items and v-bar equals the average variance.

It can be seen from this formula that if the number of items is increase, Cronbach's alpha will increase. Additionally, if the average inter-item correlation is low, alpha will be low. As the average inter-item correlation increases, Cronbach's alpha increases as well.

Intuitively, if the inter-item correlations are high, then there is evidence that the items are measuring the same underlying construct. This really means   "high" or "good" reliability, thereby referring to how well items measure a single unidimensional latent construct.

Thus, in multi-dimensional data, Cronbach's alpha will generally be low for all items. In this case, a factor analysis was run to see which items load highest on which dimensions, and then the alpha of each subset of items was taken separately.

Reliability is computed by taking several measurements on the same subjects. A reliability coefficient of from and above 0.70 was considered as "acceptable" (www.ats.ucla.edu/stat/sas/notes2/).

The results are presented in Table 4.1

Table 4.1: Reliability results

SECTION	Cronbach's Alpha
Section b: The constitution and public administration	0.939
Section c: Principle of consultation	0.835
Section d: Principle of service standards	0.800
Section e: Principle of redress	0.870
Section f: Principle of information	0.932
Section g: Staff performance	0.848

OVERALL	0.805

The reliability scores for the components of the ordinal sections were high. This finding indicated a high degree of acceptable, consistent scoring for the different categories for the data for this research. The sections had (high) acceptable reliability values.

4.3 Section A: Biographical data

This section presents the descriptive statistics based on the demographic information of the study. Tables 4.1 relates to employees' years of employment at the Department of Home Affairs. Figure 4.1 illustrates the years of employment employees have with the DHA.

Figure 4.1: Years of employment with the DHA
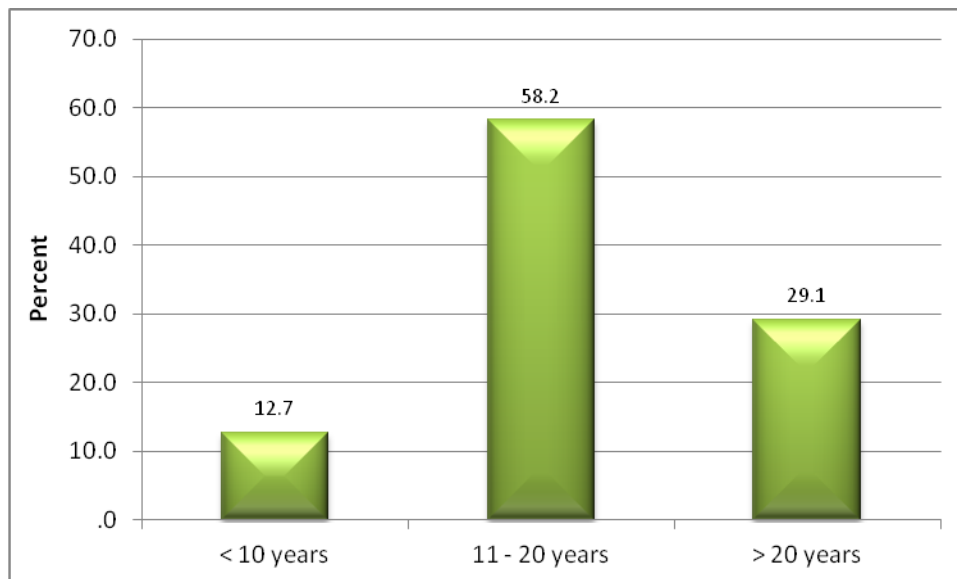
58, 2 % of the respondents indicated that they have been employed at the Department of Home Affairs for between 11 to 20 years. This is useful in that the responses to the questionnaire were from experienced staff. Experienced staff are more likely to be aware of the department's core business and the history of the department, especially in the post apartheid landscape.

Figure 4.2 illustrates the academic qualifications of employees at the DHA.

Figure 4.2: Academic qualifications
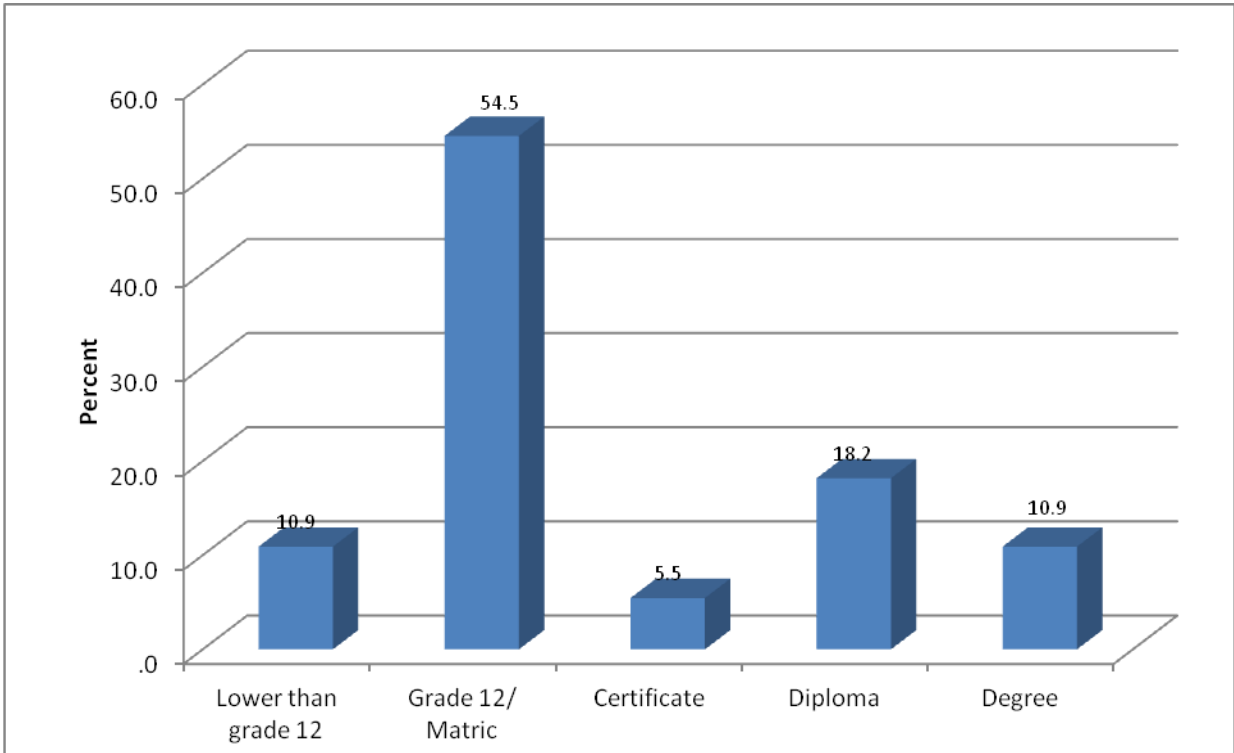
Only 34.6% of respondents had post matric qualifications, with the majority (18.2%) having diploma in the category post matric qualifications. It is worth considering strategies to improve

qualifications of employees, since the majority have been in the employment of the DHA for more than 11 years. Figure 4.3 reflects the positions occupied by employees of DHA

Figure 4.3: Position held
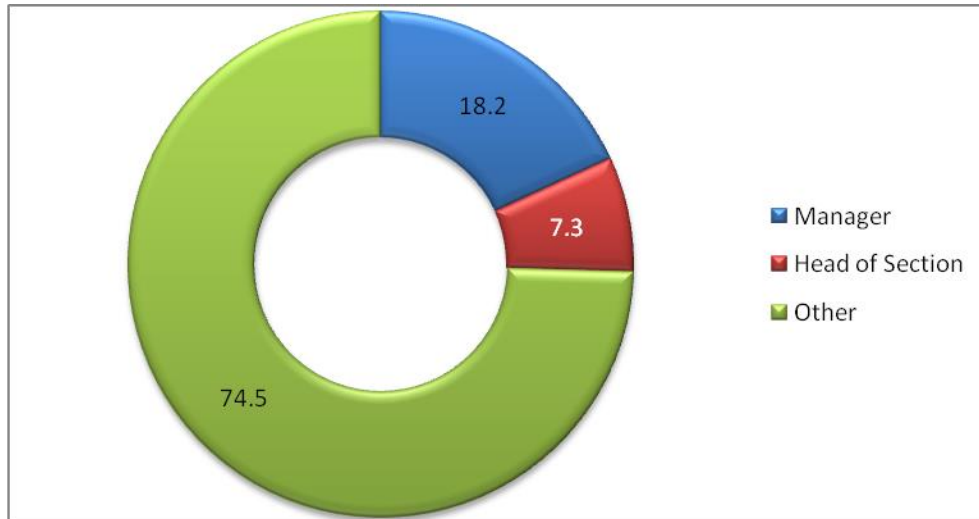
Almost three-quarters (74.5%) of the respondents indicated "other" category. These respondents were staff members that are not in management positions. Table 4.2 illustrates the qualification per position.

Table 4.2: Qualification per position

			What is your position?			
			Manager	Head of Section	Other	Total
What is your	Lower than grade 12	Count	1	0	5	6

		% of Total	1.8%	.0%	9.1%	10.9%
	Grade 12/ Matric	Count	2	2	26	30
		% of Total	3.6%	3.6%	47.3%	54.5%
	Certificate	Count	0	0	3	3
		% of Total	.0%	.0%	5.5%	5.5%
	Diploma	Count	1	2	7	10
		% of Total	1.8%	3.6%	12.7%	18.2%
	Degree	Count	6	0	0	6
		% of Total	10.9%	.0%	.0%	10.9%
Total		Count	10	4	41	55
		% of Total	18.2%	7.3%	74.5%	100.0%

Nearly half of the respondents (47.3%) who indicated "other" for position had a matric certificate as their highest qualification. Of the 10 managerial respondents, 6 had a degree qualification and 3 had no more than a school qualification. It can be suggested that management should motivate their teams to upgrade their studies. In keeping with operational reports addressing skills shortage in the public sector, training and developmental strategies need to be addressed. The only disadvantage of highly qualified personnel is that they do not stay long in public institutions. This is in line with Ramoo's (2008: 60) statement that the factor that worked against government is the lack of skills and capacity to deliver. Therefore, as the more experienced and qualified people quit the institutions, the more service delivery gets affected. Government should therefore develop incentives to retain skilled staff. Figure 4.4 illustrates the sections of responsibility of employees of the DHA.

Figure 4.4: Sections for which employees are responsible
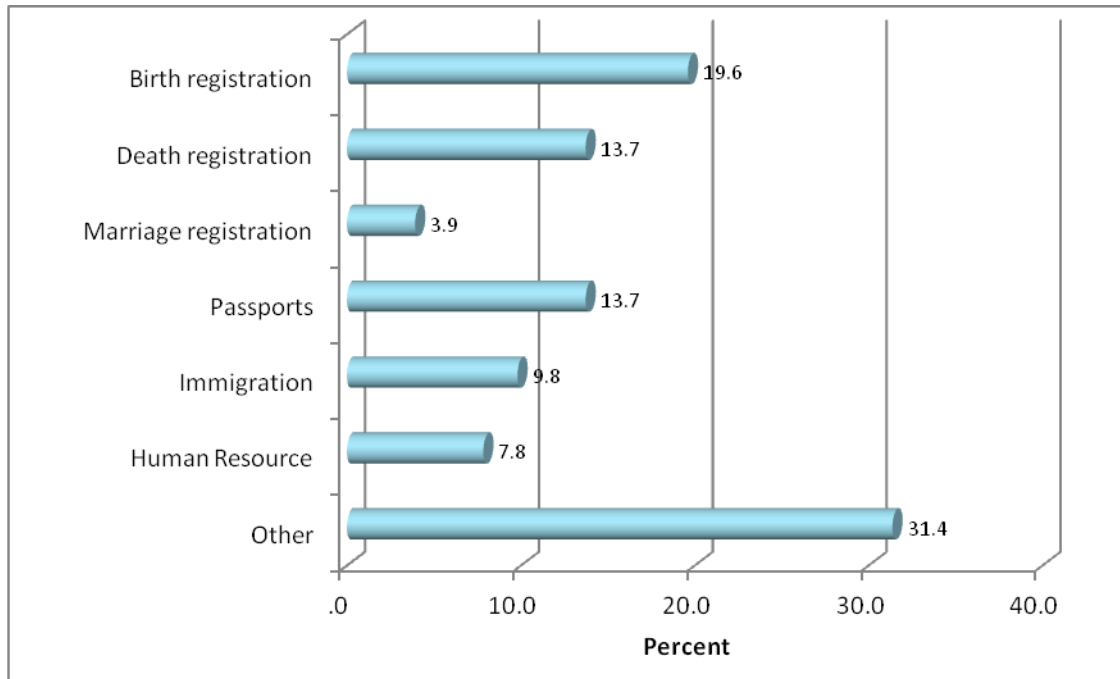
Nearly a third (31.4%) of the respondents indicated "other" as the section that they were in charge of. This percentage of respondents referred to those that are not in management or are not directly involved with the mentioned sections, but they could be providing other support services like Information Technology (IT), customer liaison officers and queries.Table 4.3 illustrates the geographical location of the DHA.

