A policy-making framework for Social Assistance in South Africa: The case of the Department of Social Development and the South African Social Security Agency

MT Makhetha
22688080

Mini-dissertation submitted in fulfilment of the requirements for the degree *MA* in *Public Administration* at the Potchefstroom Campus of the North-West University

Supervisor: Prof G van der Waldt

May 2015

It all starts here ™

DECLARATION

I, Maureen Tsebeletso Makhetha, hereby declare that the work in the completion of this report on: A policy-making framework for social assistance in South Africa: The case of the Department of Social Development and the South African Social Security Agency, is my own, that is based on original research work conducted by me and it has not been submitted elsewhere for the purpose of obtaining a degree or diploma either in part or in full and that all the sources that I have used or quoted have been indicated and acknowledged by way of a comprehensive list of references.

Signature:

MAUREEN TSEBELETSO MAKHETHA   Date: 08 December 2014

DEDICATION

I wish to dedicate this dissertation to my late beloved mother Nomda Helen Khalatha, who passed on in November 2012 at age 83. Despite the gruesome death she suffered God has been my source of strength, a pillar that I have been leaning on and my spiritual inspiration to be able to complete this dissertation. May her soul rest in peace! I know she is watching down on me from Heaven. They say time heals, but it actually doesn't –some days are just better than others. Thanks for all the encouragement and support that you gave me when you were still alive. I know that you are proud of my accomplishment against all odds, and I hope that every time you look down at me from Heaven, you smile......

ACKNOWLEDGEMENTS

Compiling this mini-dissertation would not have become an authenticity if it were not for the kind support and continuous encouragement received from numerous people close to me. I would like to convey my sincere thanks and appreciation to the following people who made my journey smooth and successful:

- I would like to thank God the Almighty for giving me the strength, determination and wisdom to work towards completing this dissertation and still realised my goal. Through him, I have been able to realise my dreams and accomplishments.

- To my family, Thapelo my husband, thank you for the support. To my daughter, Mamello, for your understanding, your tolerance for my long working weekends and for always encouraging and motivating me to complete this journey, and contributing to my success. You were my pillar of strength and motivation as we spend long hours of study, night after night also preparing for writing her matric, I say, thank you 'Spoongie Pie'. I recognize that at times, I may have failed a number of my duties as a mother in the house;

- To my supervisor, Professor Gerrit van der Waldt, I am grateful for your selfless time, mentoring, guidance, leadership, critical thinking and analysis of my writings, encouragement and enthusiasm in helping to complete this document. I could not have completed this research and achieve my goal without your support;

- To Mrs Farzanah Loonate, for your willingness to always provide your essential administrative assistance since the start of this journey in 2010 with the Palama Executive Development Programme, I will forever be thankful.

- To my friends and colleagues at work, particularly Matsiliso Chaka, who was my co-study partner, ever eager and willing to support and share information, study books and aids, as well as for your inspiration, I say thank you.;

- A big thank you to my employers at SASSA for granting me permission to conduct my research within the Office; and in particular, my former Executive Manager for the Gauteng region, Mr Gerry Rees, for granting me study leave, endless support and understanding, even when almost 10 of his senior managers had to be away from the region to attend classes;

- To the SASSA regional participants, thank you for your willingness to support my goal and your enthusiasm in participating in this research, openly sharing your views and

opinions;

- My sincere appreciation and gratitude to my branch coordinator, Refilwe Nteo, for forever willing to support and assist whenever you could in managing the office in my absence.

ABSTRACT

After coming into government in 1994, the African National Congress (ANC) committed and became a signatory to some of the international, regional and national instruments for human rights and social security such as the International Covenant on Economic, Social and Cultural Rights (ICESCR). The Constitution of the Republic of South Africa, 1996 (Section 27(1) (c)), makes specific provision for the promotion and recognition of human rights such as social and economic rights, provision of health, water, shelter and social security. This includes provision for appropriate social assistance to people who are unable to support themselves and their dependants.

For human rights to be effectively realised, policies governing the administration of social grants needed to be updated to address all the inequalities of the past and poverty. Before 1994, the formulation and operationalisation of policy in South Africa was characterised by a lack of transparency, while participation and the inclusion of all affected stakeholders was limited. To address this situation, the primary objective of this study was to develop a policy-making framework for the effective implementation of social assistance by the Department of Social Development (DSD) and the South African Social Security Agency (SASSA). The study included an assessment of the extent to which the existing policy-making framework for social assistance in South Africa has affected policy implementation within and between SASSA and DSD. To achieve this primary objective, a number of secondary objectives had to be achieved. These included:

- To explore and conduct a literature survey on the prevailing theories and models of the existing theoretical framework and principles of the public policy-making process and policy implementation;
- To analyse statutory, regulatory requirements and guidelines defining the functionality and relationship between DSD and SASSA in the implementation of the social assistance programme; and
- To develop guidelines and propose key recommendations on how DSD and SASSA can improve on policy-making processes to achieve a more effective implementation of the social assistance programme.

A case study design was followed for data collection, with SASSA Gauteng region as case study. Data was collected by means of interviews using an interview schedule, and was conducted with both regional and local office staff as units of analysis. The empirical findings emanating from the interviews indicated that, although there is some collaboration between DSD and SASSA during the policy-making processes, there are strong indications that this is not cascaded down to the operational levels for implementation. All of the interview participants agreed that the nature of current policy processes is reactionary to problems facing the South African Government. Participants maintained that there is limited or no consultation between DSD and SASSA before any agenda-setting process to determine the level of commitment and buy-in from stakeholders. Within the policy-making context public participation as defined by the UNDP (1981:5) in Cloete and De Coning (2011:91) entails the creation of opportunities that enable all members of a community and the larger society to actively contribute to and influence the development process and to share in the fruits of development.

According to the findings, policy formulation and implementation between DSD and SASSA require people with specific policy formulation, policy analysis and general research skills. Monitoring and effective evaluation of impact and analysis of the policy should also be considered as one of the key areas requiring urgent improvement. The recommendations provided are aimed at assisting both DSD and SASSA, in terms of social assistance, and to add value to the current policy-making, implementation, and service delivery processes.

KEY WORDS

South African Social Security Agency (SASSA), Department of Social Development (DSD), Social Assistance Act, social assistance programme, social grants, social security, policy, public policy-making process.

ACRONYMS

ACESS	–	Alliance for Children's Entitlement to Social Security
ANC	_	African National Congress
AG	_	Auditor General of South Africa
BAS	_	Basic Accounting System
CBOs	_	Community-Based Organisations
CEDAW	–	International Convention on the Elimination of All Forms of Discrimination against Women
CERD	–	Center for Elimination of all Forms of Racial Discrimination
COIDA	–	Compensation for Injury and Disease
CPRS	–	Central Policy Review Staff
CRC	–	United Nations Convention on the Rights of the Child International Convention
CSG	_	Child Support Grant
DHA	–	Department of Home Affairs
DOH	–	Department of Health
DOE	–	Department of Education
DOJ	–	Department of Justice
DOPW	–	Department of Public Works
DSD	_	Department of Social Development
FBOs	_	Faith-Based Organisations
FSP	_	Financial Service Providers
GDP	_	Gross Domestic Product
GEPF	_	Government Employment Pension Fund
GWM&ES	–	Government–wide Monitoring and Evaluation System
HSRC	–	Human Science Research Council
ICESCR	–	International Covenant on Economic, Cultural and Social Rights
ICROP	_	Integrated Community Rural Development Programme
IRM	_	Internal Remedy Mechanism
ISSA	–	International Social Security Association
ISSSC	–	International Standards on Social Security Coordination
ITSSA	–	Independent Tribunal of Social Security Agency
ILO	–	International Labour Organisation

M&E	–	Monitoring and Evaluation
MDG	–	Millennium Development Strategy
MIS	_	Management Information System
MOU	–	Memorandum of Understanding
NIDS	_	National Income Dynamic Study
NIPSS	–	Nigerian Institute for Policy and Strategic
NGO	_	None Government Organisation
NPOs	_	None Profit Organisations
NSCGP	–	Netherlands Scientific Council for Government Policy
NIPSS	–	Nigerian Institute for Policy and Strategy
PERSAL	_	Personnel Salary System
PERSOL	_	
PFMA	_	Public Finance Management Act
PHC	–	Primary Health Care
RAF	–	Road Accident Fund
RBM&E	–	Results Based Monitoring and Evaluation System
RDP	–	Reconstruction and Development Programme
SA	_	South Africa
SAPS	–	South African Police Services
SASSA	_	South African Social Security Agency
SocPen	_	Social Pension System
SOP	_	Standard of Operations Procedures
TCPRI	–	The Centre for Policy Research in India
UIF	–	Unemployment Insurance Fund
UNDP	–	United Nations Development Programme

TABLE OF CONTENTS

LIST OF TABLES

LIST OF FIGURES

ANNEXURES

CHAPTER 1
INTRODUCTION

1.1   ORIENTATION

The Constitution of the Republic of South Africa, 1996, hereafter referred to as the Constitution, enshrines the right to social security in section 27(1)(c), which stipulates that "everyone has the right to have access to social security, including, if they are unable to support themselves and their dependants. The state must take reasonable legislative and other measures within its available resources to achieve the progressive realisation of each of these rights" (Constitution of the Republic of South Africa, 1996:13).

Diop and Cichon in the World Social Security Report (2010/11: v) maintain that all successful societies and economies have employed development strategies where social security systems played an important role to alleviate poverty and provide economic security that helps people to cope with life's major risks or the need to quickly adapt to changing economic, political, demographic and societal circumstances. Social security is regarded as a human right as well as a social and economic necessity. Social security systems are by design powerful economic and social stabilizers of economies and societies. They stabilize income of individuals who are affected by unemployment or underemployment and hence help to avoid hardship and social instability (Diop & Cichon, 2010/11: v).

According to Diop and Cichon in the World Social Security Report (2010/11:13) social security is a human right as well as a "social and economic" necessity. Numerous international legal instruments, in particular, the Declaration of Philadelphia (1944), recognise it as an integral part of the Constitution of the International Labour Organisation (ILO), and the Universal Declaration of Human Rights (1948) adopted by the General Assembly of the United Nations (ILO, 2010). All successful countries, societies and economies have employed development strategies where social security systems play an important role in alleviating poverty and providing economic security to help people cope with life's challenges and the need to adapt to changing economic, political, demographic and societal circumstances (World Social Security Report 2010/11:3).

Within the South African context, the above definition can be identified as consistent with that of the White Paper on Social Welfare (1997) in which the conceptualisation of social security is broadly based. In terms of this study, social security is defined as the provision of a national social security system, which aims to ensure that all South Africans are able to meet basic subsistence needs, and live above the minimum acceptable standards. Such provision occurs through the development of policies to ensure that all people have adequate economic and social protection during unemployment, ill health, childhood, widow-hood, disability and old age. This protection takes place through contributory and non-contributory schemes that provide for their basic needs. Contrary to this need, the state social assistance (grants) only include certain categories of benefits limited to old age, disability child and family care and social relief of distress (White Paper on Social Welfare, 1997).

Social assistance, as defined by the Taylor Committee (2002:36), is where the state "provides basic minimum protection to relieve poverty, essentially subject to qualifying criteria on a non-contributory basis". The primary goal of social assistance is thus to alleviate poverty. Its scope of coverage is extended either to the entire population or to designated categories of the population (Taylor Report, 2002:36).

In South Africa, social assistance entails a set of social grant payments aimed at supporting vulnerable groups, namely children, the elderly, people with disabilities and war veterans. In the Social Assistance Act 14 of 2004, Section 1, social assistance is defined as "a social grant including social relief of distress' (Social Assistance Act 14 of 2004:6). The primary aim of social assistance is to ensure that people do not fall below a certain standard of living. Being non-contributory in nature, social assistance provisioning is financed from Government's general revenue, and is provided in the form of a monthly income transfer to eligible beneficiaries (Taylor Report, 2002:30-31).

The International Social Security Association report of 2010 has come to conclude that the global economic crisis has come to show that social security systems are by design, the most powerful and social stabilisers of economies and societies. Social security generally stabilises the income of individuals who are affected by unemployment or underemployment. It helps to counter hardships and social instability (International Social Security Association, 2010:56).

According to the World Social Security Report, 2010/11, developing countries that employ

income transfers through social security systems enjoy a powerful restructuring of income inequality and poverty in developing countries (World Social Security Report: 2010/11:2).

Similar challenges as experienced during the global financial meltdown have been facing South Africa during the period 2008 to 2011(South Africa: Economic Review, 2013).Similar challenges as experienced during the global financial meltdown have been facing South Africa during the period 2008 to 2011(South Africa: Economic Review, 2013:15).These challenges as identified in the South Africa Country Report (2010:15-19) were exacerbated by the global economic recession and include the following:

- Corruption, and both unemployment and inequality remains a major challenge, are on the rise. Unemployment remained high in 2010 even though it declined marginally in the fourth quarter of 2010 to 24% from 25.3% in the previous quarter. The global economic downturn ended pattern of growth abruptly with a 3% fall in the GDP from the third quarter of 2008 to mid-2009. Job losses were still more severe, as employment dropped by a million jobs from the end of 2008 to the middle of 2010. As a result, the employment ratio fell back from a high of 45% in 2008 to 41% in 2010 – virtually the same level as in 2002, before the economic boom started (New Growth Path Framework (November, 2010:5).The government outlined a number of measures to address these challenges in the New Growth Path Framework (November, 2010:1-2), including more investment in infrastructure, skills enhancement, public service and regional economic ties. As much as South Africa has achieved the 1st Millennium Development Goal (MDG) – reducing the proportion of the population living on less than 1 USD a day by half – but the government still needs to deal with issues such as providing adequate public health services, improving the quality of education, and reducing unemployment, especially for the youth (South Africa Country Report, 2010:19).

- The International Monetary Fund Report identified the long-standing issue of unemployment as one of the biggest challenges to economic growth in South Africa, along with poverty, huge wealth disparities and a high incidence of HIV/Aids. HIV/AIDS remains a critical issue as South Africa has the world's largest population of people living with HIV: 5.6 million. In April 2010, the Zuma administration launched a campaign to test 15 million people for HIV by the end of 2011; 5 million people have been tested since the launch began. The South African

unemployment rate was most recently reported at 25.7% in the second quarter of 2011. A 2011 report on youth unemployment produced by the National Treasury states that approximately 42 per cent of young people under the age of 30 are unemployed compared with less than 17 per cent of adults over 30 (South Africa Country Report (2010:19). From past crises that countries that had effective and efficient social security systems in place before a crisis hit were much better equipped to cope with its fallout than those who had not had the foresight to put such systems into place (World Social Security Report, 2010/11:v).

- As highlighted by Minister Bathabile Dlamini in her foreword of SASSA (2010/11:4) the 'Diagnostic Overview' of December 2010 as issued by the National Planning Commission explicitly stated that deep poverty is widespread and constrains human development and economic progress. Per capita income and employment fell by about 4% and 1 million formal and informal jobs were lost between the last quarter of 2008 and 2009.

- According to the South Africa Country report, (2012:15) unemployment was at a rate of 25%, remains the most challenging of South Africa's hurdles: it is at the top of government priorities and at the heart of its economic policies. The government under the African National Congress has responded to the global crisis by expanding public spending on social assistance. Consolidated government gross capital spending rose by 1.5% in 2010, much more slowly than current payments and transfers. Government borrowing remained high in 2010 even though spending decreased and tax revenue increased somewhat: the consolidated government's fiscal position went from a deficit of 6.9% of GDP in fiscal year 2009/10 to a deficit of 5.4% of GDP in fiscal year 2010/11(South Africa Country report, 2012:13).

- There has been a significant increase in child poverty, and although SA's welfare safety net dramatically reduced the effect on the poorest, studies such as those conducted by UNICEF (2013) revealed that the proportion of children living in poverty had increased by 2% from 2007 to 2009. About 65% or 12 million children in South Africa are currently living in poverty, compared to only 45% of adults (UNICEF, 2013: 16). In their studies Hall, Lake and Berry, (2012) found that 22 per cent of North West children experience hunger, compared to a national average of 17 per cent, in comparison to the other provinces with low take-up rates in the 0–1 year

age group. The North West province reflected a below-average take-up rates on CSG among children aged 0–1 year, alongside the Western Cape, Gauteng and Mpumalanga. It is also marked by higher levels of child poverty (61 per cent of children in the North West living in poverty, compared to 38 per cent in the Gauteng province and 30 per cent in the Western Cape) and child hunger (UNICEF, 2013:16).

As maintained in the South Africa Economic Review report (2013:15), while much of the world staggered in the wake of the global financial meltdown, South Africa has managed to stay on its feet, largely due to its prudent fiscal and monetary policies. The country is politically stable and has a well-capitalised banking system, abundant natural resources, well-developed regulatory systems as well as research and development capabilities, and an established manufacturing base. Ranked by the World Bank as an "upper middle-income country", South Africa is the largest economy in Africa – and it remains rich with promise. It was admitted to the BRIC group of countries of Brazil, Russia, India and China (known as the BRICS) in 2011 (South Africa Economic Review report (2013:15).

South Africa is regarded as a constitutional democracy with a population of approximately 51, 8 million people (Census Report of 2011:14).The labour force is just over 17 million people, with only close to 13 million people that are employed (Census Report of 2011:14).

Poverty eradication has been repeatedly claimed to be the biggest priority for the government, and social grants are recognised by the government as the most effective policy measure to alleviate poverty. In his Budget Speech in 2011, Minister of Finance Pravin Gordhan, hailed social grants as the "largest and most effective redistribution programme," and announced that social grants would increase above inflation rate and the gradual extension of child support grant to children up to their 18th birthday. Owing to the slow recovery from the 2008 recession, Government has expanded social assistance from 5, 5 million households in 1996 to 15, and 3 million households in 2011. From these households, 10 million are children receiving child support grant (Gordhan, 2011). According to the South African Social Security Agency' s (SASSA) Annual Report of 2013-14, people receiving social grants are about 16 million after the cleaning up of the database, with the introduction of an electronic registration and new card payment system in 2012-13 .

Historically, as identified by various authors such as the Lund Committee Report, (1997: 97); Taylor Report, (2002:21-22); Devereux, (2007:539) and Mpedi, (2008:21) the provision of social security ran along racial lines. It accommodated the needs of the white minority whilst excluding black South Africans. As early as 1928, the Old Age Pensions and National Insurance Act 22 of 1928, provided grants in the form of social (non-contributory) pensions for whites, and coloureds excluding Blacks (Taylor Report, 2002:21-22). With the introduction of a disability grant in 1937, social security was extended to include Africans and Indians by 1947. As outlined by the Lund Committee, the problems and discrepancies of inequality in the whole social security system continued to exist until 1994, particularly in the former homelands (Lund Committee Report, 1997:97).

All of these discrepancies and inequalities were removed in 1994 with the introduction of the Social Assistance Act of 1994 when South Africa had its first democratically elected government and introduced social security provision for all. The Constitution of the Republic of South Africa, 1996 (Act No. 108 of 1996), makes provision for all citizens to have the right to social security, including appropriate social assistance from government, should they be unable to support themselves and their defendants (Constitution 1996:13). As stated by SASSA's CEO Virginia Petersen, in the SASSA,(2013/14) annual overview social assistance grants play a crucial role in the survival of the household, especially with regard to those most in need, since they are target directly, so as to reverse the bias of the earlier apartheid era's social assistance programme. In addition, social assistance grants have a holistic effect on household welfare and health, by bringing an income into the household and thereby acting as a preventive rather than a palliative intervention(SASSA 2013/14:11).

South Africa's social assistance system, one of the largest in Africa, is government's most direct means of combating poverty. According to Statistics South Africa's latest General Household Survey, the number of people receiving social grants increased from 12.7% in 2003 to 30.2% in 2013, while the number of households receiving at least one social grant increased from 29.9% to 45.5% over the same period. Social grants enable people and families to avoid destitution and they have a marked positive effect on consumption and welfare. Not only did cash transfers reduce South Africa's poverty gap, but they also supported development, including poverty reduction, as well as improved levels of nutrition, health and education for grant recipients and their children(SASSA 2013/14:11).

After the African National Congress government took over in 1994, a comprehensive statutory and regulatory framework was put in place to govern social welfare. This framework includes the White Paper for Social Welfare (1997) and the Social Security Agency Act 9 of 2004. In October 2002, Cabinet approved the establishment of a national Social Security Agency (SASSA) through the enactment and ratification of the South African Social Security Act No. 9, 2004. The main aim of the Act is:

- 'To provide for the establishment of the South African Social Security Agency as an agent for the administration and payment of social assistance;
- To provide for the prospective administration and payment of social security by the SASSA , (hereafter referred to as the 'Agency') and the provision of services related thereto; and
- To provide for matters connected therewith" (SASSA Act, 2004:5).

The South African Social Security Agency is a public entity established in terms of the South African Social Security Agency Act, 2004, and reports to the Minister of Social Development. The Agency is responsible for the administration and payment of social assistance grants through the implementation of policies, programmes, systems and procedures to ensure the effective and efficient administration of social assistance grants (South African Social Security Agency Act, 2004:6).

Bhorat and Cassim (2014) in the KPMG report of (2014) maintain that, "South Africa's social grant network is one of the largest in the developing world, with projected expenditures of USD 12 billion for 2014". South Africa's social welfare system is said to be one of the largest in the developing world and has helped narrow the income inequality gap using world leading technological innovations. The number of people living in formal homes, as opposed to informal settlements, has significantly increased. However, there is still much to do, and progress on many fronts will require all partners and stakeholders to take a long-term view, while being pragmatic in the short-term. The abilities of public and private sector institutions to manage change, build new capabilities, efficiently deliver programmes and services that meet the needs of citizens, and drive economic growth, will be some of key success factors (KPMG, 2014:3).

1.2   PROBLEM STATEMENT

The South African Social Security Agency was established in 2006, and is entrusted with the administration of the South African social assistance programme. The national Department of Social Development performs a regulatory role. It also sets the policy framework that determines who qualifies for social assistance grants and lays down the norms and standards for social assistance grants administration. Currently, South Africa has eight types of social grants in its social assistance system, namely:

- An old age grant for all eligible South African citizens of 60 years and above;
- A disability grant for people with temporary and permanent disability;
- A child support grant for all needy children between ages 0-18 years;
- A care dependency grant for all children with disabilities in need of 24 hour care;
- A foster child grant for vulnerable children in foster care under 18 years and till 21years of age if they are still attending school;
- A war veterans grant for all people who took part in certain stipulated World wars;
- A grant-in-aid for frail and aged people needing 24 hour care; and
- A social relief of distress is a temporary assistance for any person awaiting assistance or awaiting approval of a social grant (SASSA, You and Your Grants 2008/09).

Previously, the administration of social welfare was fragmented and this led to inefficiency and lack of accountability. Chapter 10 of the Constitution (1996:107-111) sets out the basic values and principles governing public administration and public services. These basic values and principles provide among others that a high standard of professional ethics must be promoted and maintained, efficient, economic and effective use of resources must be promoted, and public administration must be accountable and responsive to citizen's needs. As an organ of state these principles also apply to social security service delivery (Mirugi-Mukundi, 2009:31).

The highest growth of all grants has been in the Child Support Grant. This growth is in line with the Government's policy of prioritising the needs of children. According to the SASSA annual report of 2013-14 CSG accounts for the largest number of grant benefits at 11,125,946, followed by OAG at 2,969,933 and DG at 1,120,419. WVG at 429 represented the lowest number of grant benefits. This expansion of the social safety net has had a positive effect on

poverty reduction (SASSA, 2013/14:21). According to the South Africa's KPMG, (2014) social grant network is one of the largest in the developing world, with projected expenditures of USD 12 billion for 2014(KPMG, 2014:3).

All social assistance grant recipients are subject to a means test, thus allowing the country to provide social assistance to those who need it most. This approach, while resulting in some inclusion and exclusion errors, it is guided by the budget constraints in the context of high levels of poverty and income inequalities (Samson, et.al, 2001:12). Whereas the Constitution of the Republic of South Africa, 1996 (Act No. 108 of 1996), provides that 'everyone has the right to have access to social security, including the right to social assistance, if they are unable to support themselves and their dependants '. However the Constitution, in section 27(i) further stipulates that the State is obliged to take reasonable legislative and other measures and within its available resources to achieve the progressive realization of each of the rights concerned (Constitution, 1996:13).

The separation of powers and relationships between SASSA and provincial departments was established through the signing of a service level agreement between the National Minister for Social Development, SASSA, and the Members of the Executive Committees for provincial Departments of Social Welfare and Population Development. The signing of this service delivery agreement came into effect on 1 April 2006 (National Minister of Social Development, 2006). With the establishment of the SASSA in 2006, the responsibility for policy development has been left with the DSD. However, the actual implementation of any of the policies and legislative changes happens within the nine regional areas, which are divided in line with the South African geographic provincial boundaries.

The relationship between DSD and SASSA has to be understood in relation to the stipulations of the SASSA Act, of 2004, section 21 which stipulates that: The Minister must make regulations regarding any matter that must be prescribed in terms of this Act and may make regulations regarding:

- Any matter that may be prescribed in terms of this Act;
- The establishment and operations of the compliance and fraud mechanism contemplated in section 4(l) (c); and

- Any matter which is necessary to prescribe for the effective carrying out or furtherance of the provisions or objects of this Act (SASSA Act, 2004:16).