Table 4.3: Geographical location of office

	Frequency	Percent	Valid Percent

				Urban		52	94.5	100.0

Urban	52	94.5	100.0
Missing System	3	5.5	
	55	100.0	

Almost all the respondents indicated that the geographical location of the office was urban. The DHA Durban Regional is at the heart of the city, close to the railway station and the Durban International Convention Centre and the central business district. The geographical location is an important consideration in terms of the extensive area that the regional is servicing, since it is the only regional office in Durban. This has implications for human resource, material and physical capacity to provide effective and efficient services. Table 4.4 indicates the sections employees are working in and the number of years employed at the DHA.

Table 4.4: Sections employees working in and the number of years of service

				What section are you in charge of?							
				Birth registration	Death registration	Marriage registration	Passports	Immigration	Human Resource	Other	Total
Number of years as an employee as an employee at Department of Home Affairs	< 10 years	Count		2	2	0	1	0	0	2	7
		% of Total		3.9%	3.9%	.0%	2.0%	.0%	.0%	3.9%	13.7%
	11 - 20 years	Count		5	2	2	4	5	2	10	30
		% of Total		9.8%	3.9%	3.9%	7.8%	9.8%	3.9%	19.6%	58.8%

> 20 years	Count	3	3	0	2	0	2	4	14	
	% of Total	5.9%	5.9%	.0%	3.9%	.0%	3.9%	7.8%	27.5%	
Total	Count	10	7	2	7	5	4	16	51	
	% of Total	19.6%	13.7%	3.9%	13.7%	9.8%	7.8%	31.4%	100.0%	

Of the 19.6% of respondents who indicated that they were in the section for birth registration, 9.8% had been employed for between 11 – 20 years. These employees may have been strategically positioned because of their experience, since birth registration is one of the priorities of the DHA. This is evidenced by the satellite DHA offices being opened in government hospitals and private hospitals. Birth registration has become easier than in the past, given that, parents are now able to register and obtain birth certificates for their children on the first day of birth. Employees deployed in this section, need to also to be vigilant, as fraudulent birth certificates were being issued at a price in the DHA offices. Thefts of birth certificates have become popular, since there have been cases of people trying to make ends meet by applying for child support grants with fraudulent or stolen birth certificates. Figure 4.5.illustrates the different types of customers that visit the regional office.

Figure 4.5: Regular customers
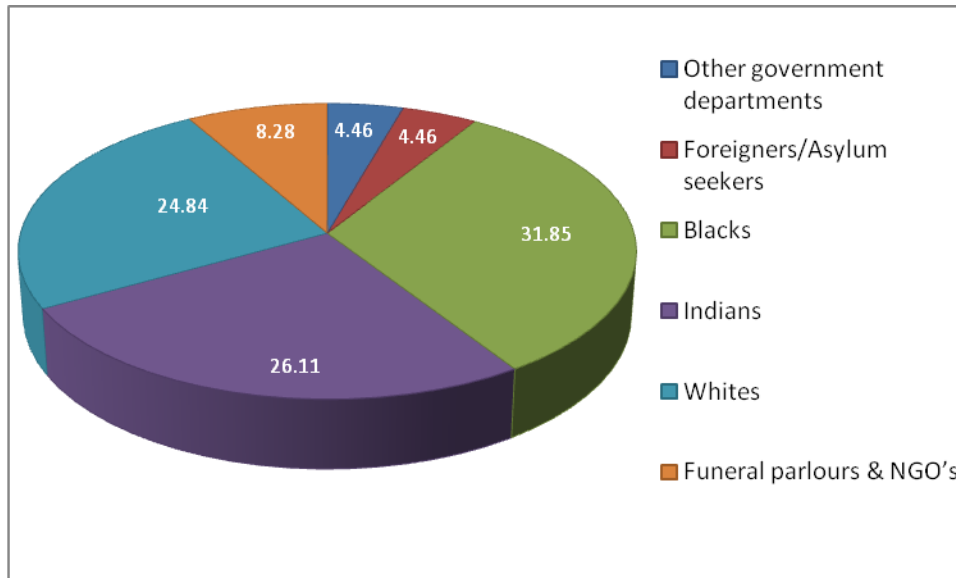
More than 80% of the respondents indicated that their most regular customers are people from the different race groups, while showing evidence of being the only regional office in Durban; it is busy, mostly servicing Africans who constitute the largest race group in the country. It was also evident that apart from the general public, other government departments, immigrants and refugees also seek the services of the DHA. Figure 4.6 is a summary of the responses for the various statements in this section.

4.4 Section B: Constitution and Public Administration

This section investigated whether the Constitution and basic values governing public administration were being observed or not in the DHA, Durban regional office.

Figure 4.6: illustrate a summary of responses for the various statements regarding Constitution and public administration.

**Figure 4.6: Constitution and Public Administration**
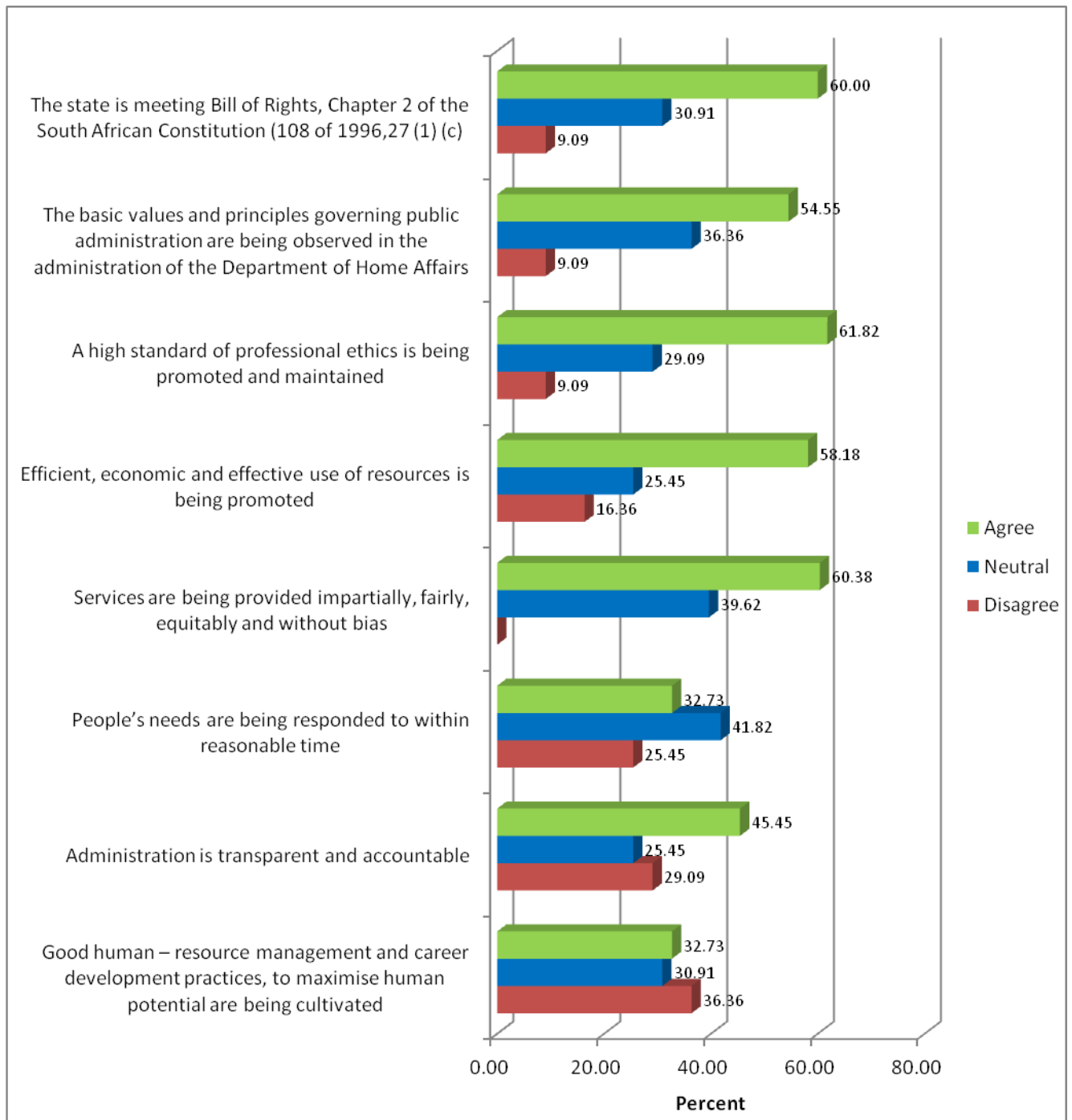
There was a trend of constant scores of agreement (averaging 60%) for the first five statements. The levels of disagreement were low, but had an average of 30% for uncertain responses. These statements were concerned with legislation and efficiency of the department with regard to good governance and public administration. The adherence to the Constitution, basic values and principles governing public administration is not an option, but a must. A government department like the DHA is a government mirror and an arm to look at and reach its citizens. Employees at the DHA understand that the public is their employer. Therefore, they are obliged to execute the government's mandate in the most effective and efficient manner.

There were much lower levels of agreement with the last three statements which dealt with people's needs, administration and human resource management. The percentage of neutral (41.82%) in terms of the responses to the statement that people's needs were being responded to within reasonable time was higher than the levels of agreement and disagreement. This could be indicative of respondents not being aware of this or there was no communication to them if this was a problem. However, 25.45% did indicate that people's needs were not being responded to within reasonable time.

4.5 Section C: Principle of consultation

This section was focused on consistent involvement of all stakeholders in decision making. This can be done through staff meeting, circulars, newspaper publications or articles. Figure 4.7 shows a summary of responses.

Figure 4.7: Principle of consultation
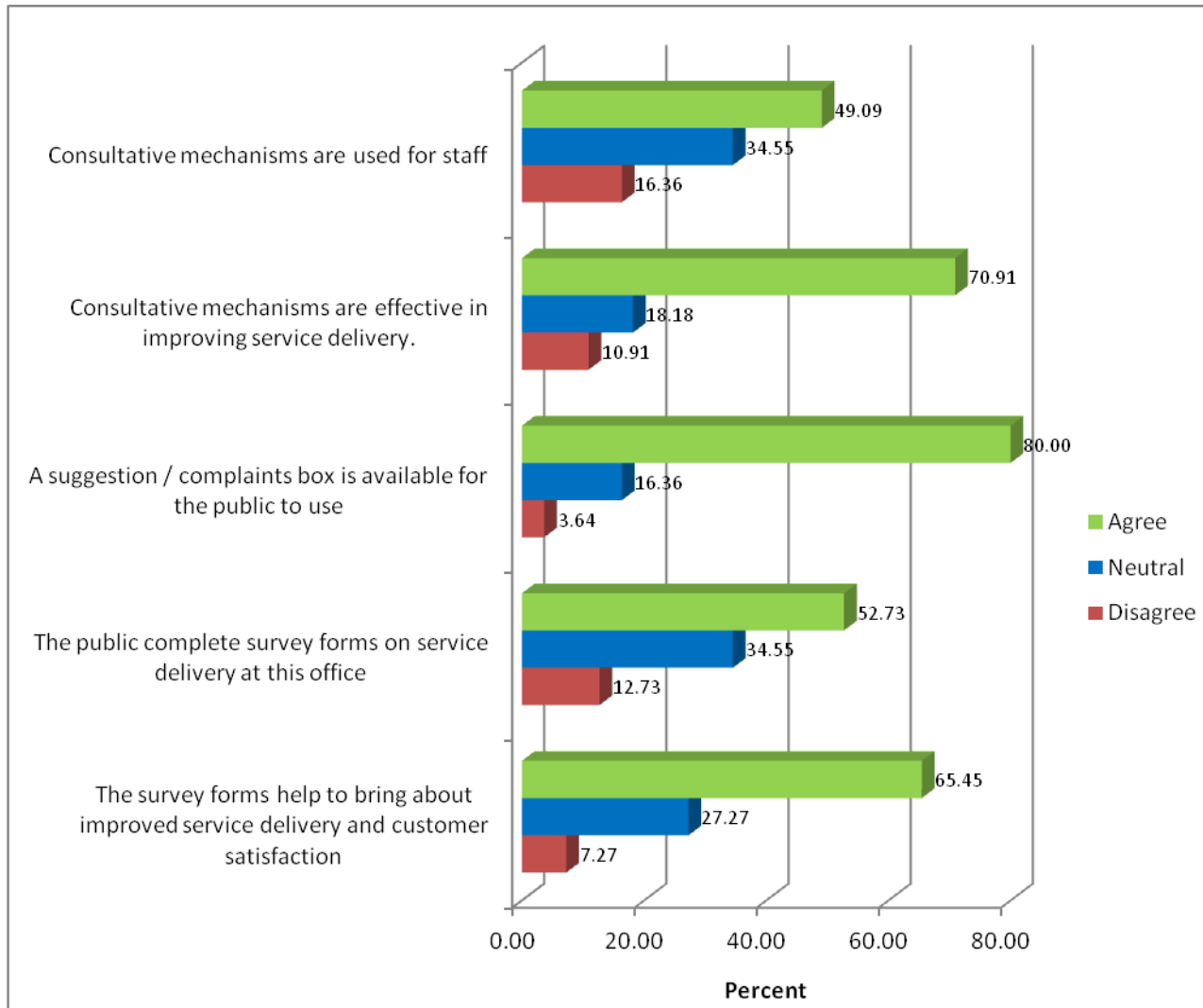
Only 49.09% indicated that consultative mechanisms were used for staff, while 34.55% remained neutral. Majority of the respondents (65.45%) agreed that survey forms contributed to improved service delivery. It was also important to note that 52.73 % of respondents indicated that the public do complete survey forms, which provided important feedback on standards of service at the DHA.

Although 70.91% of the respondents believed that consultative mechanisms were effective in improving service delivery, only 52.73% indicated that it was used. 80% of the respondents

indicated that a suggestion box was available. Responses to question on general comments relating to the medium of communication are indicated in Figure 4.8.

Figure 4.8: Medium of communication.
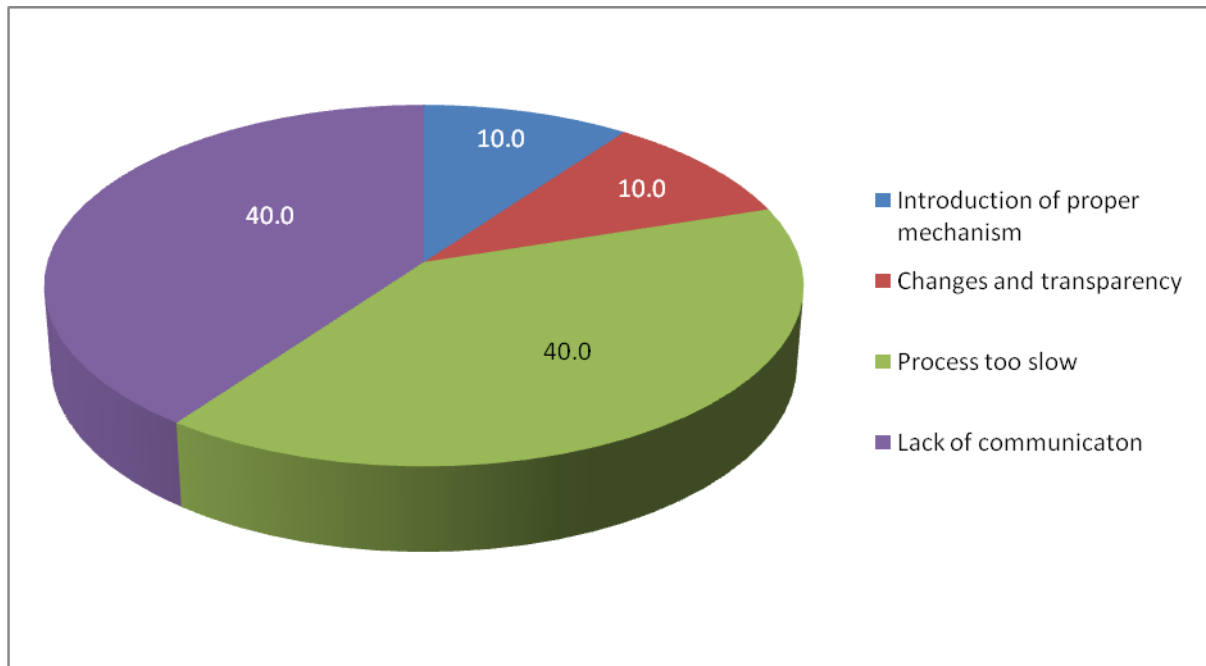
40% of the respondents indicated that the process of communication is too slow, while 40% also indicated that there is a lack of communication. Communication is a vital instrument to not only keep employees informed but also to empower employees with information which they can share with customers. Effective communication channels provide a vital means to allow information to be provided timeously to relevant sections to address issues.

4.6 Section D: Principle of Service Standards

This section focuses on the level and quality of services the public can expect in the DHA office.

Figure 4.9: Level and quality of service
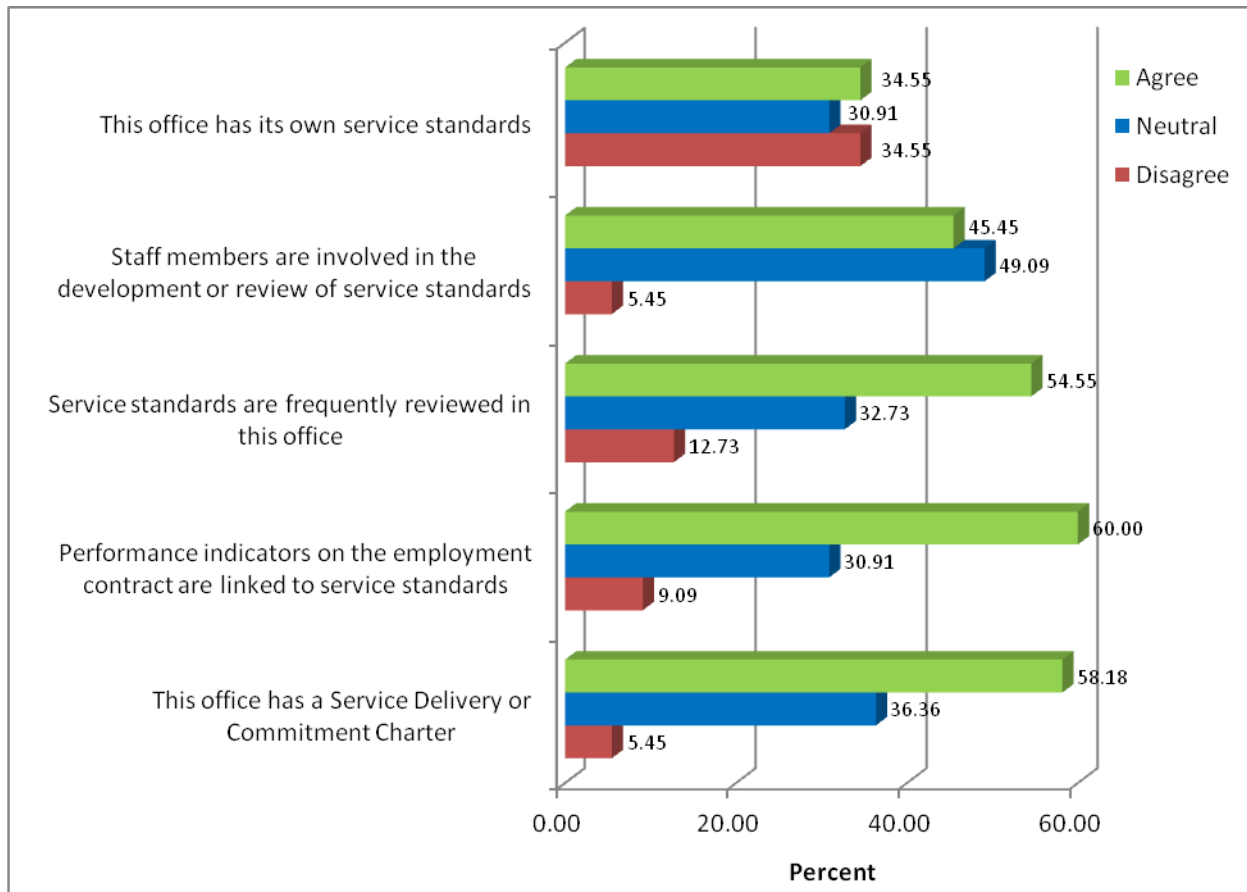
On average, more than a third of the respondents were uncertain or neutral for this section. Apart from the first statement which showed a high level of disagreement, most of the other statements had low levels of disagreement.

Employees responded quite differently to the principle regarding service standards compared to consultation. A higher percentage for each of the statements in this section (service

standards) remained neutral compared to the section on consultation Nicklaus (undated), as quoted by Michelli (2008:256), is correct when he says that achievement is largely the product of steadily raising one's level of aspiration and expectation.

With regard to the DHA having it's own service standards, the same percentage (34.55%) agreed and disagreed. It can be argued that there is a lack of consensus on the existence of service standards, which is a cause for concern.

With regard to the involvement of staff members in the development and review of service standards, about 49.09% of the respondents were uncertain regarding involvement and 5.45% disagreed. This reveals that information is shared by few and possibly not all staff members are involved in this activity. This shows lack of consultation and information sharing in this office.

Regarding performance indicators being linked to service standards, about 60% of the respondents agreed, and about 30.91 % were uncertain. This can have a negative bearing on service delivery in this office. Consistent staff development is an imperative so that all staff members are aware of the service standards and the linkage to performance indicators.

With regard to service delivery / commitment charter, about 36.36% respondents were uncertain whether the office had a service delivery or a commitment charter. This possibly may not have been communicated. It can be suggested that gaps in staff awareness of such a charter did exist and this needs to be considered for attention.

Comments relating to implementation of the service delivery standards are shown in Figure 4.10.

**Figure 4.10: Implementation of service delivery standards**
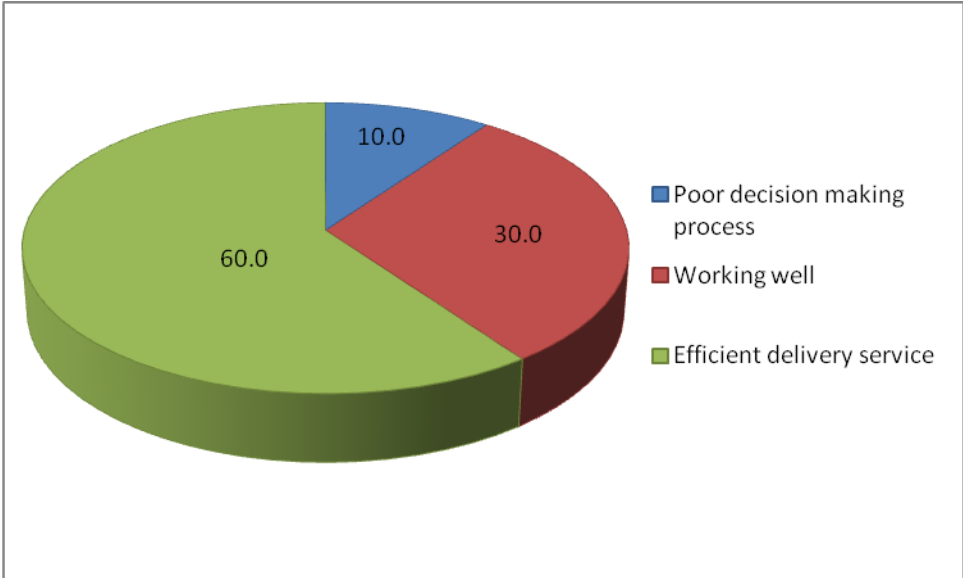
While only 30% indicated that service delivery standards are working well. Twice the number of respondents 60% believed that service delivery is efficient. While the majority agreed that service delivery is efficient, the majority did not agree that service standards are working well. It can be argued that if service standards are working well, then service delivery ought to be efficient. However, the responses do not reflect this.