With this separation of roles and responsibilities with regard to policy formulation and implementation, there has not been a formalised, and documented process by which the said relationship will be managed, hence challenges to the policy formulation and implementation process arise (National Minister of Social Development, 2006).

The South African policy-making exercises of the mid-1990s, as seen with the development the White Paper on Reconstruction and Development (1992), the Constitution (1996), the White Paper on Social Welfare (1997), and other legal formulations require transparency, participation and the inclusion of many stakeholders (Van Niekerk,2001:90). It also requires public choice in which direct representation, empowerment and active decision-making are paramount. In a democracy, the participatory nature of policy processes is of primary importance. Opportunities to exercise choices and explore rational options should be accommodated by policy-making processes, and should involve the participation of government institutions and fragmented structures of semi-independent groups and organisations (Mokgoro, 1997:1; Van Niekerk, Van der Waldt & Jonker, 2001:90; De Coning, 2004:3). People are better able to articulate their needs and have the confidence to put their proposals forward for consultation. In this environment, governments need to consult the people at large as well as the relevant interest groups, if they are to produce the most effective policies. Consultation does not only mean that governments will ask people their views on the government's proposals but also that government will listen to proposals that come from their citizens. It does not reduce the responsibility of governments to govern but it does mean that, in determining policies to be pursued, the governments need to take into account the views of those who may be affected by any of these policies (PALAMA, 2009:20). From within civil society, interest groups may raise issues and win media attention for initiatives that a government will wish to adopt. These interest groups, which are identified as elements of civil society are regarded as having an especially significant role with regard to policy (PALAMA, 2009:20).

The concept "policy" historically has been defined in various ways by numerous authors and scholars such as Dunn (1981:8) who defines the origin of the term "policy" as etymologically coming from Greek, Sanskrit and Latin. Easton (1953:129) in Cloete and Wissink (2001:11) defined policy as an authoritative allocation through political processes and gave policy a negative connotation in the sense that it could be made through a non-consultative process, where decisions and actions are taken by politicians or people in authority without community participation.

An assessment of the nature of numerous definitions such as those of Ranney (1968:7), Starling (1979:4), Easton (1953:129) in Cloete and Wissink (2001:11), and Van der Waldt in Van Niekerk et al. (2001:87) indicates that no universally accepted definition, theory or model exists. These authors argue that public policy could be defined as having the following key elements and characteristics: a declaration of intent or actions (Ranney (1968:7), activity preceding the publication of a goal, (Hanekom, 1987:7) or an authoritative allocation through a political process (Easton,1953:129), or intention that government wants or plans to do or undertake with the inclusion and participation of society (Cloete and Wissink (2001:11), and Van der Waldt in Van Niekerk et al. 2001:87).

Public policy as defined by Dunn (181:46) is 'a long series of more or less related choices, including decisions not to act, made by governmental bodies and officials.' According to Hogwood and Gunn (1984:23-24), for a policy to be regarded as "public action" it must, to some extent, have been generated or at least processed within the framework of governmental procedures, influences and organisations. As argued by (Van der Waldt in Van Niekerk et al. 2001:87) policy also involves action as well as inaction. Policy as inaction, as further stated by Van der Waldt in Van Niekerk et al. (2001:87) is however much more difficult to pin down and analyse than policy as action, since it involves perceived behaviour and intent.

In conclusion, as alluded by Wissink et al. (1991:30-33) may be concurred that public policy includes decisions that give direction and content to government actions or inaction. Public policy can thus be regarded as government action that may be good or bad, adequate or inadequate, effective or ineffective, responsive or unresponsive (Cloete and Wissink, 2001:11) Policy can be seen as an overarching concept, whilst legislation or acts, regulations, and instructions can be seen as purpose-and process–specific derivatives of public policy (Van Niekerk, et al. 2001:90-98). It can be a formal articulation or expression of goals that

government intends to pursue with the community, and can include specific statutes, executive orders, regulations, directives, decrees or court orders (Van der Waldt in Van Niekerk et al. 2001:88). This will serve as a working or operational definition for purposes of this study.

As deliberated by De Coning and Cloete (2001:26) theories of policy-making that could be regarded as the absolute do not exist. They argue that all public policies are future orientated, usually aimed at the promotion of the general welfare of society rather than a societal group, and takes place within the framework of legally instituted public bodies, such as legislature and/or government departments.

There are namely two schools of thought on the policy-making process, namely the systems approach that shows policy as a system consisting of a few sub-systems, as well as the stage approach. The systems approach can be defined as any physical or conceptual entity composed of interrelated parts, and within the policy–making context it is an approach that applies systems thinking to policy issues (Van der Waldt in Van Niekerk et al. 2001:98). It is regarded as the most helpful in portraying policy processes on a general and simplistic level, and often identified major subsystems and processes, as described by Wissink, as a political sub process within the wider [policy process (Cloete & Wissink, 2001:39). Made up of few elements of policy inputs; policy conversion; policy outputs and policy feedback. On the other hand, the phases or stage model is used to breakdown the policy process into prescriptive stages. This model traces the making of policy as a series of interdependent phases from the inception of an idea or agenda, policy formulation, policy adoption, to the implementation and evaluation of the policy (Dunn, 1994:170; Van Niekerk, Van der Waldt and Jonker, 2001:90-93). Based on the phases or stage model, authors such as Quade (1989:51), Fox, Schwella and Wissink (1991:32), Anderson (1994:290), and De Coning and Sherwill (2004:4) propose the following policy-making stages:

- Deciding to decide (policy initiation, and/or agenda-setting);
- Deciding how to decide, or issue filtration;
- Issue definition;
- Forecasting;
- Setting objectives and priorities;
- Options analysis;
- Policy implementation;

- Monitoring, control, evaluation, review; and
- Policy maintenance, succession or termination.

The focus with policy initiation and the development of new policies within DSD since 1994 was placed on promoting equality in social assistance (Taylor Report, 2002:98). However, problems of access to grants and delivery of grants on time continue to exist. In some cases such as the "Grootboom" case, policy initiation was reactionary in nature and cases that appeared before the Constitutional Court were lost by the Agency and DSD as a result. (Government of the Republic of South Africa v Grootboom, 2000:11).Grants are also reactionary in the sense that they follow on actions taken by political pressure groups and advocacy and lobby groups such as Access and Black Sash (Mpedi, 2008:36). Due to the reactionary nature of policy processes, there is little evidence of thorough policy analysis, monitoring and evaluation in the design and initiation of new policies (Haasbroek, 2009: 85).

A national social security economic policy is also required to prevent the proliferation of laws and policies relating to social security from prejudicing the beneficiaries of social security, the economic interests of the Republic or its provinces or impeding on the implementation of such national social security economic policy. The effective provision of social security services required a uniform norms and standards, standardised delivery mechanisms and a national policy for the efficient, economic and effective use of the limited resources available to the State. (SASSA Act, 2004:5). Emphasis is on the interlinking of the five variables known as the 5-C protocols, namely the content, the nature of the institutional context, the commitment of those entrusted with carrying out the implementation, the administrative capacity, and the support of clients and coalitions whose interests are enhanced or threatened by the policy (Brynard, 2000:165).

To identify a few of such cases, one can highlight the amendment to the Regulations 11(1) of 2009, which stipulates that the Agency may accept an alternative proof of identity document for grant application. Recently, the Amendment Act 5 of 2010, which was initiated by DSD, was due to numerous challenges with the management of the Appeals process, as per presentation of 27 July 2010 to the Parliament Select Committee on the Amendment Bill 5 of 2010.

Due to the lack of active participation by SASSA in the above-mentioned policy-making processes, there have been numerous challenges in the implementation experienced by regions as highlighted in their annual reports of 2010/11. The following is a list of examples of problems encountered:

- There is non-standardisation in the implementation of the procedures by SASSA regions due to pressure from head office and the resultant implementation without Standard Operating Procedures. This in turn results in different application processes, which also lead to possible complaints and litigation by clients, particularly in the appeals and internal remedy processes. The use of varied methodologies in the implementation of policy because of different interpretations causes delays in the development and approval of regulations, such as the Amendment Act 10 of 2010. Standards are thus not clear and not effectively linked to the performance management system (SASSA, 2010/2011:22-23).

- Delays in the development and approval of regulations such as was the case with the amendment of the Social Assistance Act 10 of 2010, section 18, due to the lack of policy analysis conducted to assess the readiness of regions for implementation. This resulted in the accumulation of backlogs in applications not dealt with within the stipulated 90 days while awaiting finalisation of regulations by DSD. This damaged the image of the Agency and culminated in an increase in complaints and queries with the Presidential hotline (SASSA, 2010/2011:23).

- Poor planning, lack of cooperation and effective coordination between DSD and SASSA as well as among SASSA branches. Lack of clarity as to which unit is responsible and accountable for monitoring implementation of the said amendment Act 10, (2010), at head office level, between Customer Care and Disability Management units. There was also a challenge of silo mentality within SASSA, resulting in a duplication of functions and conflicting directives and messages to regions.

- Poor communication of new policy changes with the Amendment of Social Assistance Act, 10 of 2010, section 18 to all relevant stakeholders, in particular SASSA staff and beneficiaries, resulting in beneficiaries sending their appeals to the Ministry department directly. The purpose of developing policy relevant documents such as executive summaries, appendices, news releases, policy memoranda, and making oral presentations is to enhance prospects for the utilisation of knowledge and debate among stakeholders

situated at the phases of the policy-making process as they serve as multiple strategies of interactive communication (Dunn, 1991:21).

- Due to improper policy analysis conducted on previous policies, and improper monitoring and evaluation, there is often a lack of proper readiness for the assessment and implementation of any new policy by both DSD and SASSA (Coetzee & Wissink, 2000:181-182).Furthermore, inadequate costing of implementation and a lack of planning for resources required before any policy is approved result in the inability of SASSA regions to effectively implement policy. The focus here is disability management on addressing the unfavourable audit findings on disability assessment processes and the failure to conduct medical reviews. To this end, the quality assurance of medical assessments has been one of the major challenge and currently receiving more attention (SASSA,2011/12:16).Effective implementation of a policy can only be enhanced if the resources required to manage the implementation process are allocated, if the mechanisms for translation of policy into action are well specified, and if the responsibility and accountability of the DSD are clarified (Mokgoro, 1997:3).Common challenges experienced with policy-making within the public sector that need to be addressed by the departments included the need to ensure that the necessary technical, institutional and human resource capacity exists to ensure the sustainable implementation of policies. It is the key process in spelling out intentions and objectives, and cannot be viewed in isolation from other administrative processes such as financing, organising, human resource management and control (Van der Waldt in Van Niekerk et al, 2001:87).

  - As pointed out by researchers such as Mirugi-Mukundi (2009:32) even after the establishment of SASSA several problems continue to impede access to social assistance grants. The delivery of social grants has not been efficient in some parts of the country as a result of major administrative problems, poor levels of service delivery, lack of knowledge about grants, unilateral withdrawal of social grants, and corruption and fraud to mention but a few. Major administrative problems such as lack of documentation and poor conditions prevail at grants pay points. Certain weaknesses in the administration and payments occur, resulting in some persons not timeously receiving assistance. In its interim findings of interim management report Department of Social Development of 31 March 2014, the Auditor General found that a few problems contributing to acts of fraud and corruption by SASSA officials, as in the following still existed in the management and processing of social grants.

1. It was found that application forms were both prepared and verified by the same individual. There was no segregation of duties is an internal control mechanism that prevents a specific staff member from being the only individual involved in a value chain process. It assists in both the prevention and detection of fraud and error as it adds the element of certification and verification to the process. In some of the sampled cases, deviations made from established internal control procedures implemented by management relating to social assistance applications.

2. In some of the sampled cases, it was identified that grant applications were approved without required information; SASSA officials did not sign application forms as evidence of review; Applicants did not sign forms; Conflicting information was present in beneficiary files; Non-compliance to procurement controls were identified regarding social relief of distress. Internal control mechanisms are designed and implemented by management in response to specific risks (Department of Social Development, AG Interim Report 2014:13-14).

- Due to administrative delays some wait for months before they can access grants that they have applied for. This was challenged in *Vumazonka and others v MEC for Social Development and Welfare for Eastern Cape,* where the applicant applied for a disability grant and she was assured that the outcome of her application would be made in three months (Mirugi-Mukundi, 2009:33). When she received no response in three months she went to High Court to challenge the department to take a decision if she was eligible for a grant. The Court decided that the delay in dealing with her application was unreasonable. In the case of *Kebogile Lobisa Ngamole v South African Social Security Agency (SASSA)* the High Court decried the conduct of SASSA in respect to delays in processing applications for grants and noted that applicant's application should have been timeously communicated to avoid unreasonable delays. The Court ordered that SASSA communicate to the applicants the reasons for denial of their application within 15 days (Mirugi-Mukundi, 2009:33-34).

- Corrupt and unhelpful officials further add to incessant delays to the process, often discouraging the applicants from pursuing their claim for a grant as well as in the case of CSG. According to the SASSA (2013/14:10) annual report, the Agency's zero tolerance to fraud and corruption is yielding positive results. Out of a total of 3571 fraud cases

received, 3227 cases were investigated. The monetary value of finalised cases amounted to R22, 325,067. Twenty eight fraud and corruption cases were referred to Law enforcement agencies, with a total of 56 officials being implicated. Twenty one SASSA officials were dismissed, 24 suspended and two convicted (both are serving seven-year terms of imprisonment).

- The results of the UNICEF 2013 research shows that in 2011, 23.7 per cent (or 2.35 million) of eligible children were not receiving the CSG. The highest numbers of excluded children live in Gauteng, KwaZulu-Natal, the Western Cape, Eastern Cape and Limpopo provinces. However, the Western Cape and Gauteng were found to have the lowest proportion of the total eligible population of children accessing the CSG (or the highest rate of exclusion of eligible children) (UNICEF, 2013: 6). Many potential beneficiaries still do not know the correct procedures for application as also found by the study. They found that there is inadequate dissemination of information to communities about the qualifying requirements for social grants, and the conditions of eligibility (UNICEF, 2013:6). Illiteracy particularly in the rural areas further exacerbate the situation since some potential and deserving applicants do not read or write and therefore find it difficult to fill out the grant application forms (Mirugi-Mukundi, 2009:33).

- The inhospitable environment and long queues at a number of SASSA and related service points. The long distances between homes and service points, aggravated by inadequate integration of service sites into one-stop service centres and the ensuing need for multiple trips, result in application costs disproportionate to the means available to caregivers living in underserviced and remote areas (UNICEF, 2013:7). In the recent past, South Africa has been plagued by incessant service delivery protests. The situation is further aggravated by inefficient bureaucratic procedures, inadequately trained staff, poor management, serious delays and backlog in government departments. Service delivery improvement in all government sectors is therefore crucial for South Africa (Mirugi-Mukundi, 2009:33).

As advocated by Koma in Mirugi-Mukundi, (2009:33) alternative service delivery that promotes the identification, development and adoption by public departments and agencies of means of delivering public services other than through traditional, hierarchical bureaucracy has become very crucial. He further advocates for service delivery achievement and focuses attention on innovative delivery solutions at the customer end. Given the challenges facing the

roll out of social security and social assistance grants, it is hoped that the SASSA will live up to their motto of 'paying the right social grant, to the right person, at the right time and place. NJALO!' (Mirugi-Mukundi, 2009:33-34).

With all the above challenges experienced in recent policy-making processes between DSD and SASSA, and in view of the theory pertaining to public policy, it can be concluded that policy-making and policy implementation between DSD and SASSA remains a challenge, and hence the need for the development of a framework for effective policy implementation by all SASSA regions.

1.3   RESEARCH OBJECTIVES

The primary objective of this study is to:

Develop a policy-making framework for the effective implementation of Social Assistance by the Department of Social Development and the South African Social Security Agency.

The secondary objectives are:
- To conduct a literature survey on the existing theoretical framework and principles of public policy-making;
- To analyse the statutory and regulatory requirements and guidelines defining the functionality and relationship between DSD and SASSA in the implementation of the social assistance programme;
- To describe and determine the extent to which the current policy-making process between DSD and SASSA impacts on the implementation of social assistance programmes; and
- To propose key recommendations on how DSD and SASSA can improve on policy-making processes through which the social assistance programme implementation could be enhanced.

1.4   RESEARCH QUESTIONS

Based on the above research objectives, the following research questions have been formulated:

- What are the theories, principles and best practices associated with policy-making and implementation in the public service?
- What are the statutory and regulatory guidelines that define the functionality of DSD and SASSA, and the application of social assistance in ensuring effective, efficient and economic social grants implementation?
- What does the policy-making process between DSD and SASSA in relation to the social assistance implementation entail?
- How does the policy-making process between DSD and SASSA affect policy implementation?
- What recommendations can be made to facilitate and improve the policy-making processes that will enhance and accelerate implementation of social assistance?

1.5   CENTRAL THEORETICAL STATEMENTS

Policy-making can be regarded as the process by which government tries to translate its political vision into programmes and actions to deliver outcomes or results to the citizens, while policy analysis can be defined as the systematic analysis of the dimensions and variables influencing public policy, and is an indispensable part of policy management (Cloete & Wissink, 2000:3-4).

Public policy-making in South Africa involves "a more formal and technical process of devising the detail needed to draft bills, rules and regulations. Participation is often limited to senior public servants, task-teams specialists from certain fields, often universities, cabinet and portfolio committees" (Mokgoro, 1997:2).

The policy implementation processes, especially in South Africa, has had to face a number of challenges, thus in most cases, good formulated policies fail. Policy implementation is defined as the link between policy production and policy practice (Coetzee-Manning, 2005: 22). Cloete *et al* (2007: 183) further define policy implementation as encompassing those actions by public or private individuals that are directed at the achievement of objectives set forth in prior policy decisions.

The challenge with regard to policy implementation that has to be addressed is the need to ensure that the necessary technical, institutional and human resource capacity exists to ensure the sustainable implementation of these policies (Van der Waldt in Van Niekerk et al, 2001:87). Policy formulation and implementation between DSD and SASSA is beset with fragmentation, a lack of coordination and the necessary linkages between departments, interdependency among various departments and other government agencies such as the Departments of Home Affairs, and Health when policy issues are considered (Mokgoro, 1997:5).

1.6   RESEARCH METHODOLOGY

Effective and successful policy implementation depends on the successful development of a policy framework.

The Department of Social Development's aims are tightly linked to the Millennium Development Goals, hence the important key role in policy formulation and implementation for all the social security provision aimed at supporting and empowering poor and marginalised people to gain access to networks, resources and opportunities.

The shift of the social security function to the South African Social Security Agency (SASSA) on 1 April 2006 has also allowed the Department of Social Development to focus on providing social development services, and to consolidate its work on forming social capital.

SASSA 's role in policy formulation and implementation is to develop clear strategic objectives, business plans as well as programme and project plans that are aimed at implementing the policies as shall be determined by DSD from time to time. SASSA's responsibility is also to ensure that there are resources, organizational structure, internal operational policies, conducive organizational, environmental in policy formulation and implementation (Brynard, 2007: 5). The Department of Social Development is, however, still responsible for rendering corporate support services, and monitoring of the policy implementation to ensure effective and efficient provision of social assistance by SASSA

Research methodology as described by Schwandt, (2007:193) in Schurink, (2010:428) is the theory of how an inquiry should proceed. It refers to methods, techniques and procedures that are employed in the process of implementing the research design or research plan (Schurink, 2010:428. The study is primarily based on a data triangulation system where literature study has been undertaken to uncover theories and best practice associated with public policy and social security, the statutory and regulatory framework is analysed, and interviews are conducted to verify potential discrepancies between theory, best practice, statutory prescripts and current policy practices between SASSA and DSD.

1.6.1   Literature review

A literature review of both national and international sources, and research publications was conducted to look at the various theories and models used to analyse the policy-making process as well as policy implementation. Other sources of information such as institutional documents and text were qualitatively analysed by interpreting them in their totality and examining their meaning. Sources of information can be identified as mass media; judicial material; political documents such as Acts of parliament, political manifestos, and political speeches, as well as administrative and business documents of both National Government, DSD and SASSA (Corbetta, 2003:37). Other sources used were scholarly articles, academic journals, academic conference papers, and books.

Various databases have been consulted to ascertain the availability of material for the purpose of this research such as:

- Catalogue of theses, dissertations and research articles of South African Universities through use of website such as www. sabinet.co.za
- National Bureau of Economic Research, found at www.nber.org.
- Journals from various publications such as the Journal of Public Administration, African, African Journal of Public Affairs.
- Various universities repositories; and
- SASSA policy documents and Acts.

1.6.2 Empirical investigation

The research utilised a qualitative design based on empirical evidence. Qualitative research springs from the interpretive paradigm and an open relationship between theory and research (Corbetta, 2003:38). The qualitative methodology shares its philosophical foundation with the interpretive paradigm which supports the view that there are many truths and multiple realities. This type of paradigm focuses on the holistic perspective of the person and environment which is more congruent with social research (Weaver and Olson, 2006: 459-469.). Additionally, the interpretive paradigm is associated more with methodological approaches that provide an opportunity for the voice, concerns and practices of research participants to be heard (Cole, 2006: 26). Cole further argues that qualitative researchers are "more concerned about uncovering knowledge about how people feel and think in the circumstances in which they find themselves, than making judgements about whether those thoughts and feelings are valid" (Cole, 2006: 26).

As explained by Schurink & Auriacombe (2010:435) available literature on qualitative research has revealed that, it is not a new approach for social study. It also uses various approaches and methods of collecting, analysing and interpreting data, as well as writing qualitative reports. The second reason is the fact that qualitative research is constantly changing. Lastly they further maintain that according to Flick (2007:6) there is no uniform definition for qualitative research, as each approach has its own theoretical background, methodological principles and aims Schurink & Auriacombe (2010:435-436). A case study was then chosen as a unit of analysis. Bless et al. (2006:72), define a unit of analysis as a person, object or event to be studied from which data will be collected used for collecting

qualitative data, or an individual, a group , a work team or an organisational unit(Schrunik, 2010:429). In this study only one region was used within SASSA, namely Gauteng to evaluate the effectiveness of implementation of the policy/legislative changes, looking at their successes and failures, based on its proximity and accessibility to the researcher.

Qualitative data was collected through a case study design for evaluating the implementation of policies in Gauteng, and assessing implementation challenges. A case study, as explained by various authors such as Bailey, (1978:42) and Creswell (2007) in Schurink & Auriacombe (2010:437) can be defined as an exploration or in-depth study (usually longitudinal) of one or few cases, or of a 'bounded system' (bounded by time, a programme, event, process, institution, social group and /or place) in contrast to a more superficial cross- sectional study of a larger sample. Case studies are used when investigators have little control over events, and when the focus is on contemporary phenomena within a real-time context-especially when the boundaries between phenomenon and context are not clearly evident (Schurink & Auriacombe, 2010:437). According to Yin, (1994:1-2) and Simons,(2009:164-7) in Schurink & Auriacombe , 2010:437) qualitative case studies use documents, physical artefacts, documents analysis, interviews, critical incidents, focus groups, informal discussions, participant observation and direct observation, whereas quantitative case studies use mailed or online questionnaires/survey post as sources of evidence.

Information will be gathered by means of an empirical study through semi-structured interviews (Kvale, 1996:32). Semi-structured interviews are appropriate when a researcher is certain of what she/he wants to know but still wants to leave some room for exploration as the interview proceeds, used to corroborate data emerging from other data sources. Here, the researcher uses a list of questions, or an interview schedule, as a guide (Schurink & Auriacombe, 2010:477). To serve as an interview schedule, a questionnaire was developed to facilitate conducting semi-structured interviews. This guided the conversations and allowed respondents latitude to discuss what is of interest and importance to them (Bless & Higson-Smith, 2000).

1.6.3   Data collection method

Qualitative research is an inquiry process of understanding where a researcher develops a complex, holistic picture, analyses words, reports detailed views of information, and conducts the study in a natural setting (Creswell et.al,2007:257). Qualitative interviews therefore attempt to collect data by asking people questions pursuing the goal of the qualitative research by "seeing the world through the eyes of the interviewee's individuality" (Kvale, 1996:32).

A questionnaire was formulated based on theories and models analysed during the literature review. The questionnaire served as an interview schedule and covered matters pertaining to challenges and possible solutions to the question of how the policymaking process between DSD and SASSA can be improved. The relationship between DSD and SASSA was evaluated in terms of the social assistance statutory and regulatory guidelines that define the relationship, the functionality of DSD and SASSA, and the application of social assistance in ensuring effective, efficient and economic implementation of social grants.

1.6.4   Sampling

 As described by Niewenhuis (2007:79) sampling in qualitative research refers to the process used to select a portion of the population for study, and is generally based on non-probability and purposive sampling rather than probability or random sampling approaches. Purposive sampling of the population was used in an attempt to bring about representativeness in the selection of the population from the SASSA Gauteng region, managers from the region itself, district offices and local managers within the Grants Administration department. The target population is based on the fact that these people that are responsible for ensuring policy implementation of all the social security policies as shall have been promulgated by Parliament.