Results on redress measures are indicated in Figure 4.11.

4.7 Section E Principle of redress

This section deals with remedying mistakes and failures. It focused on rectifying failures and mistakes, where service rendered did not meet the promised standards and was not rendered timeously.

Figure 4.11: Redress measures
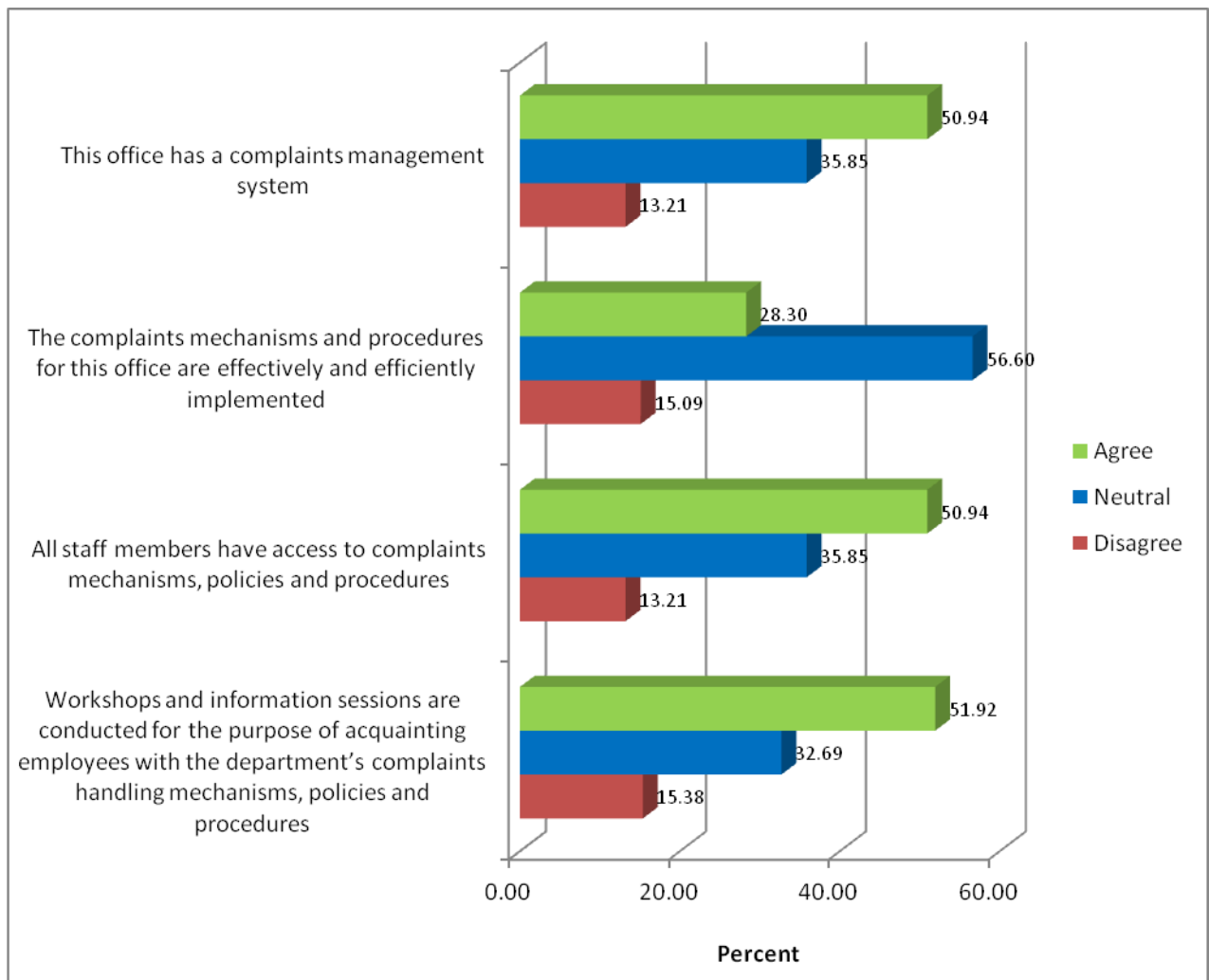
The average level of disagreement for this section was 14%. Agreement levels were slightly more than half, for all statements, except for the second statement regarding complaint mechanisms. The levels of uncertainty (neutrality) were about a third, excluding statement 2. It seemed that staff members' uncertainty about whether the complaints mechanisms and procedures were effectively and efficiently implemented showed lack of information to staff regarding redress.

Regarding DHA's complaint management system, about a third of respondents were uncertain whether this office had a complaint management system. This indicates that information sharing in this office is inadequate. It also reveals that only a few employees knew of this system which is likely to be employees in management. About 57 % of respondents were uncertain about effectiveness and efficiency of complaints and mechanisms, policies and procedures. This also highlight that "foot soldiers are not given information. Maseko (2008:16) suggested that leadership and management should always strive to increase interactions with stakeholders. He further stated that staff members in government departments do not even know the vision, mission and strategic objectives of the department, but they are expected to deliver.

Regarding staff access to complaint mechanisms, policies and procedures, 38.85% respondents were uncertain. Initiatives should be taken to ensure that staff members are oriented in this regard.

Figure 4.12 offers suggestions on how mechanisms can be improved so as to be user friendly and improve service delivery.

Figure 4.12: Suggestions to improve service delivery
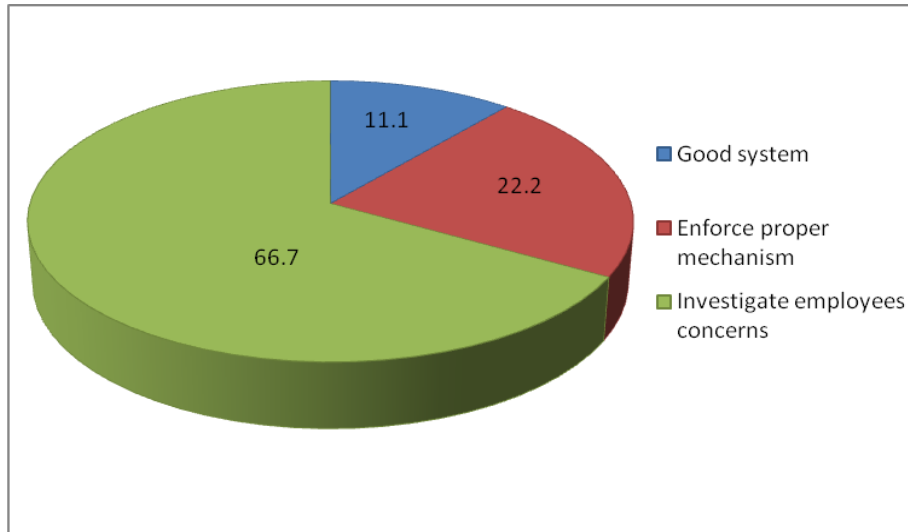
Two thirds (66.7%) of the respondents indicated that employees' concerns should be investigated. If employees' concerns are not addressed, then it can negatively impact on their performance and can possibly hinder effective and efficient service delivery.

4.8 Section F: Principle of information

This section focuses on the provision of relevant information timeously and effectively to all stakeholders. The results are summarised in Figure 4.13

Figure 4.13: Provision of Information
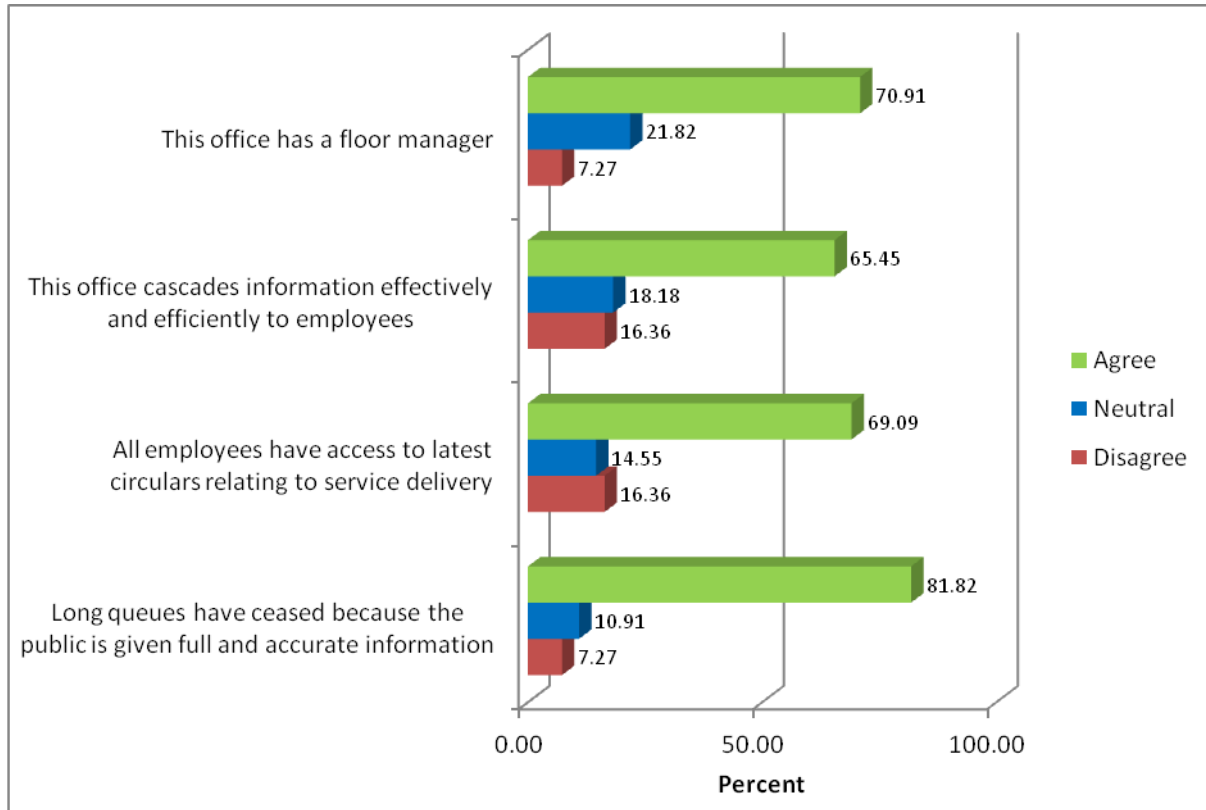
There is a general pattern of agreement with the statements in this section regarding the cascading of information to staff and customers. On average, about two-thirds of the respondents agreed with the statements. The last statement relates to information dissemination to the public, resulting in shorter queues. Statements 1 and 4 relates to information sharing with staff and customers. Statements 2 and 3 relates to information sharing with staff only.

The presence of floor managers in this office has improved service delivery, since they are directly accessible to customers as they walk to the regional office Customers are given an opportunity to declare the purpose of their visits, and then they are directed to the relevant section.

Regarding long queues, the queuing system has made processing easier for both customers and staff. When one enters the office, the floor manager asks the purpose of the visit, and one is then given a queuing ticket, with the number that will appear on the information screens which directs the customer to the next available teller.

Information sharing and access to latest circulars has a positive bearing on service delivery in the DHA office. The long queues cited as amongst the problems, hindering service delivery, at DHA in the literature review has been addressed. This is confirmed by customers interviewed and the observations by the researcher. Accessibility to information is imperative for staff to execute their duties, while recognising that they need to be informed to address queries from customers. More so, well informed employees can contribute to processing applications and queries more effectively and efficiently, thereby reducing the waiting time in queues.

Figure 4.14 relates to general comments regarding the information in the Department of Home Affairs.