Purposive sampling is a non-random method of sampling where the researcher selects people with in-depth information for case study, and in which every member of the population has a known probability of being sampled was deemed appropriate (Mouton, 2001:132). Purposeful sampling means selecting participants according to preselected criteria relevant to a particular research question, and the sample size either depends on the resources and time available to the researcher (Niewenhuis, 2007:79). It is the most common sampling strategy in qualitative

research and seeks cases rich in information which can be studied in great deal about issues of central importance to the purpose of the research.

Respondents to the questionnaire included:

- SASS Gauteng regional grants administration senior managers and four managers whose responsibilities amongst others is to give strategic guidance and leadership and monitor implementation of policies by local level;

- Five district managers whose responsibilities amongst others is to provide guidance and support while monitoring implementation of policies by local level ; and

- 18 local office managers who are responsible for effective policy implementation and compliance to legislative prescripts and procedures at local level.

1.6.5   Data analysis

Josselton and Lieblich,(2003) in Schurink (2010: 431) describes data analysis as aimed at unravelling the meanings inherent in the material/data and present them in relation to the research question. Data analysis allows the researcher to generalise the findings from the sample population and draw conclusions, as well as formulate broader frameworks taking into account previous findings cited in the literature review Janses (2007:37). Janses (2007:37) in Maree et.al (2007:37) states that there are basically two strategies to data analysis preferred by researchers depending on whether they have used either the positivist approach or the interpretive approach. Researchers in the positivist paradigm prefer a deductive data analysis, and the interpretive (naturalistic) approach mostly prefer the inductive data analysis (Janses, 2007:37). All data obtained from the respondents were processed in order to facilitate the verification and validation of the findings (Bless & Higson-Smith, 2000: 108; Mouton, 2001:50).To ensure data validity the questionnaires were reviewed by experts such as my supervisor. Merriam (1998:206) in Jansen (2007:38) describes reliability to qualitative research a 'results which are consistent with the data collected'. The following techniques and strategies to ensure internal validity were then applied, whereby the member checks whereby the data findings were verified by other respondents than those originally involved, and peer examination where opinions of colleagues from DSD, Policy branch were solicited and other co-workers, lastly by involving participants in the research process .

1.7   LIMITATIONS AND DELIMITATION OF THE STUDY

The various ways and methods of gathering data have both advantages and disadvantages. Questionnaires also have the risk of being difficult to interpret, or to check whether the interviewee understands the questions, particularly in the case of self-administered questionnaires. To mitigate this challenge the researcher gave the questionnaire to a few of the disinterested peers at DSD policy department to analyse the questionnaire, using them as sounding board for ideas, on the questionnaires Schurink & Auriacombe (2010:444). They are also commonly known for low response rates; hence follow-ups have to be made, which becomes time consuming (Bless & Higson-Smith, 2000:112).

Another possible limitation of the study identified, was the fact that the population from which sampling was drawn is not within the control of the researcher and as such, sampling will be dependent on the managers' availability and commitment to this research (Bless & Higson-Smith, 2000:112). Some researchers such as in Schurink & Auriacombe (2010:439) suggest that one of the problems of case study research is that one cannot generalise. They suggest two ways to approach this limitation. The first being to provide descriptive data to allow the reader to evaluate the applicability of the data to other contexts, also strengthen their studies usefulness for other settings substantially by designing their studies in multiple cases, multiple informants and more than one method of collecting data (Schurink & Auriacombe,2010:442).

Using both questions and statements according to Schurink and Auriacombe, (2010:481) provide more flexibility in the design of items, and can make questionnaires more interesting. Advantages for administering questionnaires included the fact that questionnaires are easily standardised, not time consuming and not very costly to administer, and can be followed up. The questionnaire can be piloted to clarify questions (Bless & Higson-Smith, 2000:112). Disadvantages of using questionnaires depends on the type of questions asked, whether closed open ended questions, or closed open ended questions. Schurink and Auriacombe, (2010:482) Identifies closed - ended questions having several advantages over the open-ended questions they provide greater uniformity of responses, and can be processed more easily. On the contrary closed -ended questions require the researcher to have completed an extensive literature review to become very familiar with the issues pertaining to the research topic, as well as on the structuring of the responses. The other limitation include the scope of the study.

1.8   ETHICAL CONSIDERATIONS

According to Kvale (1996:153), and Struwig & Stead (2001:66), a consent form should be used to adhere to the code of moral guidelines to conduct research in a morally acceptable way. The main ethical considerations for conducting interviews will be respect for the participants' autonomy, voluntary participation and informed consent from interviewees by means of a signed consent form (both interviewer and interviewee), as well as maintaining confidentiality. It is necessary to verify that participants are of legal age to partake in the study through the identity document. They also need to be psychologically and mentally competent to give consent and they are at liberty to withdraw from the research at any time (Struwig and Stead, 2001:66).

In this study, the interviewer developed a consent form where interviewees were informed about the study, followed by a formal process of signing a consent letter as a written agreement to participate in the study (Kvale, 1996:153; and Struwig & Stead, 2001:66). The researcher also maintain trust, privacy, anonymity and confidentiality throughout the study, by ensuring that the interviewee did not have to identify themselves on the questionnaires. The establishment of a relationship of trust with the participants was based on the assumption that they were told what they are getting into, were well informed, and assured that nothing will be done to jeopardize the trust. The researcher also ensured that data is not falsified, but retained its integrity and will be prepared to reveal the research methods and techniques, and also acknowledge participants in the research process as required (Siedman, 2013:67).

1.9   CHAPTER OUTLINE

To operationalise the primary and secondary research objectives of this study, it is divided into six chapters.

In this, chapter, the scope of the study and the research methods used were identified. It also introduced the research problem and rationale of the study through the background, describing and providing a pre-analysis of the current end-to-end policy-making process between DSD and SASSA in policy implementation. The problem statement outlined the value of the research to the organisation and what the focus of the study is. The chapter also outlines the research objectives and research questions arising from the problem statement. The chapter finally provides a brief exposition of the research methodology that was followed to meet the research objectives.

In order to present the research topic in a way that permits a clear formulation of the problem and the hypothesis, some background information is always necessary. This was accomplished mainly by reading whatever has been published that appears relevant to the research topic, a process called a literature review (Bless & Higson-Smith, 2000:19-20). Chapter two will explore and review the literature at a national and international level on the prevailing theories, principles, policies and best practice pertaining to the public policy-making process, and implementation strategies within the Public Services. The literature review will refer and relate the study to the larger, on-going dialogue in the literature about the topic, providing leading theoretical arguments strongly supported and substantiated with literature references, and a synopsis of the South African context.

Chapter three seeks to identify the relevant legal and statutory prescripts; the areas applicable and other applicable matters to do with the policy framework within the South African Public Service with specific emphasis on the said research topic. The relevant literature and a theoretical review in relation to applicability of the study to all the references to the statutory framework were argued. The focus will be on the application of empirical findings and background information on the establishment of SASSA, what SASSA as an institution is, and why was it established.

In Chapter four an exploration of the current implementation of the social assistance policy in relation to the theories is outlined; assessing, providing and detailing problems and challenges pertaining to the implementation of policy in general since the establishment of SASSA, and focusing on Gauteng region as a case study.

Chapter five critically assesses DSD and SASSA's policy-making processes as well as the policy's implementation based on the empirical findings, and reflect results obtained from the interviews and administered questionnaires. It explores the ideal in resolving the implementation challenges and determines the ideal approach based on the literature review and the empirical research. It also provides the data analysis, interpretations and findings of the study and formulates the main conclusions based on the findings.

The summary of the scientific knowledge acquired through the study is the focus of the last chapter. Recommendations from the findings and analysis made are developed for policy-making, provided to DSD and SASSA Head Office to enable the two institutions to improve their approach for effective and efficient policy-making and implementation.

CHAPTER 2

THEORETICAL PERSPECTIVES AND CONCEPTS OF PUBLIC POLICY-MAKING

2.1   INTRODUCTION

As stated by Meth, (2008:10) transforming South Africa and addressing the unjust laws and policies, which governed the country for more than three decades have proven to be a challenging task for the African National Congress, led government. He maintains that the new government as led by the African National Congress had the major task of transforming a typically exclusive, unjust and irrational system into a new democratic dispensation with laws and policies that reflect the principles of democracy. Policy-making thus marks only the beginning of the transformation process. The formal adoption of policies is typically followed by policy implementation and policy analysis (Meth, 2008:10-12).

Since 1994, much effort has gone into reviewing old policies, and formulating new ones. Each department has done so in "...in different ways, using different methods people and style" (Jackson-Plaatjies, 2004:7). Jackson-Plaatjies, (2004) further maintains that credit needs to be given for this concerted effort. However, Mokgoro (1998:5) the first Director-General of the North West province and former professor of government during the period April 1994 -1999, and as a part time lecturer at the University of the Western Cape, finds that many of the new policy players did not have the skills nor the experience necessary to analyse or make policy (Mokgoro, 1998:5) states that:

> *'The gaps between multiple policy reform initiatives introduced since 1994 and implementation of these policies seems to be due to policy management capacity shortcomings in government. There has been a marked absence of competent and skilled policy practitioners to fulfil the challenging task of making the transition from apartheid to democracy* (Mokgoro, 1998:5).*''*

The establishment of South African Social Security Agency is an example of a poverty-alleviating programme, established as a response to a call from a new breed of policy practitioners who want to contribute to the effective and efficient formulation, implementation and analysis of policy within the new democratic dispensation of South Africa (Jackson-Plaatjies, 2004:5-7). The establishment of SASSA as the sole agent responsible for the administration of social security was therefore to ensure that efficient and affective services were rendered to beneficiaries. However, in the last decade the social security system and access to social assistance grants has faced many hurdles that have resulted in several committees being set up to address its deficiencies. Recommendations from these reports include a need to streamline access to social security and social assistance grant (Mirugi-Mukundi, 2009:33).

It is argued by Haasbroek (2009:1) that although government has made a concerted effort in the formulation of new laws and policies in the interests of all South Africans to redress the imbalances of the past, there remains a significant gap in the effective implementation and analysis of such policies.

According to Doyle (2002:164), challenges facing South Africa in a global environment has been to accommodate the unique problems and characteristics of change during the recent developments in policy analysis, policy formulation and management. The Taylor committee (2002: 47) also argued that in the context of globalisation, there is increasing pressure to promote social security markets in healthcare, retirement, education, welfare and livelihood services. Globalisation has contributed to the rapid and enormous changes in the socio-economic and political environments, accompanied by complexities in the economic environment which have led to the demand for improved public services (Taylor, 2002:45-47). Consequently, there are growing pressures for increased accountability, resulting in uncertainty about the way policy should be formulated and managed. Most governments are currently undecided on the role of the state in service delivery and this has inevitably led to the rethinking and reconstruction of policy-making paradigms (Doyle, 2002:164).

Nissanke and Thorbecke (2007:1), as cited by Thornhill (2007:15), maintain that globalisation is an important factor in combatting poverty, which can be linked to the Millennium Development Goals, as well as the National Development Plan. They argue that globalisation creates an environment conducive to accelerate economic growth and transmit knowledge.

Although globalisation is an accepted phenomenon in most states in the contemporary world, most states are influenced by their membership to international bodies and treaties such as the International Labour Organisation (ILO), United Nations (UN), World Health Organisation (WHO), World Bank (WB), and the International Social Security Association (ISSA) (Thornhill, 2007:15). South Africa, like other African states, is required to comply with the standards set by these supranational structures. Little attention is paid to the administrative effects of these requirements, such as formulation and implementation of policies, development of the required organisational structures, human resources, and adequate budgets to give effect to these international commitments (Thornhill, 2007:14).

The main reason why it is necessary to study public policy is that public function arises from a need to improve the processes and, ultimately, the outcomes of policy-making. Improving public service delivery requires a well-developed understanding of all political and administrative dynamics of policy-making by both politicians and managers (Cloete & Wissink, 2000:4).

In this chapter key concepts associated with policy, public policy, policy-making, policy processes, policy analysis, and policy management are conceptualised. The chapter further identifies and explores key success factors and variables for policy-making, implementation and evaluation. The chapter also considers the theoretical foundations for public policy and explores appropriate conceptual frameworks models and approaches of the policy cycle. The chapter concluded by considering limitations and challenges of policy implementation and the importance of stakeholder participation in policy formulation for effective well-structured policies. The chapter also explores the significance of monitoring and evaluation during policy implementation.

2.2 POLICY AND PUBLIC POLICY DEFINED

It is maintained by various scholars such as Cloete and De Coning (2011:5), that there seems to be no single universally accepted definition to policy. Various scholars of Public Administration have come up with different definitions. The focus of this section is to conceptualise the key constructs of this study, namely policy and public policy.

The concept "policy" has historically been defined in various ways by numerous authors and

scholars such as Dunn (1981:8) who defines the origin of the term "policy" as etymologically coming from Greek, Sanskrit and Latin. Authors such as Ranney (1968:7), Starling (1979:4), Hanekom (1987:8). Dye's (1987:9) definition of policy is that "whatever that government chooses to do or not to do" it is seen as "a purposive or goal-orientated action rather than random or chance behaviour." Hanekom (1987:7) argue that policy is a "formally articulated goal that the legislator intends pursuing", a "desired course of action and interaction", which is to serve as a guideline in the allocation of resources necessary to realise societal goals and objections, decided upon by the legislator and made known either in writing or verbally. He argues that in the public sector, policies are the output (end-result) of the political process and serve as initiators of executive action.

 Cloete and Wissink (2001:11), and Van Niekerk, et al. (2001:87) argue that policy could be defined as having the following characteristics: a declaration of intent or actions, activity preceding the publication of a goal, or an authoritative allocation through a political process, or intention that government wants or plans to do or undertake with the inclusion and participation of society.Policy is thus indicative of a goal, a specific purpose, and a programme of action that has been decided upon as defined by Cloete & Wissink, (2000:11); Doyle, (2002:165).

Cloete's (1998:5) definition of policy as "a government statement of intent" and that of De Coning (2000:3) of "programme of action", effect to selected normative and empirical goals to address perceived issues, problems and needs in society in a specific way, and therefore policy is aimed at achieving some desired changes and transformation in that society or community. However, Van der Waldt (2001:87) maintains that policy can also involve taking some "action as well as inaction', where policy makers my fail to act, or take a deliberate decision not to act. Birkland (2001:21) on the other hand defines public policy-making as referring to governmental actions and the intentions that determine those actions. It is also considered the outcome of government efforts to determine who gets what.

From these definitions of policy, it can be concluded that policy is the basic principles or actions pursued by government in attaining specific goals such as a formal policy statement in the form of a White Paper, a declaration of a course of action taken by government to achieve societal aims and objectives (Van der Waldt, 2001:87-89). Howlett and Ramesh (2003; 5-18) in Cloete and De Coning (2007:4) concludes that the complex nature of policy as a goal-

oriented activity to improve future conditions very well. Policy specifies the basic principles to be pursued in attaining specific goals, it interprets the values of society and is usually embodied in the management of pertinent projects and programmes.

Policies, according to Mokhaba (2005:87), can be differentiated based on their scope. Van der Waldt (2001:91-92) in Van Niekerk, et al. (2001) argue that public policies can be divided in three broad types of policies as follows:

- domestic or national policies, which can further be differentiated between regulatory, distributive and redistributive;
- foreign policy, which are closely linked to the nation's survival and the quality of its way of life; and
- defense policies, deal with military or national security matters.

It is against the above background that it can be concluded that the comprehensive operational definition for purposes of this study that will be adopted as follows:
'*A public sector statement of intent, including sometimes a more detailed program of action, to give effect to selected normative and empirical goals in order to improve or resolve perceived problems and needs in society in a specific way, thereby achieving desired changes in that society..'* (De Coning & Wissink, 2011:7).

For a policy to be regarded as "public" it is argued by Cloete and Wissink (2000:12) that it must, to some degree, have been generated or at least be processed, within the framework of governmental procedures, influences and organisations. As defined by Dunn (1981:46), public policy is "a long series of more or less related choices, including decision to act or not to act, made by governmental bodies and officials". It generally involves a series of more specific decisions, and is generated by interactions among many participants (Dunn, 1981:46). Public policy can also be defined as a complex pattern of interdependent collective choices, including decisions not to act, often made by government bodies and officials (Dunn, 1994:70). et. al. (1996:311) and Doyle (2002:166) also agree with Dunn's definition as they are of the opinion that public policy is the product of choices made by government, and strategic management of resources towards achieving goals of the decisions made within set parameters. It is further defined as a 'formally articulated goal that the legislator intends pursuing with society or with a societal group"(Hanekom, 1987:7). Mitchell, (2007:65) argues on the need to make public

policy public by articulating that when policy advocates seek to induce the government to make policy (by taking action or by refusing to do so), proponents of the new policy will claim that the government does so in the interest of the public.

Hogwood and Gunn (1984:23-24) add a particular dimension to public policy by defining it as: *"...a series of related decisions to which many circumstances and personal group and organisational influences have contributed. The policy-making process involves many sub processes and may extend over a considerate period. The aims and purposes underlying a policy are usually identifiable at a relatively early stage in the process but these may change over time and, in some cases may be defined retrospectively. The outcome of policies requires to be studied and, where appropriate, compared and contrasted with the policy-maker's intentions....policy requires an understanding of behaviour, especially behaviour involving interaction within and among organisational relationships".*

According to Cloete and Wissink (2000:15), policy worldwide can be examined based on levels. The levels of policy can be approached in two ways: The first is related to geographical levels; for example, local or district policy, provincial policy (an intermediate level) and regional policy between national units e.g. the South African level and international levels. The second relates to levels of policy within the private sector or organisations (e.g. board of director's policies, executive policies, etc.) Cloete and Wissink (2000:15). Hanekom (1991:10) argues that it is important to acknowledge the multi-dimensional nature of policy levels and proposes four public policy levels as follows:

- Political party policy, governmental or cabinet policy - which is a broad directive policy and is made by the legislative authority;
- Executive policy which is a broader directive policy spelled out in more concrete terms by decisions relating to, among other things, organising, financing and personnel and often made by the executive authority;
- Departmental and administrative policy - which deals with more practical steps to execute a policy and is generally made by director-general; and
- Operational policy where routine decisions are made in the day-to-day activities of a division, generally made by middle management and supervisors (Botes et al., 1992:311; Van der Waldt & Du Toit, 1997:209; Cloete, 1998:5; Doyle, 2002:166; Chelechele, 010:47).

2.2.1 Key features of public policy

Various authors such as Dye (1987), Fox et al. (1991), and Van der Waldt (2001) have come to agree that key features and elements of public policy can be identified as follows:

- Public policy is policy developed by government role players, governmental organisations and stakeholders, such as interest and lobby groups, can influence formation and development of policy (Fox et al, 1991:27-28).

- It differs from the policy of private sector organisations in the sense that it is authoritative since it can be enforced through instruments of coercion- as is the case e.g., with the banning of public smoking. For policy to be authoritative, it must be approved and promulgated by an institution that is authorised by statute or the constitution (Van Niekerk, Van der Waldt & Jonker, 2001:90-910).

- It involves participation of government institutions and fragmented structures of semi-independent groups and organisations through complex systems of formal and informal, delegation of responsibility and control (Van Niekerk, Van der Waldt & Jonker, 2001:90-910).

- Policy generally consists of a series of decisions taken jointly by politicians and /or officials rather than an individual decisions. It is interlinked with administration, determined by politicians and implemented by officials. It also involves the interplay of many individuals and organisations and the working out of complex relationships between them.

- Policy has a cyclical nature and arises from a process over time. This is necessary when there are changes in political power, shifts in the economy and the nature of the problem, as well as inconsistences and contradictions in implementation.

- It involves action and that what government actually does, such as providing poverty alleviation services, as well as inaction when there is nothing done or choices made to address certain challenges, as in free education at tertiary. A broadly defined statement of interactions specifies general procedures and guidelines for authorisation and action Fox (1991:30-31).

- Polices have outcomes that may or may not have been foreseen as unintended consequences. Careful planning and techniques such as scenario planning and scenario building, environmental scanning could further advance policy-making (Dye, 1987:324; Fox et al. 1991: 27-28).

This concludes the conceptualisation of policy and public policy. In the next section, the policy-making process will be defined, and the process models and various phases analysed in detail.

2.3   THE POLICY- MAKING PROCESS

As indicated in introduction, public policy as postulated by Van der Waldt (2001:93) can be regarded as a series of decisions mostly made by public officials, or legislators as a result of the political process. A policy-making process is further postulated as the activity preceding the publication of a goal, and refers to the actions, inclusive of numerous thought processes that precede a policy statement. It is therefore the formal articulation, statement or publication of a goal that the government intends to pursue with the community (Van der Waldt, 2001:93).

2.3.1   Defining the policy-making process

Policy-making process is regarded by Fox(1991:30-31) as a complex set of events that determines what actions government will take , and what effects those actions will have on social conditions , how those actions can be changed or altered if they produce undesirable outcomes. An example pertaining to DSD and SASSA is the implementation of the new SASSA visa card payment card, which has resulted in an unintended consequences of allowing automatic electronic deductions from the customers' social grants, to the extent of experiencing illegal loans and airtimes deductions, resulting in customers getting lesser social grants, and in some instances not getting any grants at all. Dunn (1994:5) further postulates policy-making process as a complex process and in no way a set of neat steps. It is more of a multiplicity of different internal and external forces and approaches at play at any given time. It is in fact the link between political and administrative process and is the enabling function of an administrative process, as a result without a policy regarding a particular situation, nothing will or can be done (Dunn, 1994:29). Dunn (1994:29) also defines policy-making as "a political process incorporating interdependent phases of policy-making, policy agenda setting, policy formulation, policy adoption, and policy implementation and policy assessment'.

According to Wissink (2000:286) the policy process is not necessarily separated, as any particular process as policy may be placed at one or more stages simultaneously, or may move back and forth between stages instead of progressing through the stages in a sequential manner. The said existing policy may create other or new policies Doyle (2002:166). In this instance, government may adopt a particular policy and initiate its implementation even if the policy process is not necessarily complete as was the case with the Child Support Grant in 1998. Wissink (2000: 286;) and Doyle, (2002:166) further maintain that no policy is ever complete as it is a changing and continuous process as researchers and analysts can intervene at any given stage of the policy process.

Wissink (2000:286-287), Doyle (2002:166-1680), and Chelechele (2010:45) further maintain that existing policy may create other or new policies. This was the case with the Child Support Grant which, at its introduction in 1998 had an age limit at 7 years, was later extended to 14years and later extended to 18 years through introduction of amendments to the original legislation. It may be deduced that no policy is ever complete as circumstances change and analyst can intervene at any given stage of the policy process. As argued further by numerous authors such as Cloete and Wissink (200:3), Cloete (2003:314) and Brynard (2007:34), policy-making entails many interactions, campaigns, analyses and debates and monitoring by politicians, officials, as well as interest groups outside government. It also entails actions such as identification of issues by officials and/or political leaders, researching and analysing of information processed and interpreted, followed by formulating positions, debated, and lastly lessons of experience utilised to improve the quality of government (Cloete & Wissink, 2000:3-4; Brynard, 2007:34).

According to Birkland (1982:4), the public policy-making process is also referred to as stages of public policy development. The need for a specific policy development arises because of the existence of a specific problem or need. The acknowledgement of the existing problem should be referred to as a pre-policy stage, which includes three main elements. Birkland (1982:4-5) provide three elements of an "ideal" pre-policy stage that is :

- Problem or issue definition (and effect of surrounding environments);
- Policy demands; and
- Agenda formation.

This pre-policy stage recognises the existence of a problem and commences with the

preparations for adopting a practical approach to the situation (Birkland, 1982:4). Although the public policy process may be provided through several stages, as indicated by the pre-policy and policy stages, it is always important to bear in mind that policy making is naturally intricate and complex (Phago, 2010:87-88).

The following criteria, as stated by Brynard (2003:334), are seen as those that mark a sound policy development process and contribute to the drafting of effective and high quality policy documents. Those include:

- Early confirmation about the need and purpose of the policy and what it should achieve.

- Clarity about the authority of the final document (e.g. Governmental, Departmental or Divisional) and thus the level at which authority should be given to initiate the policy development process.

- Identification of the appropriate person(s) to lead the policy development process and the resources, as well as the staff and skills training required in undertaking the process effectively within the required period.

- Allocation of adequate resources to allow effective policy development, consultation, implementation and evaluation.

- Consistency related to higher order -of-government policies.

- Early identification and effective involvement of key external stakeholders (e.g. consumers, professionals, and industrial organisations).

- A process, which allows for constructive debate on policy direction within the department and key external stakeholders.

- Consideration and testing of relevant options, supported by qualitative and quantitative data.

Lack of citizen participation in policy formulation as postulated by Brynard (2003:335) is often ascribed to the lack of commitment to the policy-making process. Prospective participants often fail to see the linkage between community service and the dynamics of the public policy-making process. The so-called service learning process could be viewed as a partial solution to this challenge. Citizenship and its interaction with policy-making are therefore critical for addressing real needs (Brynard, 2003:335).

2.3.2 The significance of the policy-making environment

According to Anderson, (1994:47) there is the general and/or macro-environment of public policy which is the broader environment outside the public policy process. The environment within which public policy exits is often influenced and consists of demographic variables such as population, political, culture, social structure, class system and the economic system (Anderson,1994:47). Before policy makers and implementers can work on any further policies, it becomes crucial to firstly determine what the intentions of government are (Doyle, 2002:17). The following section will attempt to describe these variables and their importance in the public policy process.

2.3.2.1   Political environment

According to Fox et al., (1991: 32) a political system is more than just the government and the legislature. It includes also the social, economic, cultural and technological environment with which it continuously interacts. The community's political culture is usually also a factor in the political environment. The political environment as maintained by Doyle, (2002:17).is seen as containing complex variables that are difficult to regulate and it is for this reason that it is the most unpredictable environment and therefore the most difficult to scan and assess. This entails the widely held views, values, beliefs and attitudes on what government should do how they should do it and the relationship between citizens and the government.

Fox et al. (1991:19) argues that the basis of a political environment is formed by political ideas, philosophy and especial political ideology. Factors such as the system of government, the Constitution and the Bill of Rights are seen as being able to influence the nature, the formulation and implementation of policies. As argued further by both Van der Waldt & Du Toit (1997:104) and Doyle (2002:17) it can be concluded that values, beliefs and attitudes inform, guide, constrain the actions of policy makers and, as well as delay policy adopted by government. Values such as same sex marriages, individual freedom, quality, democracy and humanising should clearly have significance in the policy process and these have since found their way into the policy process through the Constitution and the Bill of Rights, Doyle (2002:17) .These general aspects as maintained by Fox et al., (1991:19) often find concrete form in terms of political institutions, which include international such as the United Nations

(UN), International Labour Organisation(ILO) and national power institutions such as the Organisation of African Unity(OAU), (Thornhill, 2007:14).

2.3.2.2   Social environment

Fox et al. (1991:20) regard the social environment as patterns of interaction or interaction of social roles, such as public institutions within a particular community or with one culture (Fox et al., 1991:20). Social policies do not always have implications for only one factor of life. In most cases, they are often multifaceted and have implications for a number of social aspects that are interlaced such as unemployment, which could lead to an increase crime such as the abuse of women and children, house breaking, etc (Fox et al.1991:20). According to Thornhill (1995:108), the social environment involves formulating goals and objectives for future action in respect of social institutions and resources. Hence, a social policy is formulated to meet the needs of society, such as education policies to deal with illiteracy and social assistance policy to deal with high levels of poverty and unemployment.

Anderson (1994:50) argues that public policies often arise from conflicts and gaps of people with different needs, values and desires. He argues that the level of economic development of a country imposes limits on what the government can do in providing goods and services to its citizen's limited resources, which also directly affects what the government can provide in the way of welfare programmes. A good example is the stipulation in the Constitution, Section 27(a), where all people have the right to have access to water, health, housing and social security, provided the government has enough resources to cater for such. Social changes and conflict can also stimulate the demand for government action (Constitution, 1996:31). The above has been evident in the recent numerous incidents of shortages of ARV's in some provincial hospitals and clinics for people with HIV/AIDS, challenges with shortage of books at schools in some provinces such as Limpopo and Eastern Cape as was reported in numerous media and TV news.

The institutional environment as maintained by (Brynard, 2009:563) is a factor in the success of policy implementation that is not easy to, but that plays an important role. As public policy is legitimised by government, and only government policies apply to all members of society, the structure of governmental institutions have an important bearing on policy results (Cloete & De Coning, 2007:41). The proponents of the institutional model argue that changing merely

the structure of government institutions can bring about dramatic changes to policy. The above became evident with the establishment of SASSA, which after its establishment was able to render more improved social security services.

2.3.2.3 Economic environment

As stated by Fox et al. (1991:19) the economic environment is the way in which society creates and distributes wealth and allocates scarce resources to competing groups and individuals. Anderson (1994:50) also postulates that it is often difficult to separate the social and economic environments as they both influence political activities such as policy-making.

An example is the impact of the European economic recession, which was also experienced by South Africa. This resulted in great job losses and increase in unemployment, especially among youth, as well as high drug related crimes. Consequently, there has been a significant increase in the number of young people initiating and participating in violent service delivery protests often spurred on by frustration and desperation. The recent example is the article in City Press on "An Angry Nation rages over inequality", about the Zandspruit rampage and riots in Johannesburg, and Philippi residents in Cape Town (City Press, 2011-07-03).

2.3.2.4 Cultural environment

To a significant extent, the cultural environment can be associated with the social environment (Van Niekerk, 2002:99). It includes aspects such as religion, language, traditions, heritage and legends. In a heterogeneous country such as South Africa, with 11 official languages, the importance of the cultural environment cannot be underestimated. Changes in the cultural environment can often mean a change in the social environment as well (Van der Waldt & Du Toit, 1997:118; Van Niekerk, 2002:99 in Van der Waldt et al., 2002:97).

2.3.2.5 Technological environment

As identified in the National Development Plan (2030:76) developments in science and technology are fundamentally altering the way people live, connect, communicate and transact, with profound effects on economic growth and development. Science and technology are key to equitable economic growth, because technological and scientific revolutions

underpin economic advances, improvements in health systems, education and infrastructure (National Development Plan, 2030:76). It is argued by Fox et al., (1991:20) that an encouragement on the interaction between the technological environment and public organisations should be of utmost importance so as to cope with any changing environment. They impress upon the importance of organisations to learn to monitor technological change patterns on other policy areas, as well as explore the linkage between technology and public policy as one of the areas that requires unique skills and understanding the nature of technology required, trends, natural and social impact of the use of technology. In Africa, as stated by Roux, (2002) because of a poor information and communication technology infrastructure, combined with weak policy and regulatory frameworks and limited human resources, there is inadequate access to affordable telephones, broadcasting, computers and the use of the internet (Roux,2002:20). Within a shrinking global environment, technology has become one of the primary focus areas when engaging government in communicating policy-making and implementation (Van Niekerk, 2002:99). This had been evident with SASSA in the introduction of the new SASSA visa payment card, and with the re-registration of the beneficiary biometrics. The economic revolution has in part been made possible by advances in information and communications technology (ICT). The field of ICT has been one of the fastest growing environments in the international arena, hence no development can commence without taking the latest technology into consideration (Van Niekerk, et al. 2001:99-100).

From looking at the significance of the policy-making environment as identified above it can be concluded that the general environment has a wide–ranging significance and impact on public-policy making. The other issue of significance will be how public organisations and policy makers address the various environmental trends and changes during the policy-making process. In the following section the various phases in policy-making process as postulated by various scholars will be outlined detailing their different characteristics and commonalities.

2.3.3   Phases in the policy-making process

As maintained by Fox et al., (1991:31) the process of policy-making can be described as an extremely complex and disorderly process with no apparent beginning and end, and transgress boundaries which are often uncertain. It should be noted that the actual policy processes will vary depending on the scope and complexity of the issue. African authors such as Mutahaba et al. (1993:49) have put forward related useful process model, which follows a macro approach and places significant emphasis on institutional factors. Various authors also acknowledge the complexities of policy processes, they successfully simplify the stages of the policy process to three dimensions: those of policy formulation, policy implementation, monitoring and evaluation (Mutahaba et al., 1993: 49; Chelechele, 2010:47).

Various public policy theorists as identified by Kuye et.al (2002:93) have overtime devised various preservations the policy analytic process. Hogwood and Gunn (1984:4) analyse the policy process in terms of a number of stages through which any policy issue may pass through. Dunn in his edition of (2008:4) expanded his policy-process emphasise the intergraded nature of policy process (Cloete & De Coning, 2007:44). Authors such as Bardach, 2009) in (Cloete & De Coning, 2007:44) developed an eight approach to what he calls more effective problem solving. Lastly as argued by Cloete & De Coning, (2007:44) Wissink's stage model views the policy-making process as consisting of activities which are often present, but ignores the contemporary models. The generic process model as propagated by De Coning (1994) provides a more comprehensive set of phases and proposes specific requirements and key issues to be addressed during each phase De Coning, (2000:48).

The following table is a comparison of the various proposed policy-making phases and key considerations as argued by different authors.

Table 2.1 Proposed policy-making phases and key commonalities

Phases proposed and key considerations	Characteristics/Author(s)	Commonalities (generic phases)
Phase 1: **Policy problem/Policy issue**	It is the initiation and awareness of a public problem or policy problem through civic, political or stakeholders (Fox et al.1991:33). Often-vigorous mobilisation and advocacy for support to persuade the policy makers to do something or to change the status quo in their favour (Hanekom, 1991:52). The policy-making process normally starts when one or more stakeholders in society who feel the actions of the government are ineffective or detrimental, e.g. Black Sash advocating for the refugees to qualify for grant (Meyer & Cloete, 2000:97), identify a policy issue or problem. Mandate and legitimacy Consultation with key players. Preliminary objective setting and consideration of the rules of the game (De Coning, 2000:48).	It is the initiation stage of identification of a public problem or policy problem. Civic communities, political and other stakeholders, do often also makes and identification of a problem.
Phase 2:	The issues are placed on the	It is the setting of objectives

Agenda-setting	policy agenda and priorities determined in the agenda setting (Hanekom, 1991:52).	and agenda, by placing the issue on the policy agenda to determining priorities.
	Elected and appointed officials place problems on the public agenda (Dunn, 1994:17).	Analysis of policy options, consequences and possible options.
	Problem identification is dependent on the availability of information on the social needs that move people to get the attention of the policy makers, who in turn, will decide to act or not to act (Fox et al.,1991:33)	Setting of value judgments with emphasis on importance of public participation.
	Careful consideration needs to be given to the most appropriate model for stakeholder input given the issue under consideration and requirements for a transparent policy process. Sufficient time is required for effective consultation (Smyth, 1998: 9).	
	Agreement on policy process, objective and agenda setting, as well as institutional arrangements and the development of policy project planning (De Coning,	

	2000:48).	
Phase 3: **Policy formulation/design**	Policy analysis after clearly identifying the problem to determine goals, objectives and alternative policy options (Hanekom, 1991:52).	During this phase, there is pertinent and acceptable proposed course of action to be developed to deal with the problem/s identified.
	Identification of alternative forms of action to solve the problem, and selecting an alternative or combination of alternatives from amongst those that have been selected as viable options (Fox et al., 1991:33).	It involves identification of clear goals and objectives for new policy options and alternative policies in order to select the best option available.
	Identification of consequences and predictions, setting and appointment for research policy options/ or technical teams. Preparation of various drafts and proposals (Mutahaba et al., 1993: 49).	At this stage, various alternatives to address the problem are assessed and analysed in terms of their cost benefit, implications and feasibility.
	Officials formulate alternative policies to deal with a problem, and these assume the form of executive orders, court decisions and legislative acts (Dunn, 1994:16).	
	Identification of clear goals and objectives for new policy	

	options and the identification of alternative policies and recommendations (Roux, 2000:115). It involves the choosing of alternatives using certain criteria such as, effectiveness, efficiency, adequacy, equity, and responsiveness (Van Der Waldt, 2001:97).	
Phase 4: **Policy Adoption/ policy Decision/authorisation**	This is the release of a detailed policy document that guides planning, service delivery and funding at departmental level. This could be released in conjunction with a short overview document to communicate the impact of the final policy to the wider community (Hanekom, 1991:52). Adoption of policy alternative with the support of a legislative majority and consensus among agency directors (Dunn, 1994:16). It involves consultation of stakeholders, debriefing and negotiation by the mandated officials to take a decision on the identified policy option (De	A decision-making processes with consultation of all stakeholders and public participation. Selecting the best alternative or combination of alternatives from viable options, in view of affordability, and ability to implement. Policy option /proposal often made in consultation with other stakeholders and publicised through the media.

	Coning, 2000:48). Development of a pertinent and acceptable proposed course of action to deal with a problem. Identification of various alternatives to address specific problem in terms of benefits, cost implications and feasibility (Van Niekerk, Van der Waldt & Jonker, 2001:95).	
Phase 5: **Policy dialogue**	Making decisions known through media, formally or informally (Fox et al., 1991:33). Developmental communication strategy, having dialogue, and ensuring feedback to stakeholders on implementation actions (De Coning, 2000:48).	Communication and feedback to all stakeholders on the identified policy and implementation plans to allow dialogue.
Phase 6: **Policy Implementation/ execution**	To undertake an environmental scan; establish a baseline of information against which to measure performance and effectiveness of the final policy; identify the scope and impact of issues and test the feasibility of options (Hanekom, 1991:52). Designing and initiating a	Emphasis is on ensuring that there are plans in place for effective implementation e. g, resources such as budgets and human resources. Involvement and

	programme of action. This involves resources being made available, identifying who should be involved and how implementation can be enforced (Fox et al., 1991:33). The effective implementation of a policy can be enhanced if the resources required to manage the implementation process are allocated; mechanisms for translation of policy into action are well specified and responsibilities and accountabilities of the department are clarified (Mutahaba et al., 1993:49). It is carried out by administrative units which mobilise human resources to comply with policy (Dunn, 1994:16). Successful implementation of the policy requires other critical elements like citizens' expectations, participation, and continual political engagement. Civic engagement in public policy making can take on different shapes and forms	participation of affected communities and stakeholders.

	(Smyth, 1998:9).	
	Development of implementation options by ensuring identified prioritized availability of resources and budgeting for effective implementation (Cloete (2000: 211-233).	
	It is the development of strategic and business plans, translation of operational policy into programmes and projects, as well as management and monitoring of implementation. The involvement of both internal and external stakeholders to input to the project team (De Coning, 2000:48).	

Source: Kuye et.al (2002:93- 94).

As noted by Fox et al., (1991:31) no policy can be implemented without having been taken through the authorisation process, from which it can only become significant for purposes of public administration application only after legislation has been approved. The comparison of the various proposed policy-making phases and key considerations has also highlighted numerous similarities in the various phases. The above comparison of the various models as propagated by numerous authors have areas of similarities, and the more contemporary models such as Dunn(2008:56) and Bardach (2009) have extended the stages to include more stages such as policy outcomes, monitoring as well policy performance. Although these models provide the necessary steps and functional areas to be taken into account, their

effective implementation largely depends on the political and governance context which determines the institutional environment within which policy process operates (Cloete & De Coning, 2007:51).

The public policy as identified in the previous section is seen as a participatory process, involving a range of actors in public, or private institutions with special interests, agencies and organisations. The following section examines the numerous actors and stakeholders involved in the policy-making process their involvement and participation.

2.4 KEY ROLE-PLAYERS IN PUBLIC POLICY-MAKING

As stated by Cloete (1998: 5) and Mokhaba (2005:91), many individuals and groups take part in policy formulation. Some are more important participants than others are. By nature, policy formulation is a political activity; hence, politicians play both leading and prominent roles in policy formulation. They argue that politicians are not good at formulating solutions to public problems as they are at identifying problems and presenting lofty ambitions for society to solve. Because of the fact that policies affect a whole spectrum of the community, people from different occupations should be involved and consulted to contribute to policy formulation.

The following institutions and factors influence policy formulation and policy-making:

- Public bureaucracy;
- Think-tanks;
- Interest and pressure groups;
- Members of legislative bodies;
- Needs and expectations of the population; and
- Political parties (Cloete, 1998:5; Mokhaba, 2005:91).

2.4.1 The bureaucracy

In the public policy formulation process, as postulated by Mitchell (2007:10) there are institutional as well as non-institutional actors. Public policies are rarely self-executing, and in modern political systems, once policy has been legislated for, implementation is formally carried out through the complex array of administrative agencies termed the bureaucracy.

However, there are also secondary role players involved in the process. Mitchell (2007:10) describes the implementation process as a "strategic interaction amongst numerous special interests all pursuing their own goals, which might not be compatible with the policy mandate" given to the bureaucracy. Thus, although the bureaucracy is the primary implementer of public policy, there are a great number of other political role players in the implementation process. These include, but are not restricted to:

- Public officials who play a major role, and have to "walk the rope" between politics and professionalism, and whose actions can be decisive in the process of policy -making;

- The legislature, which generally assumes a monitoring role; and

- The judiciary, which can provide clarity in the interpretation of statutes, and pressure and interest groups, which deserve more attention than they have hitherto been given in the process in South Africa. Expertise is essential in policy formulation as the success or lack thereof, depends to some degree on its technical characteristics, as well as its political acceptability (Michell, 2007:7).

2.4.2   Think-tanks

Authors such as Heymans (1996) and Stone (1996) state that think-tanks, which are somewhat removed from government, can contribute greatly to the quality of policy-making. Think–tank institutions usually consist of professional policy analysts and policy formulators, who usually work on more creative and innovative ideas than public institutions. These institutions could be semi-government such as Institute for Democracy in South Africa (IDASA) and universities. Many think-tanks are often independent from government. However, as identified by authors such as Heymans, (1996:45) and Stone (1997:9), it may be contend that these think-tanks have an inherent weakness in that the experts and administrators who appoint them, and have an unfortunate tendency to tell their clients what they want to hear can easily influence them.

2.4.3   Interest and pressure groups

According to Cloete (1998:147), an interest group becomes a pressure group when it starts playing a political role, when it takes action to pressure government into policy decisions that will favour the particular group of people it represents. Interest groups such as Black Sash, Lawyers for Human Rights, and the Child Law Clinic, also have influence on policy

formulation. These groups do approach government from time to time on policy matters, either to propose a new policy or an amendment of an existing policy. An example of this is the implementation of acceptance of alternative identification documents such as affidavits or application receipts from the Department of Home Affairs in 2009, which was advocated by Alliance for Children's Entitlement to Social Security (ACESS). The other was the scrapping of an unfavourable policy, which was recently challenged by the Eastern Cape Child Law Clinic on the suspension of expired foster care grants. These groups participate by identifying public problems and applying pressure on government to attend to these problems, and providing solutions where possible (Peters, 1996:57; Du Toit, 2002: 61).

2.4.4   Members of legislative bodies

Members of legislative bodies, including parliamentarians, have interest in reform rather than in incremental changes. According to Peters (1996:57), parliamentarians use policy formulation and advocacy as means of furthering their careers by adopting as national policy instead of emphasising constituency services (Peters, 1996:57-58). The role of parliamentary portfolio committees and the Joint Standing Committees of Parliament is also of significance Kuye et.al (2002:71).

2.4.5   General population

In most instances, the public becomes aware of a need. This is followed by the public or an interest group making representations to government for the need to be satisfied, as was the case with the age equalisation of both men and women to 60 years for application of an old age grants. Numerous authors such as Cloete (1998:139) and Mokhaba (2005:85) have maintained that public participation in policy-making may take place in different places and forms. The interaction may take place at meetings of the public and political office-bearers, meetings between representatives of interest groups and political office-bearers, public meetings and statements during elections, media campaigns. It is essential for members of the public interested in or affected by a proposed policy to participate in policy-making as they are the major beneficiaries or sufferers of the product. Cloete (1998:139) further shares this viewpoint when he states that policy-making involves the interaction between the public and political executive office-bearers, legislatures and officials who have to perform the policy-

making functions. In South Africa according to Cloete and De Coning (2007: 34) following negotiations, elections and the establishment of a new government, a culture was developed that demands and allows participation in all phases of policy process. The importance of the role of media, civil society, including churches and NGOs, in public policy has also recently been acknowledged (Cloete and De Coning (2007: 35).

2.4.6   Political parties

As claimed by Cloete (1998:139) when a new political party comes into power, it may sometimes introduce policy changes, as has been the case with the ANC after 1994 where they changed policies concerning the provision of services to improve the lives of its citizens and eradicate injustices of the past such as inequality in the education system. Policies of the political party also influence policy formulation and adoption of the political party's preferred policies.

This concludes the exposition of the definitions of policy and public policy, and key features in the public policy-making process. It can further be deduced that participation of various stakeholders in public policy-making will depend on whether the said policy is a domestic or national policy, which can further be differentiated as regulatory, distributive and redistributive, and foreign and defence policy. In the next section, focus will be on the theories, models and approaches used for analysing policy-making process.

2.5   THEORIES OF AND APPROACHES TO PUBLIC POLICY ANALYSIS

According to Cloete and De Coning (2011:33), distinguished scholars such as Moharir (1986:15) have remarked that policies are "jelly-like" in nature and must be thought of as seashells with no apparent beginning or end; they are kinetic and fragile. All public policies according to Hanekom (1987:8) are future-orientated, usually aimed at the promotion of general welfare rather than a societal group and take place within the framework of legally instituted public bodies such as legislatures or government departments. As explained by De Coning and Cloete (2000:26-27) theories of policy and policy-making have been closely associated with political paradigms (ideologies), in which political values play an important role. They identify theories influencing specific policy approaches of public-making including

the following:

- A liberal laissez-faire or classical approach, which determines that the state should concern itself with the maintenance of law and order, protection of society from attacks from outside, and protect lives.

- Socialism or collective approach, in which the state has to control the economy through economic institutions, which function as government institutions and by abolishing capitalism.

- Classical theories, also known as the institutional theories that hold that the different concerns and interests of government should be given preference. It is seen as focussing on classical doctrines of the separation of powers, and includes the legislative, executive and judicial functions.

- Liberal democratic theory where the political party assumes the position of primary force in policy-making.

- Mass/elite theory, which is based on the assumption that a small elite group, usually government, is solely responsible for policy decisions and that this group governs an ill-informed public - the masses. Policy decisions as argued are a downward flow to the population at large and are executed by the bureaucracy.

- Systems theory, which focuses on the contributions of interrelated forces to policy-making.

- The policy network and communities models as recognised by De Coning & Cloete (2000:41), has been realised that policy decisions are not always taken by a single decision-maker, but are frequently the outcomes of negotiations between networks of policy stakeholders in different policy communities, which may operate either inside or outside the public sector.

For purposes of this research, the most appropriate model to be used and looked at will be the policy network and communities model. These networks may be either formalised institutions, or may be also be informal and ad hoc (De Coning & Cloete, 2011: 53).

2.5.1 Models for analysing the policy-making processes

Quade (1975:143) defines a model as "…a substitute for reality…a representation of reality that is, hopefully adequate for the problem at hand. It is made up of factors relevant to a

particular situation and to the relations among them. We ask questions from the model and hope to find some clues to guide us in dealing with those parts of the real world to which the model corresponds." As defined further by authors such as, Thompson (1995), Mokhaba (2005) and Van der Waldt (2001) a policy model can be regarded as "a representation of three dimensions of an existing person, or thing or of a proposed structure, especially on a smaller scale; or a simplified description of a system, etc., to assist calculations and predictions; or a person or thing used, or for use as an example to copy or imitate". This argument, as supported by Thompson (1995:875), Mokhaba (2005:16), and Van der Waldt (2001:93) argues that a model may be regarded as the simplification of a more complex phenomenon.

Dye (1984:17) also defines a model of policy-making having the following characteristics and can help to:

- Simplify and clarify our thinking about public policy;
- Direct our inquiry into public policy; and
- Suggest explanations for policy decisions.

In public policy analysis, the models historically utilised for such analysis were divided into two broad categories:

- Models appropriate for analysing the content, results, impacts and likely consequences of policy (i.e. what to do?) (De Coning & Cloete (2000:31).
- Models appropriate for analysing the process of policymaking, such as who is involved, why and how? (Cloete & Wissink, 2000:31-49; De Coning & Sherwin, 2004:4).

2.5.2   Models for analysing contents, results, impacts and consequences of policy

There are various models for analysing policy content as written by numerous authors. Models for analysing policy content focuses on the analysis of policy itself and are intended to establish whether a particular policy has had the desired results, or what the potential results and consequences of the policy will be (Dye, 1987: 31).

De Coning and Cloete (2000:31) describe models analysing the contents of policy options as the models that describe "what to do". They focus on the analysis of approaches for determining the most appropriate policy options. The authors' further postulate that these

models have the capacity to make rational choices whose importance is participatory in nature, providing opportunities to exercise choices and explore rational options to be accommodated in policy-making content (i.e. what to do) (De Coning and Cloete,2000:31). These models are known as the:

- Rationale-comprehensive model in which the policy-maker has a full range of policy options to choose from. As further maintained by Anderson (1979: 12-13) and Kramer (1981:142-15) in De Coning and Cloete (2000:32) the policy analyst should know the values and preferences of a particular community or society, and their relevant importance. An example is the rights of refugees in the change of the social assistance policy. They should also analyse and identify all possible policy alternatives; explore the possible consequences of each alternative; and select a range of options that will bring about the desired outcome to achieve maximum social gain.

- Incremental model, regards the process of policy-making as an incremental and continuation of existing government activities with the potential for small, incremental adoptions only (De Coning and Cloete, 2000:32). The above can be compared to, for example, the incremental introduction of the Child Support grant which was started at age 0-7years in 1998 and gradually increased to age limit of 18 years. Similarly, the introduction of the age equalisation for both women and men to allow men to be able to apply at age 60 years instead of 65 years, as was the case with women.

- Mixed-scanning model, as cited by Hanekom (1987:85); Anderson (1979:12-13) and Kramer (1981:142-155) is an alternative to both the rationale and incremental models. This model integrates the good characteristics of the rational-comprehensive model with those of the incremental model. For example, from reviewing the Appeals policies in view of the promulgation of the Social Assistance Act, 2004, SASSA reconsidered its decision before an appeal could be lodged. Lastly, it also provides an opportunity to review the policy result or the policy impact thereof. An example of this is the impact of the extension of Child Support Grant from the initial 7 years to 18years.