**Figure 4.14: information provided by the DHA**
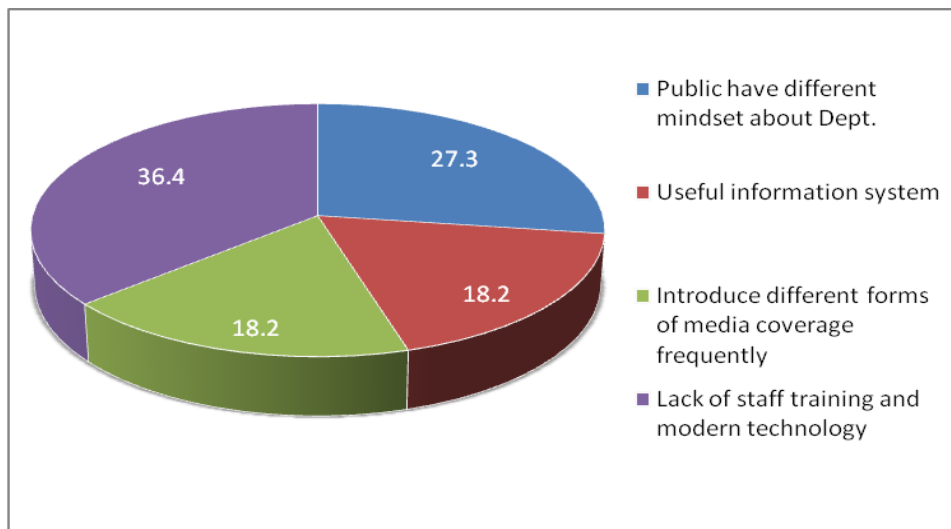
This was an open ended question, where respondents were expected to make general comments regarding information dissemination. 36.4% respondents indicated that there are little or no staff training programmes, they also commented on lack of modern technology, of which it is a barrier to effective and efficient service provision. 27.3% of respondents commented on public having different mind sets about the department. This indicates that some customers are happy about the services offered by the office and others are not happy, this can be related to encounters each customer faces. 18.2% of respondents commented and stated that since the introduction of tracking the progress of enabling document through cell phone has enlightened the burden of queues in the office. They stated that this is a useful system, and has reduced the pressure on enquiries section. Another 18.2% of respondents stated that the department must introduce different forms of media coverage; hence, some customers are not aware that one can communicate with Head office in the comfort of their home. So by ensuring that public is made aware of convenience strategies to reach DHA, the DHA must intensify their consultation methods and information dissemination strategies.

4.9 Section G: Staff Performance

This section focuses on how staff members execute their daily duties. The responses are given per sub-statements. Figure 4.15 illustrates staff performance.

Figure 4.15: Staff performance
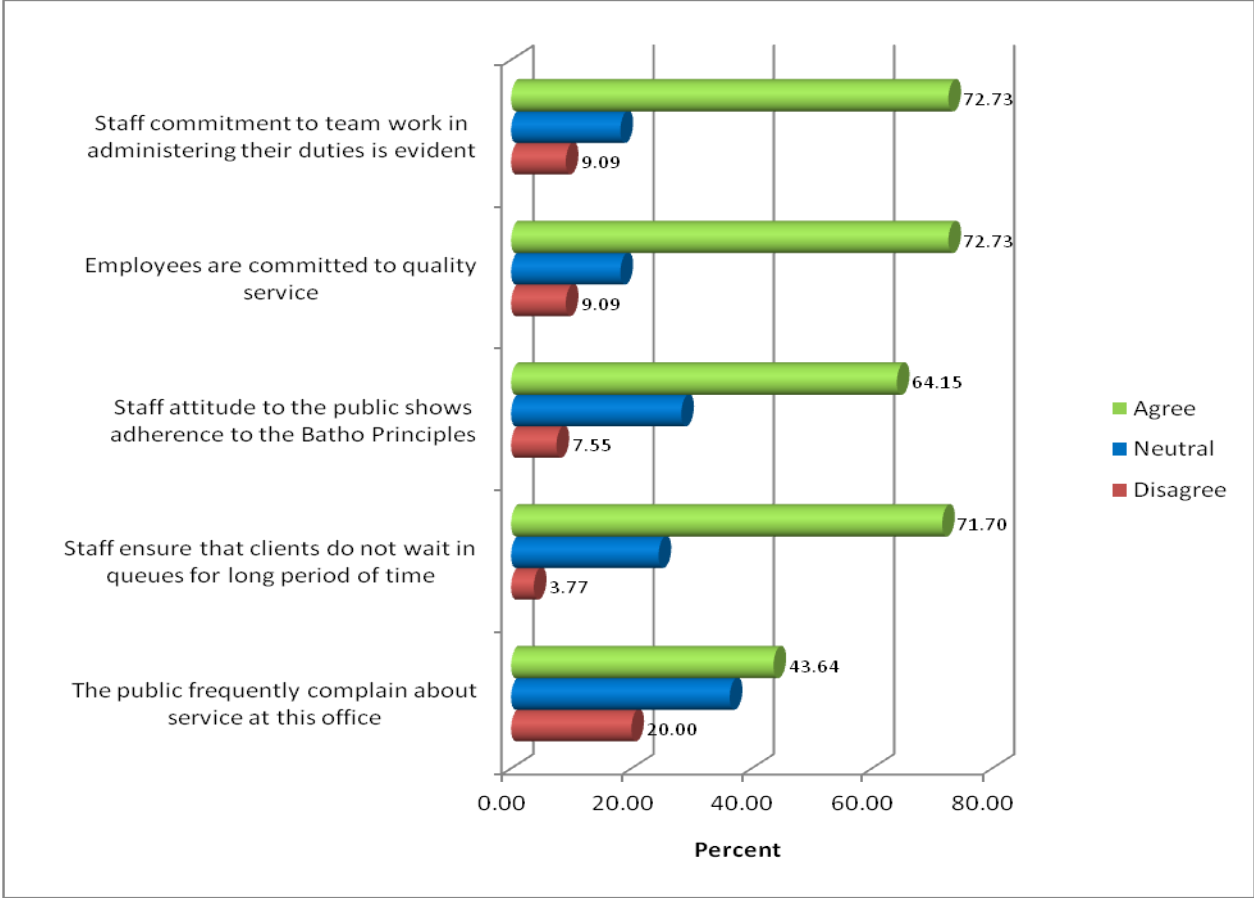
Respondents more often agree that they are performing their jobs efficiently and with the correct attitude. This can be seen from the responses to the first 4 statements. 43.64% of the respondents did, however, indicate that the public complained about the service received. It is clear that despite respondents believing that they are committed to quality service provision and adherence to the Batho Pele principles, the majority of respondents agreed that the public frequently complain about services at this office.

Figure 4.16 indicates the perceptions of the respondents regarding the management team (MT).

Figure 4.16: Respondents' perception on management
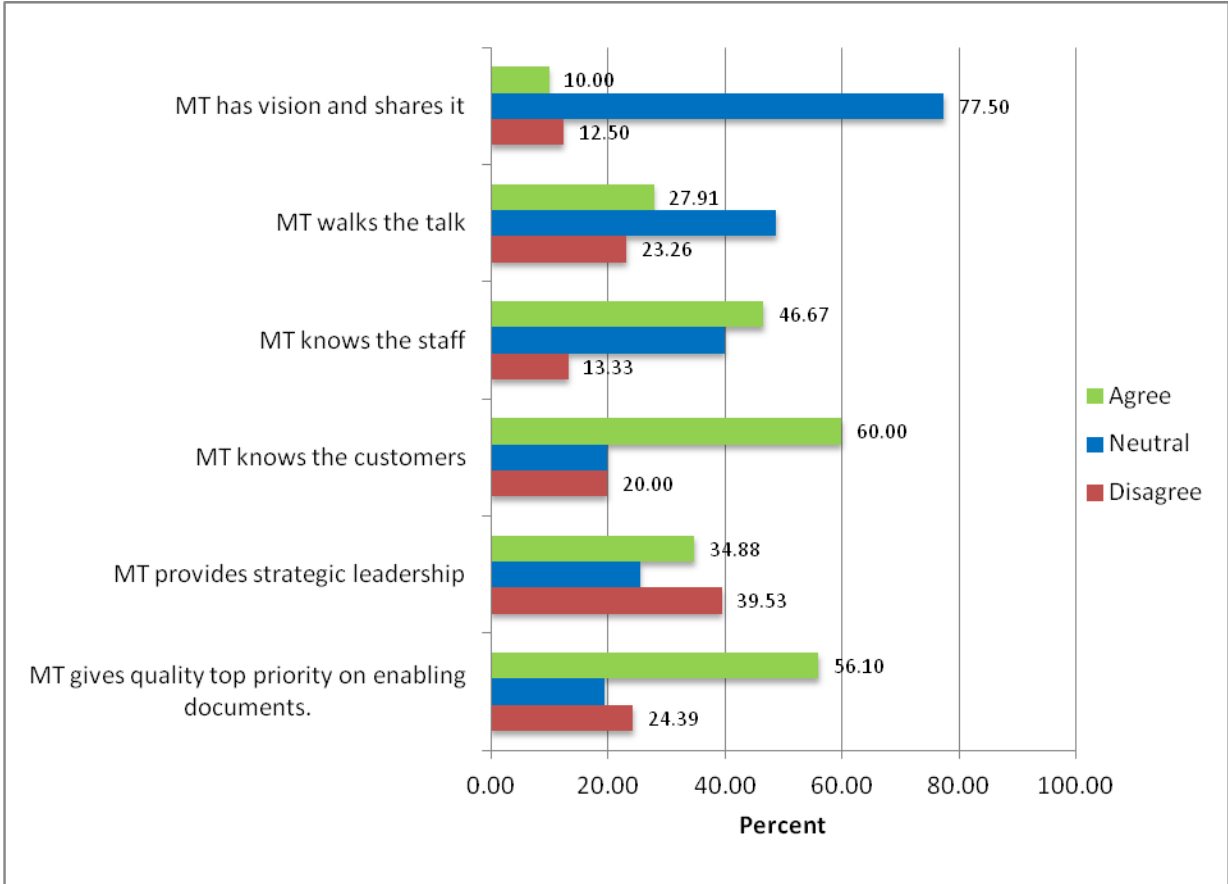
77.50% of respondents indicated that they are uncertain about the MT having and sharing the vision with them. If the organisational vision is not shared with staff, then staff may operate in silos without driving the common purpose of the DHA. Where there is no vision, people perish t *"Where there is no vision, people perish"* (proverbs 29:18) is indicative of the negative impact of not sharing the vision. The report on the arrest of seven DHA officials at the office of study, and ten employees at the time of administering the questionnaires were suspended, absconded or expelled. This highlights the need of for greater intervention from management to address these challenges.

About 24% of respondents indicated that they do not believe that the MT provides strategic leadership. In cases where strategic leadership is not provided, effective and efficient service delivery is not possible. Some government institutions are under-performing because they are poorly managed. With reference to the MT, knowing customers, 60% of the respondents agree with this statement, which reflects that customers are a priority in this office and this is in line with Batho Pele. However, when one speaks of customers, one has to bear in mind that even employees are customers, but internal ones. Internal customers really need to be acknowledged, so that, in return, they will recognise external customers, thus promoting courtesy.

Figure 4.17 illustrates perceptions of corruption.

Figure 4.17: Perceptions on corruption
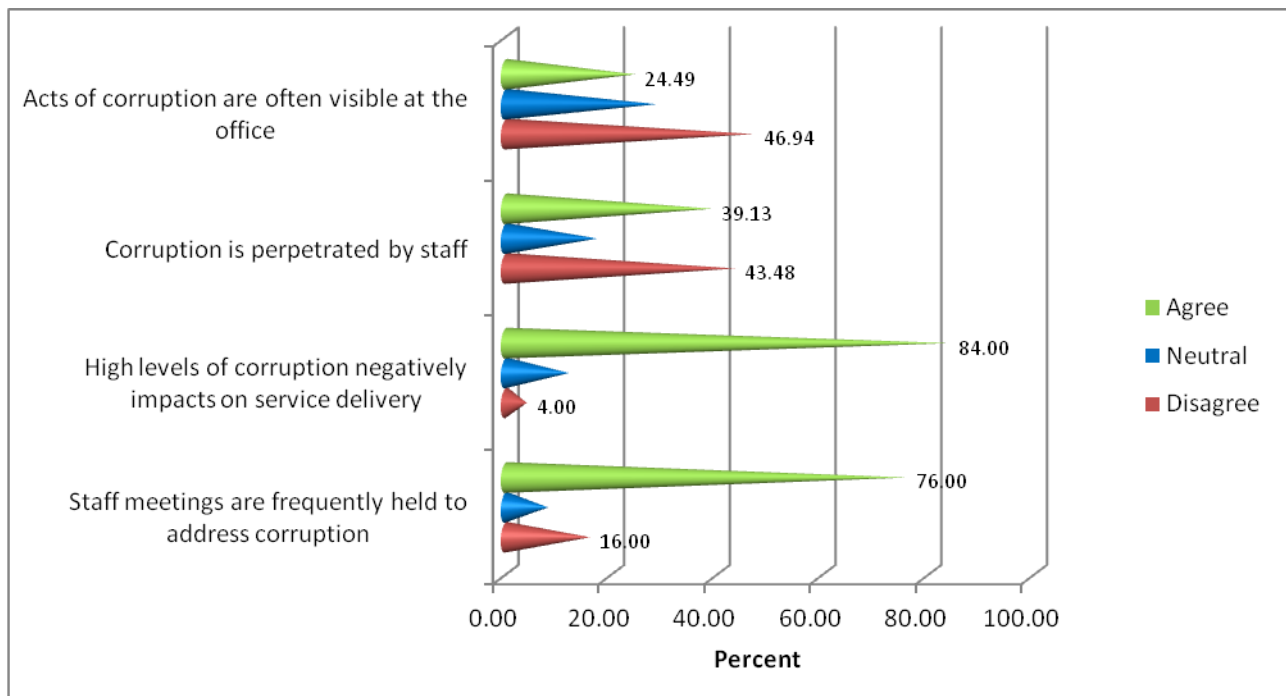
Respondents agreed that high levels of corruption negatively impact on service delivery. There are more staff members who believe that corruption is not perpetrated at the workplace by staff, as illustrated by the responses for the first two statements.76% of respondents agreed that staff meetings are frequently held to address corruption. This is the right step in the right direction to avoid a situation of corruption hurting many and benefiting a few as Fraser-Moleketi (2008:46)) articulated.