2.5.3   Models appropriate for analysing public policy-making

Numerous theorists and authors such as Dunn (1994:153) have described the policy process stages differently, ranging from descriptive stages to more prescriptive stages. The descriptive models or classic models, according to De Coning and Cloete, (2000:33) in policy-making are

used to explain and/ or predict the causes and consequences of policy process. They are often used to monitor the outcome of policy actions. Models relevant for the purpose of this study have been identified as follows:

- **Mass/elite model**: Based on the assumption that there is a small, elite group, usually government officials, solely responsible for making policy decisions for the masses/public. Policies made by this group flow downward to the population at large with limited participation from the public, and are executed by the bureaucracy (Dye, 1978:25-28; Anderson, 1979:19-20).

- **Group model:** in the group model, interests groups and pressure groups such as NGOs, CBO and civil organisation, initiate policy change. The group model promotes the notion of policy change being initiated by interest groups to pressure and interact with policy-makers on preferences and self-interest. Within the social assistance policy-making process, this has often been the case where pressure and interest groups such as Access, Black Sash and the Child Law Centre have lobbied for change in most of the policies such as age equalisation, consideration of alternative identification for applying for a grants, to name a few. This model assumes that policy-makers should be sensitive to the demands of interest groups, and allows policy analysts to analyse policy-making processes in terms of demands and role of the participating groups (Dye, 1987:26-28).

- **Systems model:** Also known as, the input-output model of David Easton, the focus is on the response by the political system to the demands and needs of interest groups (De Coning & Cloete, 2000:39).Through political process channels such as political debates, cabinet memoranda, proposals, counterproposals, causes, decisions, and agreements on policy output to be made. The systems model, as maintained by Fox et al. (1991:31), is particularly helpful in understanding the policy-making process on a general and simplistic level. It assists in simplifying the policy process as a system consisting of a few major sub-systems. These elements are described as policy inputs, policy conversion, policy outputs and policy feedback (Fox et al., 1991:31-32; De Coning, 2000:98; Wissink, 2000:31-39; De Cloning & Cloete, 2000:39; De Coning, 2004:4). However its disadvantage as highlighted by De Cloning & Cloete, (2000) is the fact that when applied to the policy-making process, it is analogous such as a sausage machine or production system, and fails to describe how the actual transformation of inputs into outputs

takes place. It is also described by Wissink, in Fox et al., (1991:32) failing to address the power relationships in the decision-making process or identify the various roles and other players in the policy process.

- **Institutional model and policy process or phased models:** A process model, which is generally regarded as representative of the international experience of policy-making process, is namely that which as Dunn states (1994: 15–18), shows the phases of policy-making as:
  - Policy agenda setting
  - Policy formulation
  - Policy adoption
  - Policy implementation
  - Policy assessment

The institutional models view public policy as a product of public institutions. Proponents of this model such as Dye (1978:20-23), Anderson (1979:21-23) and Hanekom (1987:81) argue that public policy is legitimised by government, and only government policies apply to all members of society. The structure of governmental institutions can have an important bearing on policy results. An example of this has been the implementation of the Social Assistance Act, under the auspices of DSD prior to 2004, and hence the establishment of the Social Assistance Social Security Agency in 2004 for effective delivery of social grants. They maintain that the relationship between the structure and the policy should always be taken into account (Wissink, 2000:16; De Coning & Cloete, 2000: 29-40; Roux et al., 2002:88).

- **Social interaction model:** This model is built on the premise that general participation, negotiation, mediation, mediation and conflict resolution are relevant policy processes (Mokgoro, 1997:1). This is particularly true and evident during the development of the South African Constitution. South African policy-making exercises of the mid-1990s required participation and public choice to direct representation, empowerment and active decision-making. Authors such as De Coning (2000) have used this model in the search for theoretical frameworks to improve policy development with regard to participation. Opportunities to

exercise choices and explore rational options should be accommodated by policy-making processes, and should involve the participation of government institutions and fragmented structures of semi-independent groups and organisations (Mokgoro, 1997:1; Cloete & Wissink, 2000:16; Van Niekerk, Van der Waldt & Jonker, 2001:93-94).

- **Policy network and Communities models:** As stated by De Coning & Cloete (2011:53) public scholars have recently realised that policy decisions are not always taken by a single decision maker only, but are frequently the outcomes of negotiations between networks of policy stakeholders in different policy communities, which may operate either inside or outside the public sector. These networks may be formalised institutions, or may be informal and ad hoc, such as is the existence and operation of the National Development and Labour Council in South Africa i.e. National Economic Development Labour and Council (NEDLAC). Within the social assistance environment, one can look at the introduction and extension of the preliminary assessment for Social Relief of Distress to outside stakeholders such as non-governmental organisations (NGO's), churches and community leaders. It is regarded as more holistic than some of the more narrowly focused models such as the elite, institutional and group model, as it presents a more accurate perspective on contemporary policy processes (De Coning & Cloete, 2011:53).

- **Functional policy stages or phases models:** There are differing views regarding the definition of the content of the public policy-making process. A South African contribution to policy-making process models worth noting is the stage model by Wissink (2000). Other authors such as Fox et al. (1991) note that an alternative approach to developing a policy-making model is to break down the policy process into descriptive stages that correlate with the real dynamics and activities that result in policy outputs. They note that the problem encountered with most models is that the process is viewed as being sequential in nature, where in fact, policy is often initiated at different stages and many activities in the process model may be bypassed (Phago, 2010). These authors do not separate other policy stages with what Birkland (1982) refers to as 'pre-policy' stage, but they believe that the stages are closely related and form an integral part of one another without divisions and therefore, should not be separated. The policy process is also seen as

emphasising specific policy phases, elements and models. It does not necessarily mean that each step will be applicable to all policy situations and contexts. The stages used by Fox et al. (1991) include policy initiation, agenda setting, processing the issue, considering the options, making the choice, publication, allocation of resources, implementation, adjudication, impact evaluation and feedback (Fox et al., 1991: 30-33; Cloete, 1998:138; Phago, 2010:88-89).

- **Generic process model:** This model as stipulated by De Coning (1995) reflects the redefinition of existing process models into a generic-type model, which can accommodate the demand for a comprehensive and generic process and is specific enough to help identify key considerations within the South African policy-making endeavours. In De Coning et al. (2000:48) and De Coning & Sherwin, (2004:8) the generic process model is considered as an appropriate model which has generic application potential that can be applied not only to all levels of government but also to policy making in private and non-governmental settings within the South African context. The generic model has been found valid for policy processes at various levels for organisational policies, national government, sectorial and for small businesses, with some modifications where necessary De Coning & Sherwin, 2004:8). Within the South African context, the generic model provides a comprehensive set of phases and proposes specific requirements and key issues to be addressed during each phase, consultation and participation, which should be considered at each step in the policy-making process and carefully planned for (Mutahaba et al., 1993:49; De Coning et al., 2000:48).

In conclusion, there are two main approaches to policy-making and policy analysis: the 'rational' model and the 'garbage-can' model. The main difference between the two is that the garbage-can model, understandably, supposes that the policy process is not linear whilst the rational model suggests a policy process that follows sequential steps/stages. For instance, it is argued that decision makers do not have enough time to sufficiently consider all options when making policy decision. In addition, it is argued that most institutions function in a 'trial and error' manner. On the contrary, the rational model, implies that the process is well defined and it starts with setting the agenda and ends with reviewing, monitoring and evaluation. The rational approach includes problem analysis, stakeholder analysis, an evaluation of options, the allocation of resources and construction of programmes.

This concludes the discussion on the policy-making process, and the various models for analysing policy content. It should be noted that the process of policy-making is based on various models and approaches, hence the various descriptions of stages/or phases of policy making as described by authors such as Mokhaba (2005: ii-iii). The literature review on the prevailing and existing theoretical framework, principles of public policy-making will assist in determining the extent to which the current policy-making process between DSD and SASSA is followed, and the impact on policy implementation of the social assistance programme by SASSA.

2.6   POLICY IMPLEMENTATION APPROACHES, CHALLENGES, AND FACTORS INFLUENCING SUCCESSFUL IMPLEMENTATION

According to Brynard, (2007: 40) policy implementation can be studied from many different perspectives using different theoretical tools. Not one perspective can be singled out as better than the rest as each attempt to explain policy and programme implementation and the factors influencing it. The questions to ask of the policy implementation process are: Were the intentions of the policy translated into tangible outputs? Did the outcomes of the policy match its goals? What is being implemented? How is policy-making differentiated from policy implementation? (Brynard, 2007:40).

Brynard (2000:165) also argues that there are two approaches to policy implementation called the top-down and bottom-up approaches. In the top-down approach, top management drives the attainment of predetermined goals with pre-set outcomes. This approach is characterised by its hierarchical and control themes. The broad aim is to improve performance. These top-down approach models were criticised as an insufficient foundation for studies of implementation and in turn, led to the interest in the bottom-up models and, more recently, the models of bargaining and evolution in analysis of implementation (Brynard, 2000:169; Brynard, 2007:34-35).

The bottom–up approach is based on the premise that the actual implementation is done on operational levels in an institution. Its main premise is that the actual implementers (more junior officials) should discover appropriate and flexible policy interventions as

implementation happens. The context of policy is seen as more important than the content of the policy (Brynard, 2007:37).

The bottom-up approach was mainly a critique on the top-down approach. Implementers of this approach, also known as street level bureaucrats as argued by Brodkin, (2000) in Brynard, (2007:37) sought to achieve greater allegiance between policy-making and policy delivery. With this approach policy is dependent upon the interaction between actors at the local level and the aim is to explain what actually happens when policies are implemented (Brynard, 2002:169-170). Analysis should focus "on those who are charged with carrying out policy rather than those who formulate and convey it" because "subordinate compliance does not automatically follow upon cheerfully, and fully do as they are bid" (Lipsky, 1978:398), in Brynard (2007:318).

A top-down view as argued by Sabatier (1986:22) in Brynard (2007) exemplified the earlier analytic models and has remained the more dominant genre. Typically, this perspective starts from the authoritative policy decision at the central (top) level of government, and generally asks the following questions:

- To what extent were the actions of implementing officials and target groups consistent with (the objectives and procedures outlined in) the policy decision?
- To what extent were the objectives attained over time?
- What were the principal factors affecting policy outputs and impacts?
- How was the policy reformulated over time based on experience? (Sabatier 1986:22 in Brynard, 2007:317-318).

In a much as the bottom-up approach was largely regarded as a reaction to the top-down approach, it is argued by Cloete and De Coning (2011:139) that it is not a question of choosing 'top' or 'bottom' as though these were mutually exclusive alternatives both vide useful insights into the implementation process, as both demonstrate significant strengths as well as weaknesses. In the next section challenges associated with policy implementation are presented.

2.6.1 Challenges associated with policy implementation

Brynard (2009: 558) argues that in order to map the factors of policy implementation, one first has to clarify what exactly the aim of policy implementation is. The desired outcome of any policy implementation is success. He further maintains that successful policy implementation is therefore a practice worth aspiring to.

Giacchino & Kakabadse (2003:140), and Brynard (2009:558) regard successful policy implementation as a strategic action adopted by government to deliver the intended policy decision and achieve the intended outcomes. Success in terms of policy implementation implies achieving the expected functionality required by an identified stakeholder. Success in this regard is then a baseline implementation initiative (Brynard, 2009:558).

The failure of policy in developing countries can be attributed to issues of poor implementation (Mutahaba et al.1993:45). As cited by Brynard (2007:359), a gap usually forms between policy expectations and perceived policy results in the implementation process. One reason for this gap could be the complexities of policy development. This can be caused by the fact that policy is made based on existing knowledge and estimated predictions, which might not be accurate. This lack of reliable data can be the reason why clear policy goals with well-defined implementation plans and evaluation mechanisms cannot be set (Brynard, 2007:359).

Over-ambitious targets can be set, which causes implementation of policies to ultimately fall short of their desired outcomes (Brynard, 2007). This was the case in SASSA with the implementation of the Internal Remedy Mechanism policy of dealing with backlogs in appeals. Critical for the success of policy is leadership and political commitment. A lack of commitment can also cause failure in implementation. Major obstacles to proper policy implementation include an ineffective government and corruption. Another problem can be the lack of coordination between political representatives and officials and among government departments (Brynard, 2007:360).

Mokgoro (1997:2) argues that centralisation where the policies are developed with little

consultation with the final implementers can cause failure to capture the initiatives at grassroots level. The policy then appears alien to the implementers and managers of the policy. The distance of policy makers from practice can create a lack of harmony among the different elements of the same policy (Mokgoro, 1997:2). As identified by numerous authors such as Hanekom (1987:14), Mokgoro (1997:2), and Brynard (2007:360), key factors for successful policy implementation are financial and technical resources with quality of human resources. A lack of resources and mismanagement of the resources can cause problems (Mokgoro, 1997:2; Brynard, 2007:360- 362).

There are many and various reasons as identified by numerous writers such as Hanekom, (1987:14); Cloete & Wissink, (2002: 191-193); Van der Waldt, (2002: 96-97); and Brynard, 2007: 362), why policy implementation is not successful. These have been suggested as the following:

- Interrelatedness of policies aimed at solving a possible problem may create problems in another area.
- Excessive policy demands where one may expect too much from policies without adequate resources to meet the demands.
- Failure of political institutions where broad central government policy may not be implemented at lower levels of government.
- Complexities of many societal problems may prevent policies from having the desired effects, where the adaptability of the populace to policy directives may also frustrate policy objectives such as has been the case with implementation of the Regulation 11, which allows people to apply for grants on an alternative document such as an affidavit without a South African identity document.
- The required expenditure on policy implementation may be in excess of the cost of the problem itself, as has been recently been discovered with the implementation of the Internal remedy mechanism in relation to Regulations 10 of Social Assistance Act 10, 2010.
- Determination of public interest where policies do not pursue the general interests of the public; but who, or what group is taken as representative of the "public interest"?
- Communication is also very limited as often information on the said policies is received from media, radio, newspaper and television which does not provide detailed information on the said policy to be introduced, as well as does not provide enough opportunity for

active dialogue and interaction with communities and civil society. The public needs to be provided with executive summaries of legislations before parliament, and be drawn into policy-making processes from the initiation and agenda setting processes for policy implementation to be effective.

- Different understanding and interpretation by administrators of what the policy intends to achieve.

- Challenges of a lack of commitment from the middle management and operational staff in the implementation of the policy as a result of the top-down policy formulation approach, which may result in the absence of standardised operating procedures which stakeholders should refer to during policy implementation.

- Potential problems can be caused by gaps in policy preferences between citizens and leaders. Leaders can influence policy-making while the policy can be diverging from what ordinary citizens want.

- Policies not frequently implemented using policy programmes, consisting of different activities of the government in a formal way through on-going activities and projects. Developmental programmes and projects are those that improve the capabilities and opportunities for people to be effectively involved in the production of goods and services, which continually improve their quality of lives.

The above challenges have assisted in understanding the complexity of implementation. The following section identifies the five interlinked variables, also known as the 5-C protocols which are influenced by others–depending to a varying extent on the specific implementation situation Cloete and De Coning (2011:145).

2.6.2   The '5-C' protocol for effective policy implementation

Working on the basis that implementation is a complex political process rather than a mechanical administrative one, the so-called '5-C' protocol was proposed by Brynard (2001:178-186) as a framework within the "complex dynamic maze of implementation". Brynard further suggests that these variables form the important causal factors, which embrace divergent implementation perspectives on differing issues in different political systems and in countries at varying economic levels of development. Each of the variables is linked to, and influenced by others to varying extents depending on the specific

implementation situation depending on the specific implementation situation. The five variables of significance identified by Brynard (2002:178) are content, context, commitment, capacity, clients, and coalitions and can be outlined in detail as follows:

- Resources for capacity building might or might not be provided by policy content;
- The institutional context of the relevant agencies may hinder or help such capacity enhancement; and
- The commitment of implementers to the goals, causal theory, and methods of the policy may make up for the lack of such capacity or vice versa (Mutahaba et al., 1993:45; Mokgoro, 1997:3; De Coning, 2000:8; Brynard, 2002:178; De Coning & Sherwin, 2004:4). The five interlinked variables, also known as the 5-C protocols, are the following:

2.6.2.1 Content

The content of the policy Brynard (2001:185) sets out to define what goals should be reached; how these directly relate to the issue or causal theory and what methods should be used to solve the perceived problem. Policy content is often regarded as either distributive, regulatory or redistributive. In very broad terms, distributive policies create public goods for general welfare; redistributive policies attempt to change allocations of wealth or power of some groups at the expense of others Brynard (2001: 185 – 186).

It is therefore a function of the level and type of coercion by government. Brynard (2001:180) quotes a wide variety of scholars such as Smith (1973) and Van Meter and Van Horn (1975) who suggest that "the content of policy is not only important in the means its employs to achieve its ends, but also its determination of the ends themselves, and in how it chooses the specific means to reach those ends". Indicating this choice of ends and means as well as the setting of goals and the actions geared towards achieving them is the content of the policy (Brynard 2001:180).

The three main elements in policy content are as follows:

- Objectives (including vision and mission statements);
- Problem (to be addressed by the policy); and
- Solutions (all the activities, strategies and solutions needed to put the policy into practice) (Brynard, 2001:180).

2.6.2.2 Context

As stipulated by Brynard (2005:659), the nature of the institutional context includes the corridor or standard operating procedures that the policy must follow and what boundaries limit it during the process of implementation. It is common knowledge that a context-free theory of implementation is unlikely to produce powerful explanations or accurate predictions. The focus here is usually on the institutional context, which will necessarily be shaped by the social, economic, political and legal realities of the system. The principal concern is how this affects the implementation process. Firstly, the institutional corridor through which implementation must pass and, secondly, the support of clients and coalitions.

2.6.2.3 Commitment

The key to any initiative is the commitment of everyone concerned to ensuring the successful rollout of the initiative (Brynard, 2009:561). In essence, Brynard, (2009:561) defines commitment as an ability to maintain the focus on an initiative from its inception through to its delivery. Further Brynard (2009:560-561) and Giacchino and Kakabadse (2003:146) argue that there are divergent views on how to create commitment to a policy initiative. One view is that political backing is needed, implying that commitment is mainly a top-down issue. Others regard commitment as something that has to be developed from the bottom up. The latter view focuses on the attitude of the employees who have to implement the initiative at the ground level.

Commitment is therefore important at all levels through which policy passes, be it state-level, street-level or all levels in between. This would include the regime-level in cases of international commitments. Secondly, commitment will be influenced by, and will influence, all the four remaining variables. Any of these linkages cannot be ignored by those interested in effective implementation and should identify the ones most appropriate to fix' particular implementation processes (Brynard, 2005:660).

2.6.2.4 Capacity

The state capacity, as described by numerous authors such as can be found in World Development Report (1997:6) and Gumede (2008:7), can be defined as "the ability to

undertake and promote collective actions efficiently". This is broader than administrative or technical capacities of civil servants. It also entails institutional mechanisms that give the politicians and civil servants the flexibility, rules and restraints to enable them to act in their collective interest. Political state capacity refers to the effectiveness of state institutions in terms of governance structures while technical and implementation state capacities refer to administrative capacities. In many African countries as maintained by numerous authors' governments, other institutions and organisations of the state often fail to respond quickly and decisively to the rapidly changing environment (Mutahaba et al.1993:43).

Mutahaba et al. (1993:43) further maintain that capacity in the public sector can be conceptualised as the structural, functional and cultural ability to implement the policy objectives of the government. Objectives such as the ability to deliver those public services aimed at raising the quality of life of citizens effectively as planned over time. Capacity also includes leadership, motivation, commitment, willingness, endurance and other intangible attributes needed to transform rhetoric into action (De Coning, 2006:556).

It is argued by Mokgoro (1997:3) that significant progress has been made in South Africa, which indicates that capacity does exist in respect of policy initiation and formulation as reflected by a myriad of policy statements, green papers and white papers. However, the challenge that still needs to be confronted is to ensure the availability of the necessary technical, institutional and human resources to enhance sustainable implementation of these policies. Institutional capacity building in policy exercises forms a pivotal part in development and policy management (De Coning, 2006:556-558).

2.6.2.5 Clients and coalitions

The support of clients and outside coalitions as stipulated by Brynard, (2005:662) is the final critical variable if implementation is affected by the formation of local coalitions with individuals affected by the policy. The first task is to determine the potentially influential clients and coalitions in the implementation stage. The actors affected directly or indirectly by any implementation process are larger than the key constituencies with the desire or ability to influence the implementation process in return. It is further considered dangerous to leave out key actors and thus limiting the scope of enquiry.

Brynard, (2001:185) also argues that it is important that government should join the coalition of interest groups, opinion leaders and other outside actors who actually support a particular implementation process since power shifts can strongly influence a particular policy implementation process for effective policy implementation. He emphasises the fact that it is essential in policy implementation to determine and catalogue the potentially influential clients and coalitions whose interests are important enough for them to attempt to influence the policy implementation process. The importance of also avoiding being "bogged down" with an unmanageable number of "minor" actors cannot be overemphasised, in which case it becomes necessary to identify those stakeholders who may have a real effect on the policy implementation" (Brynard, 2001:186).

In conclusion, as identified by Brynard (2007:363) synergy in implementation of policy is critical and the challenge is to use the five-5C strategically in their complex inter-linkages. The '5-C Protocol' implies that implementation is a crucial process to be planned and carried out according to a carefully predetermined plan. The policy-making process can only proceed while lessons are learnt as one proceeds through the different implementation stages.

The process can reach a more effective outcome by strategically 'fixing' variables over which we have some direct or indirect influence to enable changes in the ones over which we have no influence (Brynard, 2007:363).

2.7   CONCLUSION

As identified in the introduction to this chapter production and development of policy in South Africa before the democratic elections of 1994 was characterised by a lack of transparency, participation and none inclusion of affected stakeholders. With the ANC coming into power in 1994, it needed to address all inequalities of the past such as poverty, none consultation of the various stakeholders, and to redress the content of various policy areas. This could only be achieved through policy initiation.

Effective policy formulation and policy-making processes should have a continuous cycle that starts with identifying the problem or issue. It should be followed by planning that should define and identify the stages or phases through which the policy should follow and lead to implementation, monitoring and evaluation to determine the value of the policies in the lives of citizens.

The success and failure of implementation of any policy in the South African sense, means identifying and examining the relationship between the actors and structures in the national, provincial and municipal spheres; the intergovernmental relationships between these spheres as well as the government's relationship with the public for effective policy implementation.

While this chapter focused on the exploration and review of literature, prevailing theories, principles, and best practice pertaining to the public policy-making process, and implementation strategies. The next chapter will focus on the statutory and regulatory framework, identifying relevant legal and statutory prescripts; areas applicable and other applicable matters to do with the policy framework within the South African Public Service. The focus will also be on the legislative framework and background information on the establishment of SASSA and why was it established to operationalise the research objectives of this research.

CHAPTER 3

LEGISLATIVE AND STATUROTY FRAMEWORK GOVERNING SOCIAL SECURITY IN SOUTH AFRICA

3. 1 INTRODUCTION

In the previous chapter, key concepts associated with policy, public policy, policy-making, policy process, policy analysis, and policy management were discussed to establish the in-depth meaning of these concepts. Key success factors and variables for policy-making, implementation and evaluation were also identified and explored in detail. The various theoretical foundations for public policy were explored, with appropriate conceptual frameworks models and approaches of the policy cycle.

In this chapter, focus will be on the exploration of the various international and regional instruments governing social security and social assistance. It will also explore the origins of the definition and concept of social security and the types of programmes associated with it. The chapter will further unpack the South African statutory and legislative framework governing the provision of social security and social assistance, as well as the establishment and functioning of the current South African Social Security Agency.

Institutions responsible for the administration of social security in South Africa are divided between the government and the private sector. The government is responsible for the administration of both statutory social assistance and several social insurance schemes while private institutions are involved in the administration of private social insurance schemes (Taylor, 2002:36). This chapter will deals with the restructuring of various legislative and statutory frameworks governing the administration of social assistance and social insurance schemes by the South African Government. It will further look at the statutes that currently regulate social security as an indication of some of the reasons why there are challenges in the policy formulation and implementation between DSD and SASSA. Lastly, it will consider current challenges within the legislative framework, which become an impediment in the promotion of efficiency and improvement of service delivery in the social assistance system.

This chapter will also focus on the social assistance part of the system, which is particularly well developed by international standards. The focus will be on how the introduction of the South African Constitution of 1996 contributed to the shaping of the current statutory and legislative framework governing the provision of social assistance.

3.2   THE CONCEPT OF SOCIAL SECURITY

Social security, as pointed out by numerous authors such as Liebenberg (2000:200-205), Taylor (2002:36), Currie and Wall (2005: 576), and Mpedi (2008:5) is a concept developed in Europe during the industrial revolution to provide protection to "non-productive" people and as protection against particular risks to which people may be exposed. Mpedi (2008:5) argues that social security does not have a universally acceptable and precise meaning; this is due to its elasticity and the meaning therefore varies from one country to another. Social security may further refer to different programmes depending on the country, the context, and the ideological background of the researcher.

Social security, as defined by the International Labour Organisation (ILO,2000) in the references is "the protection which society provides for its members through a series of public measures against the economic and social distress that otherwise would be caused by the stoppage or substantial reduction of earnings resulting from sickness, maternity, employment, injury, unemployment, invalidity, old age and death; the provision of medical care; and the provision of subsidies for families with children".
The ILO's definition can be distinguished by the following elements:
- Protection by society against economic and social distress;
- Series of public measures such as payments of benefits;
- Provision of medical care;
- Provision of subsides for families and children; and
- Members of society who have no or insufficient income.

It is argued by Strydom (2001:6); Horsten (2003:4) and Mpedi (2008:6) that the ILO's definition is very limited and problematic in that although it does cover social assistance and social insurance for individual or community crises, it does not cover broader social assistance as provided in the South African context as provisions of the Social Assistance Act.
Gaps identified are as follows:

- It associates itself with formal employment, something which is not readily available for millions of South Africans.

- As conceptualised in the Convention (No.102 of 1952) social security is too narrow in the context of a developing country such as South Africa. It should strive towards provision of basic needs as proclaimed in the Bill of Rights such as shelter, nutrition, adequate health care, clean water and not only be concerned with cash benefits.

- It does not cover natural disasters such as floods and wild fires; suffering caused by the state and political disasters; and lack of opportunities for disadvantaged members of society in the form of social relief from distress - calamities which many people in developing countries are exposed to.

- Reference to "private measures' and, therefore, exclusion of informal and private measures such as burial societies, 'stokvels' found in South Africa.

- Some of the strands restrict benefits to those members of society that comply with the prescribed means test, while others restrict benefits to employees only.

- Social security is not only curative as in the sense of providing compensation, but should also be preventative and remedial in nature.

As further argued by Mpedi (2008:5) the International Labour Organisation (ILO) has attempted to overcome this situation by providing a definition for social security in an international context. The ILO views social security as the task to provide protection against life-cycle contingencies that cause a reduction or loss of earnings as embodied in the Social Security Minimum Standards Convention (No.102 of 1952). As stated by Bergman in Makiwane (2000:18) the limitation with the international legal prescripts such as the ILO Convention 102 and European Committee Regulation 1408/17, definition of social security protection outlined as a social protection system:

- Does not make reference to poverty or social exclusion with the emphasis put only on consequences of a particular set of social contingencies, and

- Referencing to contingencies and even more explicitly to social risks only, shows a social insurance bias.

In the Social Security Minimum Standards Convention (No.102 of 1952), social security is perceived as:

> *"the protection which society provides, through a series of public measures, against the economic and social distress that otherwise will be covered by the stoppage or reduction of earnings resulting from sickness, maternity, employment injury, unemployment, invalidity, old age, death, provision of medical care and provision of subsidies for families with children"* (ILO, 2005).

As determined by Haarmann (2000:25) and Mpedi (2008:5) the most common definition as determined by the ILO clarifies social security based on the nine branches of social benefit, namely;

(1)   Sickness benefits;

 (2)   Maternity benefits;

 (3)   Employment injury benefits;

(4)   Unemployment benefits;

(5)   Invalidity benefits;

(6)   Old age benefits;

(7)   Survivor benefits;

(8)   Medical care; and

 (9)   Family benefits and laid out minimum requirements as to the coverage of the population and the content as well as the level of benefits.

 On the contrary, Van Ginneken (2007:2) defines social security as the protection that a society provides to individuals and households, to ensure access to basic health and to guarantee income security, particularly in cases of old age, unemployment, sickness, invalidity work, injury, maternity or loss of breadwinner.

Tang and Midgley (2010) in Lum (2010:702) define social security as programmes that provide for the maintenance of income when specific contingencies arise or otherwise supplement the incomes of those who experience particular needs or demands on their income. They argue that while form and structure of social security programmes may differ across nations, the basic underlying principles are the same; all provide income support for vulnerable people. However, they agree that social security can also be defined in view of the various strands or categories, which are formed through taxes while others are financed

through contributions. In the United States, social security narrowly refers to the social insurance programs that operate under the Social Security Act (US Code title 2). These programmes mainly serve retired workers, people with disabilities and their dependents. On the other hand, European countries refer to a variety of income protection programmes, contributory social insurance and even health insurance (Lum, 2010:702-703). Horsten, 2003:4) argued that some definitions emphasise the compensation of social risks while others describe social security in terms of the involvement of the state, employers' benefits and/ or financing of the system.

In the South African legislative framework, as in the White Paper for Social Welfare (1997) chapter 7, social security is defined as:

> "a wide variety of public and private measures that provide cash or in-kind benefits or both, first in the event of an individual's earning power permanently ceasing, being interrupted, never developing, or being exercised only at unacceptable social cost and such person being unable to avoid poverty, and secondly in order to maintain children' White Paper for Social Welfare (1997). In this instance, domains of social security are maintained as being poverty prevention, poverty alleviation, social compensation and income distribution' (Strydom, 2001:23).

Social assistance, as defined by the Taylor Committee (2002:36), is "a state provided basic minimum protection to relieve poverty, essentially subject to qualifying criteria on a non-contributory basis." The primary goal of this strategy is to alleviate poverty and is financed mainly through public revenue. Its scope of coverage is extended either to the entire population or to designated categories of the population. It provides protection against risks of income loss due to contingencies such as old age, unemployment, disability, and injuries sustained at work. Apart from these functions, social security systems also redistribute income between generations and amongst the insured according to risk and vulnerability (Taylor Report, 2002:36).

In the Taylor Report (2002:57-58) the South African context of social assistance entails a set of social grant payments aimed at supporting vulnerable groups, namely children, the elderly, people with disabilities and war veterans. The primary aim of social assistance is to ensure that people do not fall below a certain standard of living. Being non-contributory in nature, social assistance provisioning is financed from Government's general revenue, and is

provided in the form of a monthly income transfer to eligible beneficiaries (Taylor Report, 2002). In the Social Assistance Act 14 of 2004, Section 1, social assistance is defined further as "a regulated provision of grants through legislation and is the exclusive responsibility of state".

In South Africa, as further cited by (Patel, 2011: 365) the term social security is often used in policy and legislation that includes public (social assistance) and private (insurance), social insurance, national health and pension system, as well as formal and informal savings measures.

Social security systems in many developed countries are characterised by a combination of two types of programmes, namely social insurance and social assistance (Liebenberg, 2000: 200- 205). The following are the different strands and sub-strands of social security as postulated by Strydom (2001:7); Mpedi, (2008: 6-7) and Makiwane (2000:8-9) which has 4 major inter-related elements:

- Social insurance
- Social assistance
- Social relief
- Social compensation
- Social upliftment
- Employer assistance
- private savings and insurance

Social insurance refers to a mandatory contributory system of one kind or another, or regulated private sector provision, concerned with the spreading of income over the life cycle or the pooling of risks(ILO, 2010-2011:3). Social insurance by definition as stated by Strydom et al. (2001:10) has the following characteristics:

a) Premium payment by the insured to the insurer;

b) The insurer undertakes to compensate the insured upon happening of an unspecified uncertain event that is adverse to the interest of the insured.

The term social insurance is defined by Kalula (2009:37) as the joint contribution by employers and employees to pension or provident funds, or social insurance covering other unexpected events Government may also contribute to social insurance covering accidents at work. These are such as the Unemployment Insurance Fund, and the Compensation for Occupational Injuries and Diseases Act 130 of 1993.

In South Africa, these contributory programmes are typically linked to employment programmes and include private pension schemes, retirement plans and private unemployment benefits. It is well known that South Africa suffers from exceptionally high unemployment that is largely of a structural nature (Van Der Berg, Siebrits & Lekezwa, and 2010:20).

Social Assistance is defined in Section 1 of the Social Assistance Act 14 of 2004 as "…a regulated provision of grants through legislation and is the exclusive responsibility of state" (Social Assistance Act, Act 13 of 2004:14). The primary aim of social assistance is to ensure that people do not fall below a certain standard of living. It is targeted to provide protection to the most needy and vulnerable groups, such as elderly people, children, and the disabled to supplement their income, essentially subject to qualifying criteria. Being non-contributory in nature, social assistance provisioning is financed from the general revenue of the government, and provided in a form of monthly income transfer to eligible beneficiaries (Taylor, 2002:36).

As stated above, one of the primary vehicles used by the Department for poverty alleviation is the provision of social assistance grants to the deserving citizens of South Africa. The Department achieves this by disseminating grants to qualifying beneficiaries through its agent, the South African Social Security Agency (SASSA). SASSA acts on behalf of the Department in all the nine provinces of the country and manages all operational activities in the grants value chain from applications, to payments and reviews and cancellations. SASSA makes use of the service provider to carry out actual payments to the approved beneficiaries. SASSA makes use of the Social Pensions (SocPen) database to house all payment and information data relating to the social assistance beneficiaries which are supported by beneficiary files which contain all evidence for the beneficiary's meeting the qualification requirements. There are eight major grant types, each of which with their own qualification requirements and values in terms of the Social Assistance Act, Act 13 of 2004 (National Treasury Budget Review, 2013:81- 84).

As indicated in chapter one, currently South Africa has eight types of social grants in its social assistance system. Social assistance grants are meant to provide a "safety net" for those who are not able to access social insurance benefits or who work to support themselves (Rosa, Leatt & Hall, and 2005:2).

The World Bank's Social Protection Sector (Pauw & Mncube, 2007:3) defines social safety nets, also called social assistance or social welfare programmes, as "non-contributory transfer programmes usually targeted to the poor or those vulnerable to poverty and shocks". Such programmes are distinguished from contributory transfer programmes. The government also manages a public unemployment insurance scheme. Social security, as a non-contributory programme meant to fill the void where households either fail to manage their own risk through private or public contributory schemes (Taylor, 2002:36; Pauw & Mncube, 2007:3-4). Social allowance differs from social assistance and social insurance in the sense that its primary goal is social compensation. It is financed through public revenue and is generally provided to the entire population or designated categories of the population (Mpedi, 2008:7).

In a recent review on the extension of social security, Van Ginneken and McKinnon (2007: 2) concluded that a fundamental shift has occurred regarding the primary objective of social security: it has moved away from being an income replacement measure towards becoming an indispensable tool for poverty alleviation. If indeed this assessment is correct, there is a need to reflect on the future role of social security. It is beyond doubt that a continuing shift towards poverty alleviation as a focus underpinned and reinforced by a rights-based approach to social security will have profound implications for current normative social security practices (Van Ginneken, 2007:2).

It is maintained by Haarmann (2000: 24) that the diversity of definitions of social security makes a cross-national comparison challenging. This broadness of the topic and the complexity of the various social security systems make it difficult to find a satisfactory definition. From above numerous definitions, it can be concluded that there are various aspects from which different countries base their social security benefits on. Others is on the basis of human rights, to provide protection against life-cycle contingencies such as vulnerability and poverty, others on the basis of loss against economic and social distress that may be caused by the stoppage or substantial reduction of earnings (Haarmann, 2000:24).

Having looked at the various definitions and components in the development of a comprehensive social security system, the following section will focus on the development of social security, as well a social assistance from both the international perspective of human rights to regional instruments.

3.3 THE RIGHT TO SOCIAL SECURITY

The human right to social security is widely recognised in various international, regional and national instruments such as the International Covenant on Economic, Social and Cultural Rights (ICESCR), and more highly developed as a labour-related right under the ILO instruments (Rosa, Leatt & Hall, and 2005:3).

3.3.1 International Human Rights Instruments

Social security is regarded as a fundamental human right recognised in numerous international legal instruments, in particular the Declaration of Philadelphia (1944), which is an integral part of the Constitution of the ILO, and the Universal Declaration of Human Rights (1948) adopted by the General Assembly of the United Nations. More recently, the International Labour Conference (ILC) adopted the ILO Declaration on Social Justice for a Fair Globalization at its 97th Session (2008). The Declaration recognizes that the ILO:

> *"based on the mandate contained in the ILO Constitution, including the Declaration of Philadelphia(1944),which continues to be fully relevant, has the solemn obligation to further among the nations of the world, programmes which will achieve the objectives of full employment and the raising of standards of living, a minimum living wage and the extension of social security measures to provide a basic income to all in need, along with all the other objectives set out in the Declaration of Philadelphia"* (ILO, 2008a, ILO, 2010-2011:7).

As postulated in the International Standards on Social Security Coordination (2010:10-11) social security as a basic human right is enshrined in several legal instruments of the UN such as the following:

a) The Universal Declaration of Human Rights (1948):
- Article 22: "Everyone as a member of society has the right to social security…"
- Article 25: para.1: "Everyone has the right to security in the event of unemployment, sickness, disability, widowhood, old-age or other lack of livelihood in circumstances beyond his control."
- Article 25: para.2: "Motherhood and childhood are entitled to special care and assistance."

b) International Covenant on Economic, Social and Cultural Rights (1966):
Artle 9 "The State Parties to the present covenant recognise the right of everyone to social security, including social insurance".

The first international convention on social security (Maternity Protection 3) was adopted at the First Session of the ILC in 1919, while the most recent, which revised earlier standards on maternity protection, was adopted in 2000. In 2002, the ILO governing body confirmed six out of these 31 conventions as up-to-date social security conventions (ILO, 2010-2011:15-17). These conventions are:

- Social Security (Minimum Standards) Convention, 1952 (No. 102);
- Employment Injury Benefits Convention, 1964 (No. 121);
- Invalidity, Old-Age and Survivors' Benefits Convention, 1967 (No. 128);
- Medical Care and Sickness Benefits Convention,1969 (No. 130);
- Employment Promotion and Protection against Unemployment;
- Convention, 1988 (No. 168); and
- Maternity Protection Convention, 2000 (No. 183).

In its World Social Security Report (2010-11), it is maintained by the ILO (2010-2011:7), that the best strategy for progress for developed and underdeveloped countries is to put in place a set of basic social security guarantees for all residents as soon as possible. While planning to move towards higher levels of provision as envisaged in the Social Security (Minimum Standards) Convention, 1952 (No. 102) as their economies develop. At the same time, such a strategy would significantly help countries to achieve their Millennium Development Goals (ILO, World Social Security Report, 2010-2011:7).

Rosa, Leatt & Hall (2005:5) are also of the opinion that the International Covenant on Economic, Cultural and Social Rights (ICESCR) of 1966, is the most important instrument relating to socio-economic rights, which has been ratified by approximately 130 states. The South African socio-economic rights as stipulated in the Constitution are also modelled on the Covenant.

South Africa signed the International Covenant on Economic, Cultural and Social Rights (ICESCR) in 1994, the International Convention on the Elimination of All Forms of Discrimination against Women (CEDAW), as well as the United Nations Convention on the Rights of the Child (CRC), which was signed and ratified in 1995. The International Convention on the Elimination of all Forms of Racial Discrimination (CERD) which requires, in Article 5(e) (iv), that the right to social security and social assistance is guaranteed without discrimination. The CERD was ratified by South Africa in 1999 (Rosa, Leatt & Hall, 2005:4-5).

3.3.2   Regional Social Security Instruments

The colonial authorities introduced rudimentary social security systems in most African, Asian and Latin American countries. Such systems offered health care, maternity leave, disability allowances and pensions for small sections of the population, mainly civil servants and employees of large enterprises but bypassed the numerically dominant poor, especially those living in rural areas (Townsend, 2007:32).

As postulated by Friedman & Bhengu (2008:17) the introduction of social security in South Africa can be traced from the Reconstruction and Development Programme (RDP). It was finally adopted at the "Conference on Reconstruction and Strategy" in January 1994 by the ANC, and its alliance partners and many organisations that were part of the Mass Democratic Movement after a widely consultative process and six drafts in 1993/94.

As stated by Rosa, Leatt & Hall (2005:5) the Reconstruction and Development Programme (RDP) was accomplished when South Africa also signed the African Charter on Human and People's Rights and ratified in 1996, and the African Charter on the Rights of Welfare of the Child. According to the Charter, it is stated, "in accordance with their means and national

conditions, parents or other persons responsible for the child take all appropriate measures to assist parents and other persons responsible for the child and in case of need, provide material assistance and support programmes particularly, with regard to nutrition, health, education, clothing and housing…" (Rosa, Leatt & Hall, 2005:5-6).

Largely, the South African socio-economic provisioning endeavours are built on the plethora of legal instruments, which draw largely from social legislation framework with particular attention to both social assistance and social insurance (Currie & Waal, 2005:576). As contained in the South African Constitution, Section 27(1) (c)), where specific provision is made for social and economic rights. It reads as follows:

27. (1)   Everyone has the right to have access to –

(a)   Health care service

(b)   Sufficient food and water

(c)   Social security, including, if there are unable to support themselves and their defendants, appropriate social assistance".

Currie and Waal (2005:577) maintain that the positive dimension component of the above socio-economic rights requires two forms of action from the state, being:

- Adoption of legislative measures by creating a legal framework that grants individuals the legal status, rights and privileges that will enable them to pursue their rights; and
- The state to implement other measures and programmes designed to assist individuals in realising their rights.

South Africa is a signatory to the Millennium Development Goals aimed at halving poverty during the period 1990 to 2014, or achieves a reasonable degree of equity amongst different racial groups or social classes based simply on economic growth (Mpedi, 2008:7).

3.3.3   The right to Social Security in South Africa

Strydom, (2001:18) argues that during the apartheid days, a welfare state was developed for Whites with all the features required to protect them against various contingencies by means of a social insurance. Social security provisioning was eventually extended to other groups, but remained unequal along racial lines well into the 1980s. The Taylor Report (2002) called for a comprehensive system of social assistance in order to meet the medium to long-term

goals of social and economic transformation in South Africa (Taylor Report, 2002:40; Van der Berg, 2002:20).

The RDP, is underpinned by six interrelated political and economic principles as it presented an integrated, coherent socio-economic framework for reconstruction and development and for redressing the "scars of inequality" (Rispel, Molomo & Dumela, 2008:26). These principles are as follows:

- An integrated and sustainable programme;
- People-driven process, peace and security for all; and
- A nation-building, reconstruction linked with development and democratisation.

Friedman and Bhengu (2008: 65) are of the opinion that in tackling poverty, it was recognised that several important components were needed, including meeting basic needs, affirmative action, gender equity, population and migration and social /economic rights. It also recognised the need for the development of more sophisticated social statistics, in particular with regard to gender, race, income, rural/urban differences and age and specifically mandated the establishment of demographic maps to illustrate geographic location. The mandate was accepted by several national departments, and appeared in several white papers such as those on Reconstruction and Development, Social Welfare, Population Policy and towards a National Health System (Friedman & Bhengu, 2008: 65).

3.3.4 The current South African social security system

The social insurance component of the South African social security system as described by Taylor, (2002: 40) consists of three contributory social security funds that provide conditional income support or compensation for defined-risk events (the Unemployment Insurance Fund, the Compensation Funds, and the Road Accident Fund) and a large number of occupational pension schemes. The Compensation Funds and the Unemployment Insurance Fund have achieved cash-flow surpluses since 1999/00 and 2001/02, respectively, but the Road Accident Fund has remained deficit-ridden (Taylor, 2002: 40; Van der Berg, Louw & Yu, 2008:16).The various social security components can be described in details as in the following.

- **Social grants** are important sources of income for poor households, especially in rural areas. The various grants cover children, the aged, the physically and mentally disabled and those dependent on specialised care (South Africa, 1997a:31). Social

assistance in the form of grants or social relief of distress is used for the family to buy clothing, food and education would use normal income. The social grants are well targeted in South Africa because they reach most of the poor (CASE, 2000: 43). According to the Statistics South Africa's General Household Survey of (2013:32), more than one-third of black African individuals (34, 2%) received a social grant, compared to 24, 4% of coloured individuals, and 11, 9% of Indian/Asian individuals. Only 5, 3% of the white population received grants.

- **Private savings** refer to people voluntarily saving for unexpected contingencies such as disability, retirement and chronic diseases (White Paper for Social Welfare, 1997).
- **Social relief** refers to short-term measures that tide people over a particular individual's needs or a community crisis. This is also non-contributory and means test. The domains of social security include poverty prevention, poverty alleviation, social compensation and income distribution. The aged are the principal members of pension schemes and one also needed to consider how ageing had impacted on the costs of healthcare systems (South Africa, 1997a:31).

This concludes the categories of provisions governing the administration of social security and social assistance in South Africa. In the next session, the discussion will focus on the regulatory and legislative framework underpinning the provision and administration of social assistance.

3.4 LEGISLATIVE AND REGULATORY FRAMEWORK OF SOCIAL ASSSISTANCE

As stated by Taylor et.al, (2002:51) for the right to access to social security (and the other social security-related rights) to fully mature and to be known and directly enforceable, the state should initiate legislation to provide for the substantive rights capable of being claimed (what actually should be claimed). The procedure and mechanism for claiming such rights (how the rights should be claimed); and where (venue) the rights should be claimed also needs to be specified. On the question of how and where the right should be claimed, the state also has to concern itself with the institutions that will hear and determine disputes arising from claims for social security benefits provided for under the relevant legislation.

Jackson-Plaatjies (2004: 4) maintains that it is important to note that since 1994 the transformation of South Africa has proved to be a daunting task for the ANC Government. He argues that since 1994, policy has been primarily viewed from a morally point of view, which is, moving from an era of apartheid where policies were morally wrong, are regarded by the populace as "morally right". This was further reinforced by the adoption of a sovereign Constitution in 1996, entrenched by the Bill of Rights, which protects certain fundamental rights of all individuals who are subjected to the provisions of the Constitution. Therefore, policies that are drafted, formulated and implemented post-1994 are driven by democratic principles and with values in mind (Jackson-Plaatjies, 2004:4-5).

3.4.1 Legislative framework and mandate

This section outlines some of the most significant statutory (legislation) and regulatory documents that provide a framework for social assistance in South Africa.

After coming into power in 1994, the ANC government committed itself to specific goals in the area of social policy, which included among other things, eliminating poverty, achieving an acceptable distribution of income, and lowering unemployment levels through programmes of social assistance. The Government of National Unity inherited a society marked by deep social and economic inequalities, as well as by serious racial, political and social divisions (Lewis, 2001:4).

3.4.1.1. The Constitution of the Republic of South Africa, 1996

The Department of Social Development (DSD) derives its core mandate from the Constitution of the Republic of South Africa. Section 27(1) (c) of the Constitution provides those unable to support themselves and their dependants with the right to access appropriate social assistance. In addition, Section 28(1) of the Constitution sets out the rights of children with regard to appropriate care, basic nutrition, shelter, healthcare, social services and detention. Schedule 4 of the Constitution further identifies welfare services, population development and disaster management as functional areas of concurrent national and provincial legislative competence.

South African have been stepped up significantly during the last decade, in part because social welfare was previously targeted mainly at white recipients. This meant that the number of people that became eligible for grants increased dramatically. However, there was also a clear policy decision to increase welfare spending, both in terms of the value of the grants paid and in terms of the scope or coverage of such grants. A move that has made both DSD and SASSA vulnerable to Constitutional Court challenges as seen in the State versus Grootboom case in 2000 (Taylor, 2002:35- 36).

The South African Constitution's Bill of Rights of 1996 reflects priorities regarding poverty eradication in the provision of socio-economic rights. Importantly, everyone is guaranteed the right of access to social security "including if they are unable to support themselves and their dependents". To achieve this, the state is obliged to take reasonable legislative and other measures within its available resources to achieve the progressive realisation of this right. There is a duty to ensure that children under the age of 18 have access to basic nutrition, shelter, basic health care services and social services. Specifically, Section 27 specifies that (1) everyone has the right to have access to:

(a)   Health care services…;

(b)   Sufficient food and water; and

(c)   Social security, including, if they are unable to support themselves and their dependents (Constitution of South Africa, 1996).

Section 28 stipulates specific rights for children, while Section 29 establishes rights to education. These and other rights are said to be based on the 'democratic values of human dignity, equality and freedom' in Section 7, paragraph 2 (Constitution of South Africa, 1996:13).

Although implementation is at best, very sporadic and irregular in terms of accessibility, coverage and quality, the government has attempted to provide for these rights through an array of state-funded and state-run programmes, some of which predate the transition period (Van Der Berg, Siebrits & Lekezwa, 2010:7). Currently, social assistance and grants are targeted at, among others, pensioners, poor families with children, war veterans and families taking care of children and people in need. Income support to vulnerable households through social security and social-assistance grants has been the fastest growing category of government expenditure since 2001 (Van Der Berg, Siebrits & Lekezwa, 2010:7-20).

The Government of South Africa versus the Grootboom case became the ground-breaking decision on the socio-economic rights. The court considered the positive duties placed on the state by the section (26) (2). The right of 'access", to the particular socio-economic goods listed in section (26) (1) and section 27(1) (Currie & Waal, 2005:577).

The Constitutional Court nonetheless has made judgments with significant budgetary implications. This was affirmed in a case heard on 13 and 30 May 2003 and decided on 4 March 2004 — Khosa and others versus Minister of Social Development 2004 (6) SA 505 (CC) — that dealt with sections of the Social Assistance Act (No 59 of 1992) which disqualified none-South African citizens from receiving social assistance grants. The Court ruled that the citizenship requirement infringed the Constitutional right to equality of citizens of other countries living in South Africa, as permanent residents, and that permanent residents were bearers of the right to social security that the Constitution vested in everyone. Accordingly, the Social Assistance Act 13 of 2004 expanded the eligibility for social assistance to include South African citizens and person's resident in the Republic (Van Der Berg, Siebrits & Lekezwa, 2010:20).