Figure 4.18 shows items that are discussed on the agenda for staff meetings at the DHA.

Figure 4. 18: Agenda items
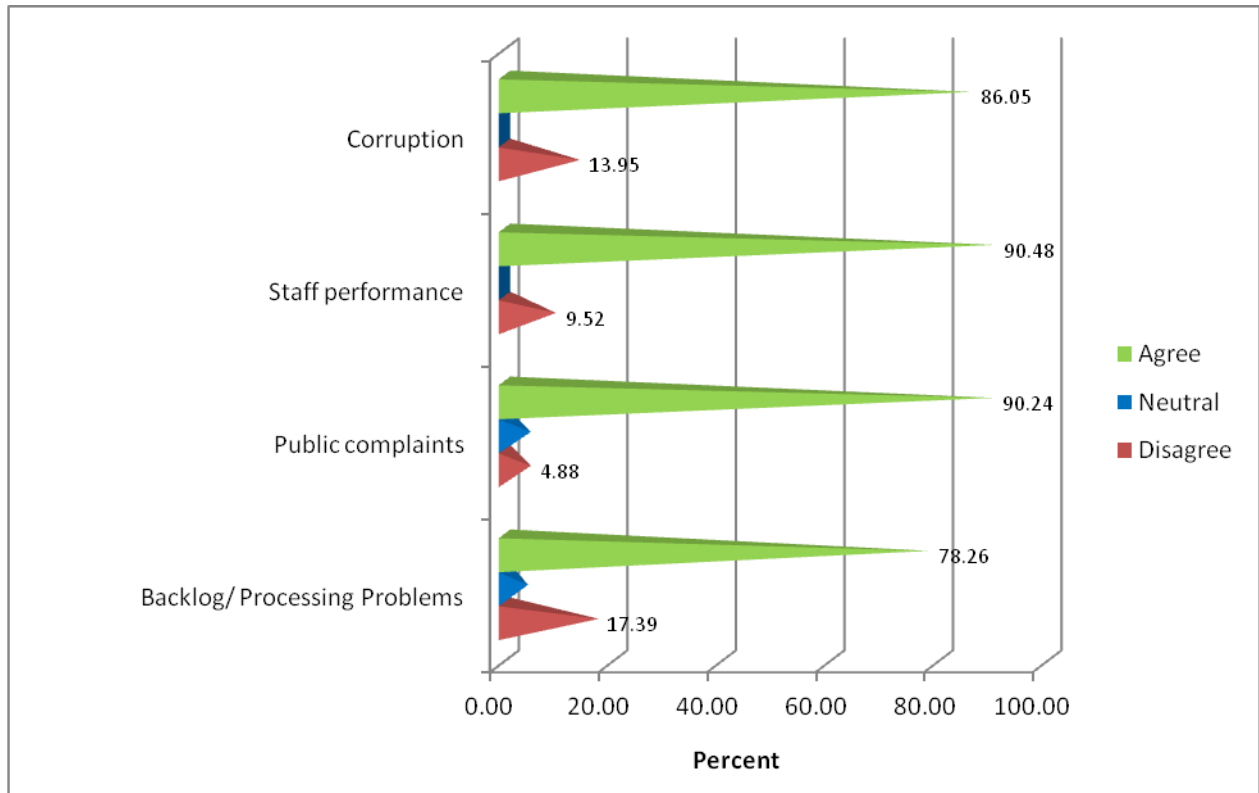
Most respondents agreed with the statements in this section. At the DHA, Durban Regional Office, the MT is moving in the right direction when they consistently discuss corruption and the effects of the political cost of corruption undermining democracy, weakening the developmental state, and undermining responsibility, accountability and legitimacy (Fraser-Moleketi, 2008: 46). Staff performance, public complaints and backlogs cannot be separated; hence, they overlap each other. Therefore, discussing these at staff meetings keeps everyone on board in relation to their performance, thus, enhancing service delivery.

4.10 Hypothesis Testing

The traditional approach to reporting a result requires a statement of statistical significance. A p-value is generated from a test statistic. A significant result is indicated with "$p < 0.05$". These values all have an *. The Chi square test was performed to determine whether there was a statistically significant relationship between the variables (rows vs. columns). The null hypothesis states that there is no difference between the two. The alternate hypothesis indicates that there is a difference. Table 4.5 summarises the results of the chi square tests. The highlighted results indicate that there are differences between the statements. (Willemse, 2009)

Table 4.5: Results of chi square tests

Pearson Chi-Square Tests			
Number of years employed	Highest academic	Position	Section in

	at DHA	qualification		charge of
The state is meeting Bill of Rights, Chapter 2 of the South African Constitution (108 of 1996,27 (1) (c)	.009*	.000*	.000*	.000*
The basic values and principles governing public administration are being observed in the administration of the Department of Home Affairs	.000*	.000*	.000*	.000*
A high standard of professional ethics is being promoted and maintained	.004*	.049*	.001*	.005*
Efficient, economic and effective use of resources is being promoted	.003*	.000*	.000*	.002*
Services are being provided impartially, fairly, equitably and without bias	0.581	.042*	.001*	.042*
People's needs are being responded to within reasonable time	0.581	.045*	.000*	.001*
Administration is transparent and accountable	0.115	.021*	.003*	.001*
Good human – resource management and career development practices, to maximise human potential are being cultivated	0.1	.003*	.000*	.000*
Consultative mechanisms are used for staff	.001*	.000*	.000*	.001*
Consultative mechanisms are effective in improving service delivery.	.023*	.000*	.045*	.000*
A suggestion / complaints box is available for the public to use	.002*	.001*	0.316	0.243
The public complete survey forms on service delivery at this office	.027*	.000*	0.067	.039*
The survey forms help to bring about improved service delivery and customer satisfaction	.013*	.022*	0.083	.004*

This office has its own service standards	.007*	.000*	.001*	.000*
Staff members are involved in the development or review of service standards	0.184	.000*	0.1	.000*
Service standards are frequently reviewed in this office	0.074	.000*	0.185	.001*
Performance indicators on the employment contract are linked to service standards	0.051	.002*	0.055	.001*
This office has a Service Delivery or Commitment Charter	.023*	.002*	.037*	.002*
This office has a complaints management system	.002*	.015*	.027*	.000*
The complaints mechanisms and procedures for this office are effectively and efficiently implemented	.002*	.040*	.038*	.000*
All staff members have access to complaints mechanisms, policies and procedures	.003*	.006*	.002*	.045*
Workshops and information sessions are conducted for the purpose of acquainting employees with the department's complaints handling mechanisms, policies and procedures	.019*	.006*	.035*	.000*
This office has a floor manager	.000*	.000*	.006*	0.233
This office cascades information effectively and efficiently to employees	.003*	.000*	.000*	.043*
All employees have access to latest circulars relating to service delivery	0.078	.013*	.023*	.005*
Long queues have ceased because the public is given full and accurate information	.009*	.000*	.017*	.001*
Staff commitment to team work in administering their duties is evident	0.078	.001*	0.073	.006*

Employees are committed to quality service	0.308	.004*	.037*	.026*
Staff attitude to the public shows adherence to the Batho Principles	.010*	.000*	.008*	.005*
Staff ensure that clients do not wait in queues for long period of time	.000*	.000*	.021*	0.056
The public frequently complain about service at this office	.005*	.019*	.003*	0.123
MT has vision and shares it	.005*	0.126	0.185	0.435
MT walks the talk	.013*	.000*	.000*	.000*
MT knows the staff	.013*	.001*	.011*	.003*
MT knows the customers	0.095	.006*	0.1	0.483
MT provides strategic leadership	.008*	.000*	.000*	.014*
MT gives quality top priority on enabling documents.	0.066	.015*	.000*	.005*
Acts of corruption are often visible at the office	.004*	.000*	.003*	.000*
Corruption is perpetrated by staff	0.098	.000*	.013*	.000*
High levels of corruption negatively impacts on service delivery	.014*	0.073	0.64	.000*
Staff meetings are frequently held to address corruption	.000*	.003*	.045*	.000*
Corruption	.000*	.003*	.003*	.023*
Staff performance	.002*	.007*	.000*	.003*
Public complaints	.001*	.001*	.002*	.005*
Backlog/ Processing Problems	.010*	.000*	.016*	.001*

For example, the p-value for the relationship between "Position" and "Backlog/ Processing Problems" is 0.016. Since the value is less than the level of significance of 0.05, it implies that there is a significant relationship between the two variables. This shows that position did play a role in terms of processing problems. The argument is extended to the rest of the table.

4.11 Correlation Values

Bivariate Spearman's correlation was also performed on the ordinal data. The results are found in the annexure table 4.5. All significant correlations are indicated with an * or **. Positive values indicate a directly proportional relationship between the variables and a negative value indicates an inverse relationship.

For example, the correlation value between "The state is meeting Bill of Rights, Chapter 2 of the South African Constitution (108 of 1996, 27 (1) (c)" and "The basic values and principles governing public administration are being observed in the administration of the Department of Home Affairs" is 0.960. This is a strong, directly related proportionality. Respondents agree that there is a strong relationship between values and principles being observed according to the chapter on Bill of Rights in the Constitution.

4.12 Qualitative analysis

4.12.1 Employees

Respondents in management reported that they have undergone specialised training and some have been in the department for quite some time. In relation to Batho Pele principles, they do understand the concepts, but somehow it becomes difficult for them to adhere to it, due to

centralisation of functions. With regard to the principle of redress, they stated that while they are able to apologise on behalf of the department , they are not able to quick fix the problem or errors in enabling documents, they or even tell customers the turnaround time as these are referred to the Head Office in Pretoria.

Consultation has been described by the respondents as a time consuming principle. But they agreed that if correctly adhered to, it minimises conflicts among the employees and customers. Amongst the factors that make respondents to be perceived as being not sensitive to needs of public are delays in the processing of enabling documents of which some they do not have control over them as they are processed at Head office. Respondents stated that to follow up on redress cases takes forever because calls are not answered in Head office timeously and yet they are dealing with continuous queues of people eagerly waiting to be assisted.

One respondent reported that technological challenges as indicated below impact negatively on effective and efficient service delivery.

"As I speak to you now, we are off-line and customers have been waiting for the past 20 minutes. Some are in the queues for temporally identity documents, of which can be processed at this office if technology is up and running. How can we then be expected to deliver at our utmost best?"

The respondent suggested that the Head office must provide and devise strategies to deal with frequent off-line situations, bearing in mind that customers travel from far and wide to the DHA.

The interview question regarding speaking to the Minister, respondents highlighted that they would like the Minister to give them powers to fire and replace employees to overcome the issue of being understaffed or alternatively fast-track cases of exit e.g. suspension, expulsion and retirement. About ten employees are out of work due to pending misconduct cases, abscondment and suspension cases.. They stipulated that these employees are not yet replaced, even though these cases have occurred in the last two years.