For governments of middle-income countries such as South Africa, giving effect to such constitutional social rights represents a major challenge (South African Human Rights Commission, 2006: 65). The post-apartheid Government has managed to maintain fiscal discipline while significantly expanding the coverage and poverty-alleviating impact of the social assistance system. Whether or not enough has been done to satisfy the constitutional imperative obviously is difficult to establish, however, and some human-rights advocates have argued that a more aggressive approach was required in view of the extent and persistence of poverty in South Africa (South African Human Rights Commission, 2006: 65-66; Van Der Berg, Siebrits & Lekezwa, 2010:20).

3.4.1.2 The Social Assistance Act 6 of 2004

The Social Assistance Act of 2004 replaced the Social Assistance Act 59 of 1992 through which the government distributes financial assistance to the poor. Social assistance was the first of the various strands of social security to develop, often in the form of so-called poor laws, as better explained and called the 'social welfare'(Strydom,2001:7).
The Social Assistance Act was designed to consolidate legal requirements and provisions and

to create uniform norms and standards for social assistance in South Africa (Xaba, 2006:1).

The principal objective of the Act is to provide for the financing of social assistance, administration, make provision for social grants and assistance, and determine the qualification requirements thereof and payment of social grants. Social Assistance codifies the right to one of the following grants: Old Age Grant, Disability Grant, War Veterans Grant, Care Dependency Grant, Foster Child Grant, Child Support Grant or a Grant-in-aid (Mpedi, 2008:30). Before a decision to award a grant is taken, certain requirements are taken into account through a means test. "Means" for the purpose of older persons grant, disability grant, war veteran's grant, and social relief of distress, excluding social relief of distress as contemplated in Regulation 9(1) (f), means the income and assets of:

- An applicant; or
- An applicant and his or her spouse.

These requirements include:

- Evaluation of the income and assets of the person applying for assistance;
- Joint spousal income if one is married; and
- Considering the individual is allowed deductions such as medical aid (Social Assistance Act, 2004, Regulations, 2008:18).

As from 1 April 2006, the responsibility for the management, administration and payment of social assistance grants was transferred to the SASSA. Although all the grant types, except the war veteran grant and grant-in-aid, experienced significant growth in beneficiary numbers during the past decade, the child support grant clearly is the major driver of such growth in the system as a whole. Although it is the smallest of the grants in rand terms, the child support grant dominates social assistance expenditure. At present, nearly 16 million South Africans receive social grants. In his Medium Term Budget Policy Statement of 2013, the former Minister of Finance, Pravin Gordhan, stated that employment and social security is the fastest growing function over the MTEF period, increasing by 14 per cent to R75 billion in the outer year. The number of children receiving the child support grant will increase to 11.4 million (Gordhan, 2013). He further increased spending on social assistance in his Budget Speech of 2014, which has risen from R75 billion in 2008/09 to R118 billion this year. The number of grant recipients has increased from 13.1 million in 2009 to 15.8 million by 2014 (Gordhan, 2014:11).

3.4.1.3 The South African Social Security Act 9 of 2004

In 2004, the administration and the disbursement of social grants were unified when the South African Social Security Agency Act 9 of 2004 established the SASSA. The Social Assistance Act 13 of 2004 regulates its mandate. As per section 2 (I), SASSA was established as a juristic person. The Act provides for the establishment of the SASSA as a schedule 3A public entity in terms of the Public Finance Management Act 1 of 1999 (PFMA) and the management and administration of the delivery and payment of social grants by the Social Security Agency (South African Social Security Act 9, 2004:6).The principal aim of this Act is to make provision for the effective management, administration and payment of social assistance and services through the establishment of the SA Social Security Agency. This Act relates to the Minister's 10-point plan of an integrated and comprehensive social security system. The President signed the Act on the 28th May 2004, which came into operation and established the Agency in November 2004. The Agency is subject to the PFMA (South African Social Security Act 9, 2004: 6).

According to section 3, of the Act the objects of the Agency are to:

(a)   Act (eventually) as the sole agent that will ensure efficient and effective services;

(b)   Serve as an agent for the prospective administration and payment of social grants; and

(c)   Render services relating to such payments, management, administration and payment of social assistance.

In terms of Section 4 (1) of the Act, the functions of the Agency are to:

• Administer social assistance in terms of Chapter 3 of the Social Assistance Act, 2004, and perform any function delegated to it under that Act;

• Collect, collate, maintain and administer such information as necessary for the payment of social security, as well as for the central reconciliation and management of payment of funds in a national data base to all applicants for and beneficiaries of social assistance;

• Establish a compliance and fraud mechanism to ensure the integrity of the social security system is maintained; and

Render any service in accordance with the agreement or a provision of any applicable law as contemplated in subsection 4 (South African Social Security Act 9, 2004). The following table illustrates other legislations relevant to and to which the provision of Social Assistance also

has to adhere to.

Table 3.1 Other legislations relevant to the provision of Social Assistance

Relevant legislation	Applicability to SASSA
Aged Persons Act 81 of 1967	The aim of the Aged persons Act 81 of 1967 was to provide protection, well-being and empowerment to older persons; for the maintenance and promotion of the status, rights, well-being, safety and security of older persons; for the care of their interests; the establishment and registration of certain facilities; accommodation and care of older persons in such facilities; and matters connected therewith (South Africa, 1967:1-7). The Act was amended a number of times before April 1994. Further amendments were made in November 1994 in order to repeal certain discriminatory provisions.
The Older Persons Act 13 of 2006	The Older Persons Bill that was tabled in 2003 was passed into law in 2006. The President has assented to the Older Persons Act, 2006, which repeals the Aged Persons Act, 1967. The 2006 Act was promulgated during the financial year 2007/08. The Act deals effectively with the plight of older persons by establishing a framework aimed at the empowerment and protection of older persons and the promotion and maintenance of their status, rights, well-being, safety and security. This Act provides for older persons to enjoy quality of services while staying with their families in the community for as long as possible.
Child Care Act 74 of 1983	The Child Care Act, 1983, provides for the

	establishment of children's courts for the adoption of children, the establishment of certain institutions, the reception of children and the treatment of children after such reception was amended in 1996 to provide for legal representation for children and for the registration of shelters.
	The 1998 amendment provided for the rights of certain natural fathers, where the adoption of their children born out of wedlock was proposed, and notice to be given. The 1999 amendment provided for the establishment of secure care facilities and for the prohibition against the commercial sexual exploitation of children.
Children's Act 38 of 2005 as amended	The purpose of this amended Act is to give effect to certain rights of children as contained in the Constitution; set out principles relating to the care and protection of children; to define parental responsibilities and rights; make further provision regarding children's courts; provide for the issuing of contribution orders; make new provision for the adoption of children; provide for inter-country adoption; give effect to the Hague Convention on Inter-country Adoption; prohibit child abduction and give effect to the Hague Convention on International Child Abduction; provide for surrogate motherhood; create certain new offences relating to children; and provide for matters connected therewith.
	Social Assistance to children is provided through the Social Assistance Act 13 of 2004 and 2005 and Regulations in the form of foster care grants, child support grant, and care dependency grant.

Promotion of Access to Information Act 2 of 2000	This Act is aimed at: (a) promoting access to information and not the withholding of information, disclosure and not being secrecy. (b) to give effect to the constitutional right of access to; (i) any information held by the State; and (ii) any information that is held by another person and that is required for the exercise or protection of any rights.
Promotion of Justice Act 3 of 1999 (PAJA)	The aim of this Act in relation to administration of social grants is: • to give effect to the right to administrative action that is lawful, reasonable and Aprocedurally fair; and the right to written reasons for administrative action as contemplated in section 33 of the Constitution, and to provide for matters related to this.
Public Finance Management Act 1 of 1999 (PFMA) as amended	SASSA was established as a schedule 3 government entity and as such, has to administer its mandate and all its activities in line with the PFMA. The Act promotes the objective of good financial management in order to maximise delivery through the efficient and effective use of limited resources.
Public Service Act 103 of 1994, as amended	The aim of this Act is to provide for the organisation and administration of the public service of the Republic, the regulation of the conditions of employment, terms of office, discipline, retirement and discharge of members of the public service, and matters connected therewith.
Special Pensions Act 69 of 1996	The objectives of this Act is to give effect to Section 189 of the Constitution which provides for special pensions to be paid to persons who made sacrifices or

	served public interest in the cause of establishing a democratic constitutional order; to prescribe rules for determining the persons who are entitled to receive these pensions; to establish a Special Pensions Board and a Special Pensions Review Board; and to provide for related matters**.**

This concludes a brief exposition of the statutory framework for social assistance. This framework provides for the legislative mandate for all agencies involved in social assistance. In the next section, focus will shift to the regulatory framework governing social assistance in South Africa.

3.4.2   Regulatory framework governing social assistance

Legislative measures by themselves as maintained by Currie and Waal (2005:578) are not likely to constitute constitutional compliance. Mere legislation is not enough; the state is obliged to act to achieve the intended result, and legislative measures have to be supported by appropriate, well-directed policies and programmes implemented by the executives. In the following section, few of the relevant regulatory documents for ensuring effective transformation of service delivery of social assistance programmes are highlighted.

3.4. 2.1 White Paper on Transforming Public Service (1995)

The White Paper on the Transformation of the Public Service (WPTPS), published on 24 November 1995, sets out eight transformation priorities, amongst which is the transformation of service delivery. This is because a transformed South African public service will be judged by one criterion, which is its effectiveness in delivering services, which meet the basic needs of all South African citizens. Improving service delivery is therefore the ultimate goal of the public service transformation programme. The principle aim of this White Paper and its relevance on social assistance is to give guidance to the introduction and implementation of new policies and legislation that should be aimed at transforming provision of social assistance programmes (White Paper on Transforming Public Service, 1995).

The scope of the White Paper covers three spheres of public agencies, and SASSA falls within one of the service delivery agencies, delivering services directly to the public. SASSA's service standards are therefore underpinned by the strategic framework for change, specific policy objectives, guidelines and instruments to carry the transformation process forward.

3.4.2.2 White Paper on Transforming Public Service Delivery (1997) (Batho Pele - "People First")

As postulated by former Minister Skweyiya in his foreword on the Batho Pele (translated as "People First") White Paper on Transforming Public Service Delivery (1997), is a relentless search for increased efficiency and the reduction of wastage within the Public Service. Every Rand wasted in cumbersome, inefficient processes, delays and duplications - is money, which could be invested in improving services. The aim is 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" (Department of Public Service and Administration, 1997:10).

This White Paper is primarily about how public services are provided, and specifically about improving the efficiency and effectiveness of the way in which services are delivered. It is not about what services are to be provided (their volume, level and quality, which are a matter for Ministers, Members of the Executive Councils (MECs), the executing authorities and the duly appointed heads of government institutions). However, their decisions about what should be delivered will be improved as a result of the Batho Pele approach, for example, through systematic consultation with users of services, and by information about whether standards of service are being met in practice (White Paper on the Transformation of the Public Service Delivery, 1997).

There are eight Bathe Pele principles that have been identified for transforming public service delivery. These are expressed in broad terms in order to enable national and provincial departments to apply them in accordance with their own needs and circumstances. The Batho Pele principles are:

- Consulting users of services
- Setting Service Standards
- Increasing Access
- Ensuring courtesy

- Providing more and better information

- Increasing openness and transparency

- Remedying mistakes and failures

- Getting the best possible value for money (White Paper on the Transformation of the Public Service Delivery, 1997).

These principles are most relevant and critical in treating citizens as 'customers' and imply that SASSA should:

- Listen to their views and take these into account when making decisions on what services should be provided;

- Treat customers with consideration and respect;

- Make sure that the promised level and quality of service is always of the highest standard; and

- Respond swiftly and sympathetically when standards of service fall below the promised standard (White Paper on the Transformation of the Public Service, 1995).

3.4. 2. 3 *White Paper on Social Welfare (1997)*

The White Paper on Social Welfare published by the Department of Welfare in 1997 contained the policy framework for restructuring of social welfare in the country. The approach that the new government chose was based on the concept of developmental social welfare. Schedule 4 of the Constitution of the Republic of South Africa lists welfare services as a functional area of concurrent national and provincial legislative competence. It emphasised that social development cannot take place without economic development and that economic development is meaningless unless it is accompanied by improvements in social welfare. According to Haarmann, (2001:24) the South African Government sought not only to restructure the existing welfare system in an equitable and non-racial way, but also to also radically define the roles and responsibilities of welfare. Thus, post-apartheid South Africa committed itself to proactively use welfare as a poverty alleviation programme, linking social and economic development strategies and assigning an interventionist role to the state to bring about change and well-being in society as a whole (Haarmann, 2001: 25).

Five major areas within which there were challenges and which were the basis of the introduction of the White Paper, were identified: "access to social service due to lack of education, employment opportunities, access to services being the main reasons that many people were deprived of their dignity and the ability to look after themselves" (White Paper on Social Welfare, 1997).

The White Paper based its policy framework on the interrelationship between social and economic development. It pointed out that "social welfare policies will be developed which will be targeted at poverty prevention, alleviation and reduction and the development of people's capacity to take charge of their own circumstances in a meaningful way" (Department of Welfare, 1997). The ultimate aim of the White Paper was to "facilitate the provision of appropriate developmental social welfare services to all South Africans, especially those living in poverty, those who are vulnerable and those who have special needs" (Department of Welfare, 1997).

3.4. 2. 4 White Paper on Population Policy (1998)

As stated by Burger (2007:15) various policies were put in place after 1994 to address the difficulties facing South Africa. The Reconstruction and Development Programme (RDP), the election policy of the African National Congress (ANC), was the first of these policies and subsequently turned into a White Paper after the democratic elections.

A number of major population issues needed to be addressed as part of the overall socio-economic development of the country, as reflected in the Reconstruction and Development Programme (RDP) and the Growth Employment and Redistribution (GEAR) strategy of the Government of South Africa. The White Paper described the RDP as, "a policy framework for integrated and coherent socio-economic progress (Burger, 2007:15). It seeks to mobilize all our people and our country's resources toward the final eradication of the results of apartheid" (Haasbroek, 2009:1).

This population policy is complementary to the National Development Plans and macro-economic policies of RDP and GEAR Strategies. The national population policy primarily seeks to influence the country's population trends in such a way that these trends are consistent with the achievement of sustainable human development. The population policy

described in this White Paper is designed to provide a comprehensive and multi-sectoral framework for addressing population issues that are currently considered not commensurate with achieving sustainable socio-economic and environmental development inequalities while substantially enhancing the quality of life of the entire population (White Paper on Population Policy of 1998:7).

The concerns spelt out in the policy pertain to problems associated with poverty and gender discrimination, which will then assist SASSA in its projection, and planning of resources based on the geographic demographics. It will also assist the Agency in paying attention to the past degradation and gross socio-economic inequities between rich and the poor and between the urban and rural sections of the population (White Paper on Population Policy of 1998).

Having looked at the statutory and regulatory framework governing the administration of social assistance in South Africa, the next section will highlight some of the key challenges identified as key in the current legislative framework.

3.5 CORE CHALLENGES ASSOCIATED WITH LEGISLATIVE AND REGULATORY FRAMEWORK

In this section looking at challenges with the current legislation formulation and framework within the South African Public Service, will assist to enhance a more effective policy-making framework between DSD and SASSA for policy implementation.

As noted by Mpedi (2008:14) the introduction of many new social security laws, rules and regulations have been adopted in South Africa in the last decade. Mpedi identifies challenges such as the influx of new (social security) laws, conflict between various laws, access to information and legal and financial resources as some of the reasons contributing to challenges within the legislative framework. As some of these laws are in the form of amendments, at times it is difficult to know what version of the law is in force. This problem was noted in the case of Cele vs South African Social Security Agency and 22 related cases (Cele case). Whilst section 32 of the 2004 Act makes provisions for the promulgation of regulations dealing with the establishment of uniform standards and the proper administration or implementation of the Act, it appeared that no such regulations had been made.

At the time of the hearing before the Constitutional Court both the Social Assistance Act of 2004, and the Act establishing SASSA had been passed by Parliament. Within five months of the judgment draft regulations were promulgated. Three years after their promulgation the regulations have not yet been finalised.

All this can only serve to emphasise the necessity for policy-makers to ensure that all policies are coherent and properly coordinated to ensure effective implementation, and avoid a form of litigation.

3.6   CONCLUSION

From the various definitions as provided by the ILO, the Convention No 52, the International Covenant on Economic, Cultural and Social Rights (ICESCR) of 1966, to the European Committee Regulation 1408/17, it is evident that various countries still differ on the specifics of social security. Others define it as the nature of the protection, the manner in which the funds are collected, the contingencies in respect of which security is to be provided and the nature, size and duration of the benefits attached to these contingencies (Strydom, 2001:4). There is also vast differentiation in the definition and coverage between the developed countries versus the underdeveloped countries. Others have defined it in view of social protection of communities, which has been debated as very limiting within the context of underdeveloped countries.

As noted by most authors such as Strydom (2001:4), Mpedi (2008:5) and Patel (2011: 365) social security is defined as a more encompassing poverty alleviation programme in the South African context. It does not confine itself within the social insurance and social assistance spheres, but goes further to include the social "safety nets", social relief of distress and both formal and informal savings. They is a notion that the legislation governing social security in South Africa is haphazard and scattered in a number of acts. These laws have been enacted, amended and, in some instances, repealed over the years in an unsystematic manner. As a result, there is great uncertainty as to which laws or regulations are actually applicable in a given case.

Although social security is a human right, only a minority of the world's population actually enjoy that right, while the majority lacks comprehensive and adequate coverage. More than

half lack any type of protection at all. In sub-Saharan Africa and South Asia, the number of people with access to even the most rudimentary protection is estimated to be less than 10 per cent. In addition, people in these countries need social protection, in particular when facing additional demographic and labour force challenges due to the impact of HIV/ AIDS (International Labour Organisation, 2010/11).

In the next chapter, an exploration of the current implementation of the social assistance policy in relation to the policy formulation theories and process will be outlined. It will also assess problems and challenges pertaining to the implementation of policy in general since the establishment of SASSA in view of the above legislative framework. Focus of implementation will be on the Gauteng region as a case study. Based on the literature review and the empirical research, the chapter will also explore the best processes to apply in resolving the implementation challenges.

CHAPTER 4

EXPLORATION OF POLICY IMPLEMENTATION FOR SOCIAL ASSISTANCE: THE CASE OF SASSA, GAUTENG

4.1   INTRODUCTION

In the previous chapter, focus was placed on an exploration of the various international and regional instruments governing social security and social assistance. The exploration included the origin of social security and the types of programmes associated with it. The various definitions of Social Security as well as the segments detailing Social Security and Social Assistance programmes were also explored. In defining Social Security within the international context, it was established that social assistance as provided by most of the developed outcomes has secure limitations when comparing to the South African perspective. These were identified as the same provision of Social Relief Distress, an interim relief due to some hardships or disaster, and for informal and formal private savings as found in schemes such as stokvels, and burial societies. The previous chapter further unpacked the various statutory and regulatory frameworks underlining the right to Social Security both international and regionally. The South African statutory and regulatory framework governing the provision of social security and social assistance, as well as the establishment and functioning of the current South African Social Security Agency. The Constitution, as the determining Statute for the provision of Social Security, the Social Assistance Act 14 of 2004, and the South African Social Security Act of 2006, which made provision for the establishment of SASSA also referred to as the Agency (SASSA, 2004:2).

This chapter is aimed at exploring policy-making process between DSD and SASSA, in relation to the social assistance implementation, and further assess how policy is implemented using the Gauteng region as a case study. The chapter will identify and explore key success factors and the importance of stakeholder participation in policy formulation for effective well-structured policies, and variables for policy-making, and policy implementation in detail. A South African historical background on provision of social assistance prior to establishment of SASSA. A comparison with other countries both in developed and developing countries will summarily be provided.

The purpose will be to illustrate the evolution of social assistance in South Africa prior 1994. Also illustrate how after the ANC government took over in 1994 brought equality in the administration of these social assistance grants to address the issue of poverty.

The next chapter's focus will be on provision of the specific implications and impact of policy changes, while illustrating in detail how some of the policy implementation has had challenges. The chapter will conclude by providing successes and detailing problems and challenges pertaining to the implementation of social assistance policy in general, since the establishment of SASSA and focusing on Gauteng region.

4.2   PROVISION OF SOCIAL SECURITY SYSTEMS WITHIN THE SOUTH AFRICAN CONTEXT

This section aims to provide an overview of the extent of poverty in South Africa. This section is also aimed at illustrating how social security as a poverty alleviation intervention has changed people's lives in South Africa. Conceptions and applications of social security and social assistance will also be highlighted. It will be followed by a summary of the social security context in South Africa with specific reference to how it has evolved since 1994.

4.2.1   Inequality and poverty

Fields (2000:73 in Govender, 2011:44) defines the word "poverty" as "the inability of an individual or a family to command sufficient resources to satisfy basic needs". A "basket of basic needs" is defined and costed after which the recipient is classified as poor if his/her income (or consumption which could also be the chosen measure of economic well-being) is below the cut-off amount. This cut-off amount is the poverty line. The poverty line is a measure of the minimum requirement that is necessary to sustain an essential standard of living. Income that is sufficient to purchase the basic food (caloric) and other essential goods and services necessary for survival. The poverty line has to be adjusted as the cost of goods that form its components (inflation) rises over time. Poverty in academic discourse is often related to some measure of basic goods that are necessary for an acceptable standard of living (Govender, 2011:44).

Poverty is also defined as a multifaceted phenomenon, and actions geared towards eradicating it imply that the facets that manifest it must be progressively and comprehensively attended to in order to improve the material well-being of citizens (UNDP, 2010:23). The Millennium Development Goals (MDG 1) have identified targets for addressing extreme poverty and hunger under MDG 1. The key indicator for this goal is 'a dollar a day'. This measure has been revised upwards over time to take into account the changing cost of living. Secondly, for low-income countries the target was a dollar a day, whilst for middle-income countries the measure was set at $2.50 a day (UNDP, 2010: 23).

As promulgated in the Reconstruction and Development Programme of 1994, "no political democracy can survive and flourish if the mass of our people remain in poverty, without land, without tangible prospects for a better life, attacking poverty and deprivation must therefore be the first priority of a democratic government"(Reconstruction and Development Programme,1994). Bowes and Pennington (2014:40) further argue that poverty is defined as a contentious issue and results in very different statistical estimates.

As debated by various authors such as Bowes and Pennington (2014) and Meth (2008:12) one of the issues that South Africa has not been able to fully address since 1994 is poverty alleviation. According to the recent Food and Agriculture Organization of the United Nations (FAO) report, the number of people living in hunger in the world rose to over a billion in 2009, the highest on record. These multiple crises have set back the progress many countries have made towards achieving the internationally agreed development goals, including the Millennium Development Goals (United Nations, 2011: iii). However it is stated in the United Nations Report (2011: iii) that the proportion of people experiencing absolute poverty has declined.

Reddy and Sokomani (2008:11) argue that, "poverty and unemployment is real out there and people lack options...And that exacerbates the extent to which fraud has increased in the grant system as people will attempt to alter their behaviour because of unemployment". Van Ginneken and McKinnon (2007: 18) also are of the view that the only means of survival for such people in the absence of a job is the assistance offered by the state in the form of social security grants. Since coming into power in 1994 the ANC Government has been focused on improving the policies governing provision of social assistance as it is regarded as one of the

major contributor in poverty alleviation. South Africa is said to confront high levels of poverty and inequality (Van Ginneken & McKinnon, 2007:18).

According to the Millennium Development Goals Report (2012: iii), for the first time since recording on poverty began, the number of people living in extreme poverty has fallen in every developing region, including sub-Saharan Africa. In Africa, the situation has improved but the number of working poor is still high. They accounted for 39.1 per cent of total employment in Africa (excluding North Africa) in 2011, a decline of 15.7 percentage points between 2000 and 2010 that stems from two main factors. First, the moderately good economic growth of the last decade has, plausibly, pushed wages above the international poverty line. Second, affirmative action has upgraded the conditions of the working poor. Examples include Algeria's employment policy and South Africa's New Growth Path, which introduced measures to tackle poverty and inequality through social transfers. Many other countries raised national minimum wages during 2008–2011, such as Algeria, Angola, Cameroon, Mauritania, Nigeria and Tanzania (Millennium Development Goals Report, 2012: 17).

The world has reduced extreme poverty by half. In 1990, almost half of the population in developing regions lived on less than $1.25 a day. This rate dropped to 22 per cent by 2010, reducing the number of people living in extreme poverty by 700 million (Millennium Development Goals Report, 2014:4).

It is further noted in the UNDP/MGD report (2010:2) that between 1996 and 2001, there has been an increase in unemployment across all provinces, with an average of 33, 9% to 41, and 6% in South Africa. As per the country MGD report of 2010 South Africa has experienced a decline in poverty largely as a result of a significant income transfer programme, massive reallocation of pro-poor expenditure, for example on housing, water, electricity and sanitation. In order to make bold statements on progress or lack of it, statistics becomes the basis for evidence based policy- making needed (UNDP/MGD report, 2010:2).