The advice respondents would like to give to the Minister to combat fraud and corruption in DHA offices would be to invest in employees in terms of remuneration. The respondents revealed that fraud and corruption is caused by poverty. It was highlighted by a respondent that they are being underpaid which is a factor which persuades employees to sell official documents. With the issue of fraudulent death certificates being issued for insurance claims a large sum of money is guaranteed after pay out to the employees who assisted.

4.12.2 Customers

DHA customers interviewed indicated that, they are very happy about the services offered by the office under study. Some respondents faced frustration regarding enabling documents. One respondent who came to apply for an identity document was told that, he cannot be attended to because his birth certificate states that he is a female. The respondent had to undergo gender tests and had a doctor's letter, affidavit and a letter from Induna (Head man) where he was born; to serve as the gender confirmation documents. One respondent reported that her identity book had a wrong photograph. Another respondent stated that she went to collect her grant and only to be told that she appears on the death register. The said respondent had a long process of verifying that she was not dead. One respondent, who is a teacher by profession, indicated that he lost his identity document. When he went to DHA to apply for a new identity book he nearly collapsed to learn that his identity book was used by somebody in

Germiston. He stated that this frustrated him for almost six years. For all these years, the respondent could not open an account, buy a new car, register for further studies and could not process a death claims from insurance companies for his wife who passed away.

Regarding the chance to speak to the Minister, some respondents highlighted that they would tell the Minister to impose severe penalties to employees who accomplices illegal immigrants in acts of corruption in obtaining citizenship. One respondent reported that she was unable to register her marriage when she went to DHA and to be told that she is married to somebody else she has never met. Padayachee, (2011:3) regards these marriages as "*convenience marriages*" hence it helps foreign nationals to get South African citizenship.

About 60 % of clients responded by saying xenophobia will not just disappear if DHA Ministry is not doing anything about illegal immigrants. One respondent responded by saying, because of poverty she committed herself to convenience marriage because she was promised to earn R 2500 per month, of which she got it for three months because her foreign "*husband*" disappeared. Another concern was related to scarce resources being shared with foreign nationals.

About 20 % respondents indicated that there is a big change in the offices. The offices are now clean, information on the walls in the form of charts and information brochures are displayed. Over-crowding in this office has been adequately addressed through the introduction of electronic queuing system. Time one spends in this office is now reduced because of visibility of floor managers and cell phone enquiries. One respondent said in her last visit, she spent almost 3 hours queuing to enquire about her identity book, but now she is being able to enquire about the stages of enabling document processing at the comfort of her home.

One respondent from Africa highlighted that there are big changes, the manner the office of study is being managed, and he spoke of reduction of overcrowding and tighter controls in accessing enabling documents. This suggests that DHA in this office is now Batho Pele complaint. However, major intervention still needs to be considered.

4.13 Conclusion

Data from the questionnaire, interviews and documents were used to address the objectives of the research study. This chapter sought the views of the employees working in the DHA, Durban regional office and customers. It is clear from the responses given that employees in this office are aware of the impact of Batho Pele principles on service delivery. The extent to which employees comply with these principles when performing their tasks is acceptable. The information about the services rendered by the department is disseminated to the citizens, thereby keeping them informed about new developments. However, the respondents indicated that the MT does not have vision and does not provide strategic leadership and management. This is seen through lack of proper consultation with the employees, where employees demonstrated much neutrality regarding service delivery factors.

Any attempt to improve service delivery has to ensure that the service providers are well resourced to provide expected services from the public. Therefore, consultation; redress; information dissemination; and service standards are pivotal for consideration in providing effective and efficient public services. Overall, there are gaps in the application of the principles of Batho Pele which need to be addressed and can be decisive in improving services at the DHA, Durban Regional Office.

The next chapter addresses conclusions and recommendations emanating from the research study.

CHAPTER 5

CONCLUSIONS AND RECOMMENDATIONS

5.1. Introduction

This chapter provides a summary of the study. It summarises what each chapter focused on. The chapter then goes on to draw conclusions and recommendations about the study. The conclusions and recommendations are based on the findings. The study investigated the impact of Batho Pele principles on service delivery with the aim of establishing the core services provided by the department, the extent to which the Batho Pele principles are applied by the department, explore challenges facing the department in promoting effective and efficient public service delivery and develop a framework for the effective and efficient implementation of Batho Pele principles by the department.

A summary of the chapters are presented to capture the essence of the study before proceeding with findings, conclusions and recommendations.

Chapter one presented a background to the research study. This chapter also outlined the research methodology, research problems and justification for the study.

Chapter two presented a literature review in light of the research questions. The literature dealt with legislation and statutory frameworks governing public service. Further, the Department of Home Affairs was examined. This chapter further explored challenges hindering service delivery. It went on to identify the gap that this study intended to pursue which is the impact of Batho Pele on service delivery, a case study of DHA, Durban regional office. Finally, relevance of Batho Pele to the DHA was analysed.

Chapter three presented the technical aspects of the study. The research design and methodology are detailed, supported by the literature that points to the relevance of the choice of design and methodology.

The findings are presented in chapter four. The chapter illustrated how the theoretical framework lenses were operationalised in the data collection process and the various ways in which data was gathered. It analysed and interpreted the data against the research objectives chosen for the study.

5.2. Conclusions

Conclusions were drawn, based on the following research objectives:
- Identification of the core services provided by the department;
- Identification of the extent to which the Batho Pele principles are applied by the department;
- Exploration of the challenges facing the department in promoting effective and efficient public service delivery; and
- Development of a framework for the effective and efficient implementation of Batho Pele principles by the department.

The following conclusions were drawn from the questionnaires, interviews and analysis of documents.
- In South Africa, legislation and a statutory framework have been developed as instruments to transform public service delivery to a "people first" practice in a new democratic dispensation.
- The development of the Batho Pele principles seeks to introduce a new approach to service delivery by ensuring that systems focus on the needs of citizens.
- Employees in the public sector need to be models of excellence by adopting and practising the Batho Pele principles in an endeavour to provide effective and efficient services.
- The societal contextual realities like diversity, pluralism and inequality underpinning an unequal South African society makes it difficult to

comprehensively achieve " *a better life for all"* in view of the years of apartheid and limited resources.

- Cases of poor service delivery in the DHA is evidenced by delays in processing applications, incorrect processing of documents, cases of fraud and corruption and inefficient systems.

- The DHA has attempted to respond to public service delivery challenges through its Turnaround Strategy.

- The DHA is an integral part of central government, protecting and regulating the interests of the citizens of South Africa.

- The most regular customers using the services of the DHA Durban Regional office are citizens from the general public, comprising mainly of blacks from different racial demographics. Rendering an integral service to the citizenry in general requires quality services, since the regional office in Durban is based in an urban area and services a wide geographical area.

- Public administration is underpinned by employees who are driven by the mandate to serve customers according to acceptable service standards. This requires sound human resource management that engenders employees towards the provision of quality services. The majority of the respondents indicated that good human resource management and career developments practices to maximise human potential are not being cultivated. Human resource management is a vital contributor towards, achieving organisational goals.

- Timeous response in terms of service delivery is an important component of the code of conduct in the public service. The majority of the respondents were neutral about people's needs being responded to within reasonable time. As employees in the public sector, awareness of the service standards is important. In this respect, there ought to be a level of knowledge whether the needs of the customers are addressed so that corrective measures can be taken.

- Consultation at different levels affords opportunities to influence decisions relating to public service delivery, while fostering a participatory and cooperative relationship between stakeholders. Respondents agreed that consultative mechanisms are effective in improving service delivery. Mechanisms to consult

with the public like survey forms were considered as important endeavours to address service delivery and customer satisfaction. The use of complaints boxes also affords the public the opportunity to communicate their complaints about service delivery.

- Any public sector institution has to be governed by the basic values and principles governing public administration. In this regard, respondents believed that the basic tenets of democracy and sound governance are being promoted by the DHA.

- Service Standards inform the public about the level and quality of service they will receive. The same number of employees agreed and disagreed that the regional office had its own service standards. There is obviously lack of clarity among respondents about whether there are service standards. This accounts for majority of respondents indicating that service standards are not frequently reviewed in the department; hence so many respondents indicating that the office does not have its own service standards.

- The principle of redress requires mistakes to be redressed, while acknowledging and apologising that a mistake has been made. The majority of respondents remained neutral with respect to the implementation of effective and efficient mechanisms and procedures for complaints. It is important that staff are aware of whether complaints are effectively and efficiently dealt with.

- Information must be provided to all stakeholders. Information sharing has to be accurate and unbiased, which strengthens the climate of openness and public accountability. Many respondents supported the use of different forms of media coverage to enhance information sharing regularly and timeously.

- The staff members must be competent to deliver efficient and effective services. The lack of skills and capacity can negatively impact on providing public service that contributes to a "*better life for all*". Despite staff having commitment to quality service, the public frequently complain about service at the regional office. Since many respondents claimed that there is lack of staff training and modern technology, this requires consideration to address gaps in the human resource aspect. The service delivery complaints from the public and staff should be

addressed. The staff may have valid reasons why the public are frequently complaining, despite staff commitment. The majority of respondents indicated that their concerns are not investigated.

- Technology drives effective and efficient services, while also recognising the need for human capacity. Inadequate backup systems to deal with the frequent "off line" challenge needs to be pursued if the "Turnaround Strategy" of the DHA is to achieve its intended goals.

5.3 Recommendations

- The office of study is the only regional office in an urban area. Out of 65 employees, only 40 are on duty, due the rest being unavailable as results of expulsion, abscondment and suspension. This impact on service delivery. To enhance an effective and efficient service delivery in this office, additional staff needs to be employed until staff problems have been resolved.

- The incorporation of the implementation of Batho Pele principles in the performance contract of all the employees of the Department. The job description of the employees should reflect the standards so that implementation is guaranteed as the job description informs the performance contract. Every employee of the Department should be assessed and evaluated on the implementation of the principles in their daily duties.

- There should be a greater awareness of the presence of service standards within the DHA, so that all employees are educated on its value and relevance for public service delivery. This can be achieved through displays, workshops and development programmes.

- A Service Charter should be developed to give details about the type, quality and quantity of services to be provided by the Department. The Charter will also give details regarding location of service access points and contact details of responsible staff. Information about the Complaint Management Systems utilised in the Department and responsible staff should also reflect on the Charter.

- Communication with staff regarding the important levels of service delivery is necessary to ensure that all staff and not just a few are aware of procedures and processes guiding effective and efficient service delivery.

- Feedback mechanisms should be regulated to inform staff on challenges facing service delivery, so that staff can be part of the process to improve services at the DHA and what specific initiatives are institutionalised to address this.

- Mechanisms to monitor levels of service, apart from survey forms need to be considered. A multi-dimensional approach to determine effective and efficient service delivery will provide vital information like whether people's needs are responded to within reasonable time. For example, an analysis of the number of customers that are attended to within a specific time, using the electronic queuing system, can provide important information to set targets to increase the rate of processing queries.

- There is a need for training and development of staff, which is important not only for career development, but also for motivation of staff in respect of service delivery initiatives.

- There is a need to consider staff complaints as this provides valuable input that be accessed to improve service delivery. Since staff are also customers and are often directly involved with the public, their complaints often constitutes primary data which should not be ignored for any service delivery improvement initiatives.

- Management teams play a pivotal role in providing strategic leadership and leading by example. There should be greater monitoring in terms of management "walking the talk". This will motivate staff to follow the principles underpinning the "people first" approach.

- Awards or incentives should be provided to diligent and committed employees, this can be done through the introduction of *" Employee of the Month" ,* where DHA Durban regional office customers will be given a chance to choose the best employee who is Batho Pele compliant.

5.4 Conclusion

Giese and Smith (2007:79) stated that the DHA has long been considered as one of the weakest arms of government. At the same time, its mandate makes it an essential component of a full service package for bonafide citizenry and international visitors. Based on tireless endeavours by various DHA Ministers, governed by Public Service Acts and various pieces of legislation since 1994, the DHA has made a tremendous progress regarding service delivery. The findings of this study reflect that while employees in the office of study do understand the concept of the Batho Pele principles while the benefits of its comprehensive application still needs to be realised if service delivery is to be enhanced. DHA Durban regional office has made an improvement on service delivery, but there are still factors that require consideration to eradicate the gaps in effective and efficient service provision.

5.5 Recommendations for further research

- The study was conducted in the DHA office. It would be interesting to compare the DHA with another government to explore the impact of Batho Pele principles on service delivery.

- Corruption has been identified as one of the hindrances to service delivery. Determining the effectiveness of mechanisms used by the DHA in rooting out corruption since it is quite high is worth pursuing.

- Centralisation of functions to Head office has been cited by interviewees as the main cause of delays in processing and accessing enabling documents. A study on the pros and cons of decentralisation of core functions of the DHA to provincial offices can be pursued.

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ANNEXURES

ANNEXURE A : QUESTIONNAIRES

13 February 2012

Dear Participant

I, Telesphorus Lindelani Ngidi, am currently studying for a Masters Degree in Public Management and undertaking a research project that investigates the **"Impact of Batho Pele Principles on service delivery".** A case study will be pursued on the above topic in Umgeni Home Affairs Durban regional office.

The aim of the study is to investigate the impact of Batho Pele principles on service delivery. Your contribution to this study is extremely important to ensure the success of the project.

I kindly request your assistance in completing the attached questionnaire. The questionnaire has been structured in such a way that it facilitates quick and easy completion. Your task is to work through the questionnaire as quickly as you can, and answer the questionnaire as accurately and honestly as possible. It should take approximately 25 minutes to complete the questionnaire. Full details are provided on how to complete the questionnaire.

The questionnaire consists of the following sections:

- Section A -Biographical and general information
- Section B - Constitution and Public Administration
- Section C - Batho Pele principle: Consultation.
- Section D - Batho Pele principle: Service Standards
- Section E - Batho Pele principle: Redress
- Section F –Batho Pele principle: Information
- Section G – Staff Performance

Instructions on how to complete the questionnaire:

- Read all questions thoroughly and answer all the questions.
- Read all the instructions on how to answer questions carefully
- Use a black pen
- Do not ask for help from other participants
- Indicate the extent to which you agree or disagree with the statements by putting an X in the appropriate column shown below the statement.

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Student: T.L.Ngidi (Mr.)   Supervisor: Professor: N.Dorasamy
Tel.: (w) 031-7071361
      (c) 074 4964 544 / 083 6058 053

QUESTIONNAIRE – QUANTITATIVE ASSESSMENT

> **THE IMPACT OF BATHO PELE PRINCIPLES ON SERVICE DELIVERY: A CASE STUDY OF DURBAN REGIONAL OFFICE OF THE DEPARTMENT OF HOME AFFAIRS (DHA).**

SECTION A: BIOGRAPHICAL AND GENERAL INFORMATION

WHERE BLOCKS ARE PROVIDED FOR YOUR RESPONCES, PLACE A TICK IN THE APPROPRIATE BLOCK.

A.1. Number of years as an employee at Department of Home Affairs.

1.

0-10 years	
11-20 years	
21 years and over	

. A.2. What is your highest academic qualifications?

Lower than grade 12	
Grade 12/ Matric	
Certificate	
Diploma	
Degree	
Postgraduate Degree	

A.3. What is your position?

Manager	
Senior Manager	
Deputy Manager	
Head of Section	
Other (Specify)	

A.4. What section are you in charge of?

Birth registration	
Death registration	
Marriage registration	
Passports	
Visas	
Asylum	
Immigration	
Human Resource	
Other (Specify)	

A.5. How would you classify the geographical location of your office?

Remote Rural	
Semi Rural	
Urban	

A.6. Which two from the list below make up your most regular customers?

Other government departments	
Foreigners/Asylium seekers	
Blacks	
Indians	
Whites	
Funeral parlours & NGO's	

SECTION B: THE CONSTITUTION AND PUBLIC ADMINISTRATION

LET 1 REPRESENTS STRONGLY DISAGREE, 2 REPRESENTS DISAGREE, 3 REPRESENTS NUETRAL, 4 REPRESENTS AGREE AND 5 REPRESENTS STRONGLY AGREE

B.1. In terms of the Bill of Rights, Chapter 2 of the South African Institution (108 of 1996,27 (1) (c) " Everyone has the right to have access to social security, including, if they are unable to support themselves and their dependents, appropriate social assistance.

The state is meeting this obligation.

SD	D	N	A	SA
1	2	3	4	5

B.2. The basic values and principles governing public administration are being observed in the administration of the Department of Home Affairs.

SD	D	N	A	SA
1	2	3	4	5

B.3. A high standard of professional ethics is being promoted and maintained.

SD	D	N	A	SA
1	2	3	4	5

B.4. Efficient, economic and effective use of resources is being promoted.

SD	D	N	A	SA
1	2	3	4	5

B.5. Services are being provided impartially, fairly, equitably and without bias.

SD	D	N	A	SA
1	2	3	4	5

B.6. People's needs are being responded to within reasonable time.

SD	D	N	A	SA
1	2	3	4	5

B.7. Administration is transparent and accountable.

SD	D	N	A	SA
1	2	3	4	5

B.8. Good human – resource management and career development practices, to maximise human potential are being cultivated.

SD	D	N	A	SA
1	2	3	4	5

SECTION C: PRINCIPLE OF CONSULTATION

In terms of Batho Pele, consultation is a two way process, whereby customers (both internal and external) ,are invited to share their views on their needs and expectations regarding a particular department's service and these perceptions are discussed and taken into account in planning service delivery. Citizens should be consulted about the level and quality of the public services they receive and, wherever possible, should be given a choice about the services that are offered. Consultative mechanisms include amongst others meetings, summits, forums, open days, face to face interviews, individual contact, focus groups, discussions, questionnaires, etc.

C.1. Consultative mechanisms are used for staff.

SD	D	N	A	SA
1	2	3	4	5

C.2. Consultative mechanisms are effective in improving service delivery.

SD	D	N	A	SA
1	2	3	4	5

C.3. A suggestion / complaints box is available for the public to use.

SD	D	N	A	SA
1	2	3	4	5

C.4. The public complete survey forms on service delivery at this office.

SD	D	N	A	SA
1	2	3	4	5

C.5. The survey forms help to bring about improved service delivery and customer

satisfaction.

SD	D	N	A	SA
1	2	3	4	5

C.6. General comments regarding the consultation process at DHA.

_____

_____

_____

_____

SECTION D: PRINCIPLE OF SERVICE STANDARDS

The Batho Pele principle of service standards stipulates that citizens should be told what level and quality of public services they will receive so that they are aware of what to expect.

D.1. This office has its own service standards.

SD	D	N	A	SA
1	2	3	4	5

D.2. Staff members are involved in the development or review of service standards.

SD	D	N	A	SA
1	2	3	4	5

D.3. Service standards are frequently reviewed in this office.

SD	D	N	A	SA
1	2	3	4	5

D.4. Performance indicators on the employment contract are linked to service standards.

SD	D	N	A	SA
1	2	3	4	5

D.5. This office has a Service Delivery or Commitment Charter.

SD	D	N	A	SA
1	2	3	4	5

D.6. Any comment about the implementation of the service delivery standards in this office.

_____

_____

_____

_____

SECTION E: PRINCIPLE OF REDRESS

According to this principle, if the promised standard of service is not delivered, citizens should be offered an apology, a full explanation and a speedy and effective remedy; and when complaints are made, citizens should receive a sympathetic response.

E.1. This office has a complaints management system.

SD	D	N	A	SA
1	2	3	4	5

E.2. The complaints mechanisms and procedures for this office are effectively and efficiently implemented.

SD	D	N	A	SA
1	2	3	4	5

E.3. All staff members have access to complaints mechanisms, policies and procedures.

SD	D	N	A	SA
1	2	3	4	5

E.4. Workshops and information sessions are conducted for the purpose of acquainting employees with the department's complaints handling mechanisms, policies and procedures.

SD	D	N	A	SA
1	2	3	4	5

E.5. Any suggestions on how the mechanism can be improved so as to be user friendly and improve service delivery.

_____

_____

_____

_____

_____

_____

SECTION F: PRINCIPLE OF INFORMATION

According to this principle, citizens should be given full and accurate information about public services they are entitled to receive.

F.1. This office has a floor manager?

SD	D	N	A	SA
1	2	3	4	5

F.2. This office cascades information effectively and efficiently to employees.

SD	D	N	A	SA
1	2	3	4	5

F.3. All employees have access to latest circulars relating to service delivery.

SD	D	N	A	SA
1	2	3	4	5

F.4. Long queues have ceased because the public is given full and accurate information.

SD	D	N	A	SA
1	2	3	4	5

F.5. General comments regarding the information in the Department of Home Affairs.

_____

_____

_____

_____

SECTION G: STAFF PERFOMANCE

G.1. Staff commitment to team work in administering their duties is evident.

SD	D	N	A	SA
1	2	3	4	5

G.2. Employees are committed to quality service.

SD	D	N	A	SA
1	2	3	4	5

G.3. Staff attitude to the public shows adherence to the Batho Principles.

SD	D	N	A	SA
1	2	3	4	5

G.4. Staff ensure that clients do not wait in queues for long period of time.

SD	D	N	A	SA
1	2	3	4	5

G.5. The public frequently complain about service at this office.

SD	D	N	A	SA
1	2	3	4	5

G.6. Management Team (MT) focuses on the ff.

	SD	D	N	A	SA
	1	2	3	4	5
MT has vision and shares it					
MT walks the talk					
MT knows the staff					
MT knows the customers					
MT provides strategic leadership					
MT gives quality top priority on enabling documents.					

G. 7. Acts of corruption are often visible at the office.

SD	D	N	A	SA
1	2	3	4	5

G.8. Corruption is perpetrated by staff.

SD	D	N	A	SA
1	2	3	4	5

G.9. High levels of corruption negatively impacts on service delivery.

SD	D	N	A	SA
1	2	3	4	5

G.10. Staff meetings are frequently held to address corruption.

SD	D	N	A	SA
1	2	3	4	5

G.11. The following items frequently appear on the agenda.

		SD	D	N	A	SA
		1	2	3	4	5
11.1	Corruption					
11.2	Staff performance					
11.3	Public complaints					

11.4	Backlog/ Processing Problems					

Thank you very much for your time, may God richly bless you.

TOPIC: IMPACT OF BATHO PELE PRINCIPLES ON SERVICE DELIVERY, A CASE STUDY OF DURBAN REGIONAL OFFICE DEPARTMENT OF HOME AFFAIRS.

TO THE RESPONDENT

INTRODUCTION

This is a MTECH study at the Durban University of Technology. The purpose of this questionnaire is to assess the impact of Batho Pele principles on service delivery, a case study of Durban regional office Department of Home Affairs and it is used for post graduate studies only.

The information obtained through this exercise will be treated as confidential and the results will be used for research purpose only.

INSTRUCTIONS

The supplied information will be treated with confidentiality and will be used for the purpose of research only. No individual will be victimised or intimidated as a result of participating in this process.

You are humbly requested to respond to all questions in the questionnaire and provide honest and reliable answers. Take note of the fact that, in terms of this study, there is no right or wrong answer. You are required to provide as much information as possible.

Open-ended questions will be asked during the interview for the purpose of gathering as much information as much as possible as well as to give you an opportunity to elaborate as much as possibly could.

For more information contact the researcher at:
Name: Ngidi Telesphorus Lindelani (Zamani)
Tel: 031-7071361
Cell: 0744964544 / 0836058053
Email: ngiditl@webmail.co.za

A.   **EMPLOYEES (MANAGEMENT)**

1. What are some of the leadership and management position you have held?
2. Have you received any specialised training (induction / workshop) or post matric qualification to undertake your duties as a public service employee?
3. What is your understanding of the concept *"Batho Pele"* principles and how does it impact on your daily duties regarding service delivery?
4. Could you please, give me the relevancy of consultation, service standards, and redress and information principles in this office?
5. There is an outcry on service delivery rendered by DHA in this office, (**Probe: fraudulent marriages, fraudulent deaths, corruption, errors in enabling documents, delay in processing documents and understaffing**), what do you think are the causes of two or more factors mentioned in the probe?

6. If you were given a chance to directly speak to DHA Minister Dlamini-Zuma, what two things, you would like to tell her as your biggest challenges in addressing customers' complaints?

B. CUSTOMERS

1. How would you comment about the service you received today in this office?
2. Have you ever faced any form of frustration regarding enabling documents (Probe: errors in identity document, ranging from gender, photograph, date of birth, e.tc.)? If yes, elaborate on your frustration and how it was addressed and how long did it take?
3. If you were given a chance to speak to the DHA Minister, what two most important things or comments you would love to let her know regarding service standards?
4. Are there any changes in this office, since your last visit? If yes, please explain.

Thank you very much, may God richly bless you.