In the South African context, poverty and unemployment remain structurally inter-linked. The employment to population ratio in South Africa since 2001 is low, averaging 51% for males and 37% for females. The national average is approximately 43%. This ratio suggests a high level of unemployment in South Africa, which although declined from a high of 29% in 2000 to a low of 24% in 2009, remains high by any standard. The result of this phenomenon is a

potential increase of poverty especially amongst females. Currently according to the CIA World Fact book 2013, as stated in the UNDP/MGD report (2010:27-30) the unemployment rate is estimated at 24, 4%. As postulated in the National Development Plan (NDP), the GDP of the 10 largest countries makes up more than 70 per cent of the continent's total, and 34 of the world's 48 poorest countries are African. The average annual income south of the Sahara, excluding South Africa, is only US$342, and more than 40 per cent of the people in sub-Saharan Africa live on less than US$1 a day. About 54 per cent of Africa's youth are unemployed today, and nearly three quarters live on less than US$2 a day. Unless this changes, the potential for political instability is great. Recent developments in North Africa have shown the consequences when young people do not find work and feel deprived of 'dignity" (NDP, 2013:86).

However things have changed for the worst as recently reported by Statistics South Africa in their Quarterly Labour Force Survey (QLFS): Quarter 1 (January to March), 2013, on 6 May 2013, the number of employment increased by 44 000 to 13, 6 million, while unemployed South Africans increased by 100,000 people to 4.6 million. It reveals that the country's official unemployment rate stood at 25.2 per cent as compared to 24.9 per cent in the fourth quarter of 2012. Statistics South Africa's official definition of unemployment is "someone aged between 15 and 64 who is without work in the week preceding the interview, but who looks for work and is available to take up employment or open a business". In the expanded definition of unemployment, which includes people who have stopped looking for work, the rate stood at 36.7 per cent in the first quarter of this year, the highest since 2008. For the unemployment rate to fall from 24.9 per cent in June 2012 to 14 per cent by 2020 and to 6 per cent by 2030 requires an additional 11 million jobs. Total employment should rise from 13 million to 24 million by 2030 (NDP, 2013:57).

4.2.2   Global Social Security Systems for poverty alleviation

Basic social protection for all is necessary in an era of increased economic insecurity due to globalization and accompanying formalisation and casualisation trends in the labour market (United Nations, 2009:159). The term "social protection" is used to mean protection provided by social security systems in the case of social risks and needs. Social protection is often interpreted as having a broader character than social security (including, in particular,

protection provided between members of the family or members of a local community). It is also used in some contexts with a narrower meaning than social security (understood as comprising only measures addressed to the poorest, most vulnerable or excluded members of society). Thus, unfortunately, in many contexts the terms "social security" and "social protection" are used interchangeably (United Nations, 2009:159; Global Extension of Social Security, 2012).

The current global crises and the impact on workers in developed and developing countries alike further underscore the importance of providing a social protection floor for poor people as well as for the non-poor (United Nations, 2009:159). For people living in poverty, the extension of some form of basic social protection will help avert their falling deeper into poverty; for the non-poor, such protection will reduce their vulnerability to poverty. The United Nations, 2009, concluded that extending basic social protection to all should be a component of all stimulus packages. In the short term, benefits will allow the people who need assistance the most to support their consumption, generating much needed demand during economic recession; in the long run, social investment in human capital nutrition, health and education) will strengthen future growth (United Nations,2009:159-160).

According to the International Social Security Association report (ISSA: 2010) the global economic downswing has brought the focus on social protection as an economic shock absorber, poverty alleviator and social cohesion catalyst. Extension of social security policies that reduce long-term dependence through transfers promoting employment, productivity and individual's capacity to generate income, boost aggregate demand and help economic recovery (ISSA, 2010). As referred to by the ILO Recommendation, 2012 (No. 202) the social protection floors should comprise at least the following basic social security guarantees:

- access to a nationally defined set of goods and services, constituting essential health care, including maternity care, that meets the criteria of availability, accessibility, acceptability and quality;
- basic income security for children, at least at a nationally defined minimum level, providing access to nutrition, education, care and any other necessary goods and services;
- basic income security, at least at a nationally defined minimum level, for persons in active age who are unable to earn sufficient income, in particular in cases of sickness, unemployment, maternity and disability; and

- basic income security, at least at a nationally defined minimum level, for older persons.

Govender (2011:41) and Triegaardt (2007:218) note that social security systems in developing countries were influenced by European and British social security systems, and that circumstances that confront the poor in developing countries are dissimilar and very often call for a different type of response. South Africa is no exception to this. In developed nations, social security is well developed and receives government support. It is usually in place to provide for the unemployed, disabled and the elderly. This contrasts with the situation in many developing countries, where social security only covers small sections of the population and even then, it is not as comprehensive as that which is available in developed nations.

Govender (2011:41) and Triegaardt (2007:218) further maintains that Social security covers a wide variety of public and private measures that provide cash or in-kind benefits or both, first, in the event of an individual's earning power permanently ceasing, being interrupted, never developing, or being exercised only at unacceptable social cost and such person being unable to avoid poverty and secondly, in order to maintain children. The domains of social security are:
- poverty prevention;
- poverty alleviation;
- social compensation; and
- income distribution.

According to Samson et al. (2007:7), universal schemes are key instruments to eliminate coverage gaps in social security systems, because they cover the entire resident population irrespective of employment status and contributory capacity. There are convincing examples of success with universal social benefit systems in Africa, Latin America and Asia. According to Samson et al. (2007:7), unconditional transfers include social pensions, child support grants, family assistance, widows' allowances and grants for people with disabilities. They maintain that social pensions are non-contributory cash grants to older people either provided universally (subject to age requirements) or with eligibility established using a means test. Examples include pension programmes in Bangladesh, Brazil, Lesotho, Namibia, Nepal, South Africa, and other countries (Samson et al., 2007:7).

Samson et al. (2007:7-8) further proclaim that child and family allowances provide cash or near-cash like food stamps (the latter usually increases transaction costs and can create distortions for example when households must convert food stamps into cash in order to pay for essential medical treatment) which transfers to poor households or families. Examples include South Africa's Child Support Grant, Namibia's Child Maintenance Grants and Foster Parent Grants; Zambia's Kalomo pilot cash transfer scheme, and Kyrgyzstan's Unified Monthly Benefit. Examples of other types of programmes – such as Disability Allowances and Widow's Allowances – include India's National Family Benefit Scheme (NFBS), Bangladesh's Assistance Programme for Widowed and Destitute Women (APWDW), Brazil's disability assistance programmes, and Namibia's and South Africa's disability grants.

The following table illustrates the impact of social security transfers on poverty and inequality internationally according to DSD presentation on extending child support grants (CSG) to cover orphans –8 August 2013.

Table 4.1 International impact of social security transfers on poverty and inequality
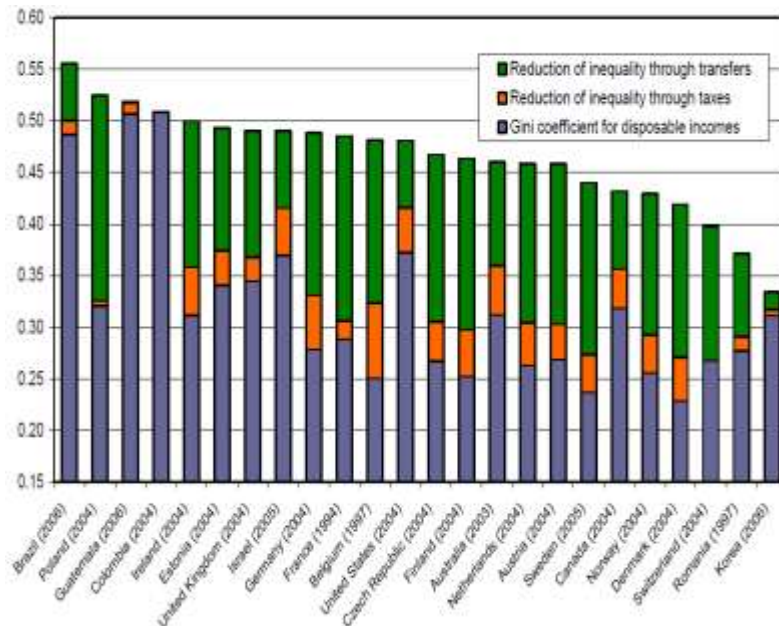
Source: DSD presentation on extending child support grants (CSG) to cover orphans –
            8 August 2013.

The above table illustrate the impact of social security transfers on poverty and inequality looking at the various developed and underdeveloped countries. Most social scientists, policymakers, and citizens who support the welfare state do so in part because they believe

social-welfare programs help to reduce the incidence of poverty. Yet a growing number of critics assert that such programs in fact fail to decrease poverty, because too small a share of transfers actually reaches the poor, or because such programs create a welfare/poverty trap, or because they weaken the economy. The following section will explore the various extensive social welfare programs that are also aimed at reducing poverty.

4.2.3   The South African social security context

Within the South African context, the social protection system as postulated in the NDP (2030) includes non-income transfers and a set of basic services. Basic services complement people's earnings to ensure that everybody can access a minimum level of consumption. These have had a significant impact in addressing poverty and asset inequality. Key elements of the system include:

- social assistance cash grants for children, the aged and persons with disabilities access to free basic services, such as shelter, water, sanitation and energy for poor households;
- free education in 60 per cent of schools in poor communities;
- a school nutrition and transport programme;
- free health care for pregnant women and children under six statutory social insurance arrangements, i.e. unemployment insurance fund (UIF), compensation for injury and disease (COIDA) and the road accident fund (RAF);
- voluntary social security arrangements for those formally employed, i.e. pensions and provident funds;
- active labour market policies to facilitate labour market entry and redress the inequalities that are inherent in the system due to apartheid;
- income support for the working-age poor through public works programmes; and
- a developmental social welfare approach, with a focus on individuals, families and communities (NDP (2030:355-356).

Four elements identified within the social security package are the following: private savings, social insurance, social assistance and social relief. Below, social insurance is briefly contrasted with social assistance:

- **Social insurance:** Social insurance includes, for example, joint contributions by employers and employees to pension or provident funds, or insurance covering unexpected events and/or

contributions paid by government and private companies to cover accidents at work. The government may contribute to social insurance covering accidents at work.

- **Social assistance:** Social assistance refers to non-contributory benefits paid by the state to groups such as people with disabilities, children whose care-givers have to pass an income-based means test or people who are unable to earn income due to ill-health, or disability. Social relief includes short-term measures to tide over people in need when they face a particular individual or community crisis. Arguably, social assistance is the measure in the social security package that is most significant for children made vulnerable by HIV/AIDS. In this study, only the social assistance part of the social security package is studied (Streak, 2005:7-8).

As postulated in various international agreement, such as the International Covenant on Economic, Cultural and Social Rights (ICESCR) , International Labour Office (ILO), social assistance schemes are usually tax-financed and do not require a direct contribution from beneficiaries or their employers as a condition of entitlement to receive relevant benefits. They are non-contributory and income-tested benefits provided by the State to groups such as people with disabilities, elderly people and unsupported parents and children who are unable to provide for their own minimum needs. Social security benefits are conditional on the level of income of recipient, i.e. are means-tested or based on similar forms of targeting (e.g. proxy means test, geographical targeting), are generally called social assistance. They are generally a device to alleviate/reduce poverty. Benefits can be delivered in cash or in kind. "Conditional" social assistance schemes require beneficiaries (and/or their relatives or families), in addition to other conditions, to participate in prescribed public programmes (e.g. specified health or educational programmes)." In recent years, schemes of this type have become known as conditional cash transfer (CCT) schemes (Schubert and Slater, 2006:571-578).

The International Labour Office (ILO), Geneva (2010), describes principal features of social assistance schemes as follows:
- The whole cost of the programme met by the state
- In assessing need, a person's other income and resources are taken into account (means-test or other forms of targeting).Targeting methods can involve means-test(assessing income or assets), proxy means–test or alternative methods such as geographical targeting;

- The benefits grant is meant to bring an individual's or household 's total income up to a specified minimum, taking into account family size and special needs of the individual or household, such as medical –aid in the South African context;

- While in some countries, minimum income support benefits are usually paid as a legal right in prescribed categories of need, others programmes are rather fragmented and not based on a comprehensive legal framework.

- Some schemes focus on a specific target group (such as poor families with children, or older persons with insufficient resources), while others provide generalised income support to all in need; and

- Minimum income support and other social assistance schemes usually provide cash transfers but may also provide access to health, education and other social services (International Labour Office, 2010).

Social assistance in South Africa, currently provides a safety net for the most vulnerable and contribute to the monthly incomes of over 16 million people in 2013, with the highest being the child support grant. Parents or caregivers earning less than R2 800 per month are eligible for the child support grant, which pays R280 per month for each child they are looking after. The number of child support grant beneficiaries has risen from 5.7 million in 2004/2005 to about 11.4 million in 2013 because of the increase in the eligibility age to a child's 18th birthday. An impact study conducted in 2012 found that receipt of this grant promotes early childhood development, improves educational outcomes, and contributes to better nutrition and health (National Treasury Budget Review, 2013:81- 84).

The National Development Plan 2030 (NDP) recognises that reducing the cost of living is essential for broadening economic participation and eliminating poverty. Alongside the "economic wage" earned through work, the "social wage" provided by government represents a steadily rising contribution to improved living conditions of working people and their families. Spending on social development, health, and education, housing and local amenities has more than doubled in real terms over the past decade and now accounts for almost 60 per cent of public expenditure. In the fiscally constrained period ahead, the emphasis will need to be on improved value for money (NDP, 2013:12).

Social development spending has also improved living conditions over the past decade, but

service delivery must be improved through shared efforts between government, the private sector and civil society. Further steps in retirement reform, improvements in contributory social insurance and piloting of national health insurance reforms will progress over the medium term, reinforcing the links between earnings, social services and income support (National Development Plan 2030, 2013: 12; National Treasury Budget Review, 2013:81).

The social security system in South African consists mainly of two major elements:

- Social insurance – which is a joint contribution by employers and employees to pension or provident funds, or social insurance covering other unexpected events. Government may also contribute to social insurance covering accidents at work.
- Social assistance in South Africa, has taken the form of social grants, and social relief short-term measures to tide people over a particular individual or community crisis.

This is also non-contributory and needs-tested (White Paper for Social Welfare, 1997:49-50). Social Assistance is an income transfer in the form of a grant or financial award provided by government to a South African resident who is unable to sustain themselves. A social grant refers to adult grants, that is, disability grant, a grant for the aged and a war veteran's grant, and children's grants such as foster care, care dependency and child support grants. Before a decision to award a grant is taken, certain requirements are taken into account through a means test. Social Assistance is provided in the form of one of the following grants: Old Age Grant, Disability Grant, War Veterans Grant, Care Dependency Grant, Foster Child Grant, Child Support Grant or a Grant-in-aid; and Social Relief of Distress (SASSA You and Your Grants: 2014/15).

- Social Relief of Distress - refers to short-term measures that tide people over a particular individual's needs or a community crisis. This is also non-contributory and means test. The domains of social security include poverty prevention, poverty alleviation, social compensation and income distribution. The aged are the principal members of pension schemes and one also needed to consider how ageing had impacted on the costs of healthcare systems.
- Private savings refers to people voluntarily saving for unexpected contingencies such as disability, retirement and chronic diseases (South Africa, 1997a:31).

As observed by numerous authors such as Burns, Keswell and Leibbrandt (2004:1), Bowes and Pennington (2004:44), and Friedman and Bhengu (2008:14), there has been various programmes undertaken by Government since 1994 to fight poverty in South Africa which can be grouped into various categories of public expenditure. These have been identified as the following:

- Social assistance and grants. These are long and medium term cash transfers (e.g. including the Old Age, Disability, Child Support, Foster Care Grants and Grant-in-Aid.

- Employment generating programmes, enterprise development and income support such as the Poverty Alleviation Projects, Community Based Public Works Program, and Expanded Public Works Programme. Working for Water Program and Working for the Coast Programme, Learnerships, Cooperatives, and perhaps special Flagship Programmes such as for example the National Youth Service.

- Basic household expended social programme for the indigent people provided by Municipalities, such as free access to basic necessities, such as food, water, housing and electricity.

- Other government strategies such as the Integrated Sustainable Rural Development Strategy, Rural Infrastructure Strategy and Free Basic Services Coordination; Free education including Early Childhood Development and free schooling; Health protection programs including Primary Health Care, the Integrated Nutrition Program, National School Nutrition Program, Prevention of Blindness/Vision 2020, Free Health Care Services and Protein Energy Malnutrition Scheme; Assistance for people with special needs including Home-based/ Community Care; Program for Children and Families Affected and Infected by HIV/AIDS and an Assistive Devices for the Disabled.

- Social services provided by the Department of Social Development in the form of free adoption, child protection as in foster care placements, provision of school uniforms, early childhood development (ECD) programmes.

- Disaster relief: These are short-term cash or in-kind cash and in-kind transfers for crises including (e.g. the social relief of distress, Social Relief Fund, Disaster Relief Fund, Refugee Relief Fund, the Special Program for Food Security and in-kind transfers during food crisis through the National Food Emergency Fund.

All of the above are all programmes have a bearing on the experience of poverty and interventions provided by government given the multi-dimensional nature of poverty in South Africa.

The International Social Security Association (2011) maintains that besides all the contrasts between social security systems of developed countries' and the developing countries, there are many lessons from developed countries. Some of the experiences that can be learned by South Africa include the following:

- social security proves to be an important instrument for social stability;
- social security systems have to be connected to overall economic development so as not to overburden an economy in times of decline;
- social security can develop more egalitarian societies;
- social security benefits have some limitations, especially, when unemployment benefits become so high that they create a disincentives such as not seeking employment with a negative effect on the economy;
- in the design of a social security system, market principles have to be considered;
- social security has to integrate people into the economy system;
- existence of a large informal sector makes going beyond a social insurance system imperative; and
- the already existing social inequalities and poverty is a wake-up call for the Government to put in place efficient redistributive measures (ISSA, 2011:2).

Van der Berg and Bredenkamp (2002:40 in Lalthapersad-Pillay, 2007:18) state that South Africa has an extremely advanced system of social security compared to countries with similar levels of per capita income, although the authors also emphasise that the system has pervasive gaps in coverage and is close to its capacity limit. Among all African countries South Africa as at end of March 2013, had the largest social pension assistance with more than 16 million citizens assisted with old age pensions, disability, foster care, care dependency and child support grants, and the Child Support Grant being the largest. Policies aimed at the alleviation of inequality and poverty have focused on the extension of access to basic services, the widening of the social safety net and programmes concentrating on job creation (Lalthapersad-Pillay,2007:18). The primary part of the South African government's poverty

alleviation measures is the provision of social assistance (The Presidency, 2006).

According to Booysen and Van der Berg (2005:546), South Africa is on the same level with its social security system as many developed countries. However, the number of people receiving social assistance or social grants has increased tremendously from 1994 to the present. The social security grant system in South Africa is said to be among the most far-reaching and generous in the developing world (Burns, Keswell & Leibbrandt, and 2004:1). Representing the core component of the South African social safety net, it plays a critical and important role in sustaining and enhancing the quality of life of over fifteen million citizens. Access to the various available forms of social assistance is both a constitutional right and hence it is regarded as one of the main poverty alleviation programme of government (Bowes & Pennington, 2004:228; Van Ginneken, 2007:2; Meth, 2008:10).

However, on the contrary it is argued in the UNDP (2010) that whilst South Africa is classified as a middle-income country, its society's income is very unevenly spread. The majority of the population qualifies the country as a low-income country. It is at this part of society that government interventions are targeted, and it is in this sector where MDG 1 is applicable. Government adopted a comprehensive approach to eradicating extreme poverty and hunger. There is little understanding of the significant role-played in the past by social assistance money in alleviating poverty. Surveys show that the grants for elderly and disabled people have a significant impact on the incomes of households, which receive social grants. Social assistance is a vital element in providing food and general security. This is especially true of the African population, African women, and people in rural areas (UNDP, 2010:23).

Van Der Berg, Siebrits and Lekezwa (2010:7-20) maintains that social grants contribute about 20% of households half of the income of the poorest, and have approximately doubled in real terms between 2000 and 2007. In 2005, this amounted to R70-13824 a year and 3, 4% of gross domestic product (GDP). South Africa currently spends about 3.9% of its GDP towards social assistance, which is arguably reasonable, especially compared to other developing countries, there has been a substantial increase on expenditure on social grants from period 2007 to current 2013/14 with the establishment of SASSA, as illustrated in the table below.

Table 4.2   Social Grant expenditure by grant type (2007/08 to 2013/14)

R million	2007/08 Actual	2008/09 Actual	2009/10 Actual	2010/11 Revised estimate	2011/12	2012/13 Projected	2013/14	% Growth Per Annum
Old-age	22,801	25,934	29,826	33,797	36,571	39,913	42,975	11.10%
War veterans	22	20	17	14	12	11	10	-12.30%
Disability	15,280	16,474	16,567	17,080	17,813	19,439	20,626	5.10%
Foster care	3,414	3,934	4,434	4,898	5,536	5,833	6,281	10.70%
Care dependency	1,132	1,292	1,434	1,582	1,727	1,885	2,129	11.10%
Child support	19,625	22,348	26,670	30,594	35,564	38,810	41,993	13.50%
Grant-in-aid	87	90	146	160	177	190	205	15.40%
Social relief of distress	106	623	165	143	160	175	190	10.20%
Total	62,467	70,715	79,260	88,268	97,560	106,256	114,409	10.60%

Source: Financial and Fiscal Commission, 2013

As illustrated in the above table provision of social grants has been in the increase in the past eight years since the establishment of SASSA in 2006, similarly the expenditure especially the CSG and old age grant, with the exception of the war veteran which is often on the decline. In the next section the role of the Department of Social Development in contributing to the implementation of the social assistance policy aimed at ensuring increase of the said social grants is provided.

4.3   THE ROLE OF THE DEPARTMENT OF SOCIAL DEVELOPMENT

Post 1994, the new government faced the challenge of transforming the existing fragmented social security system to one based on comprehensive coverage for the population as a whole (Fox & Bayat, 2006:18). In the move towards a transformed South Africa, the policy was incorporated first into a provisional constitution and in 1996 into an enduring constitution. The South African Constitution of 1996, is appraised by numerous authors such as Samson, et al. (2007), Mpedi (2008:8), and Reddy and Sokomani (2008:47), as the most progressive in the world, includes social security as one of the socio-economic rights enshrined in the Bill of Rights.

Various policies were put in place after 1994 to address the difficulties facing South Africa. The Reconstruction and Development Programme (RDP), and the election policy of the African National Congress (ANC), was the first of these policies and subsequently turned into a White Paper after the democratic elections (Burger, 2007:15). The ANC government sought not only to restructure the existing welfare system in an equitable and non-racial way, but also to radically define the role and responsibilities of welfare. Thus, post-apartheid South Africa committed itself to proactively use and devise welfare as a poverty alleviation programme, linking social and economic development strategies and assigning an interventionist role to the state to bring about change and well-being in society as a whole (Pauw & Mncube, 2007:12-14).

The Lund Committee on Child and Family Support convened in February 1996 after concerns were raised about the financial viability of extending state maintenance grants to Africans at the level then enjoyed by non-Africans. The Committee as postulated by Pauw & Mncube, (2007) stressed that some kind of benefit needed to be continued, especially given the importance of the early, vulnerable years in a child's life. It pointed to the possibility of even greater costs in the absence of a benefit. The Committee then recommended that the grant be given to the primary caregiver. Given financial constraints, the Committee recommended that each qualifying child be given a much smaller amount than was previously the case, and that the grant be restricted to children under the age of seven years so that it could reach a larger number of those most in need. The Committee's recommendations were largely accepted by Cabinet. Hence, the child support grant introduced in 1998 replaced the state maintenance grant. The introduction of the child support grant marked a major policy shift in government as it signalled the government's intention to support children in poverty, and those poor households, particularly in rural areas, who had been excluded from social assistance programmes in the past (Pauw & Mncube, 2007:12-14; Mpedi, 2008: 8).

The right of access to social security for all, as well as Government's obligation to provide it, is enshrined in Section 27 of the South African Constitution:
Everyone has the right to have access to;
(a) health care services,
(b) sufficient food and water,
(c) social security, including, if they are unable to support themselves and their dependants, appropriate social assistance.

Burns, Keswell & Leibbrandt (2004:1) in their studies further postulates to the fact that social security grant system in South Africa is said to be among the most far-reaching and generous in the developing world. Representing the core component of the South African social safety net, it plays a critical and important role in sustaining and enhancing the quality of life of over fifteen million citizens (Bowes & Pennington, 2004:228; Van Ginneken, 2007:2; Meth, 2008:10). The above is further affirmed by SASSA CEO in the SASSA's annual report of 2013/14, in which she maintains that "South Africa's social assistance system, one of the largest in Africa, is government's most direct means of combating poverty. That according to Statistics South Africa's latest General Household Survey, the number of people receiving social grants increased from 12,7% in 2003to 30.2% in 2013, while the number of households receiving at least one social grants increased from 29.9% to 45.5% over the same period"(SASSA Annual Report,2013/14:11).

Mpedi (2008, 8-9), argues that social security provisioning whether at a national, regional or international level, is a complex undertaking, which requires efficient administrative systems, institutions and resources (e.g. human and financial resources). In addition, there are rights to be respected, protected, promoted and fulfilled by various parties, which include the state as well as juristic and natural persons. Closely linked to rights are duties, which have to be complied with. These duties could be in the form of an act (e.g. to pay social insurance contributions to (the) relevant social insurance institution(s) regularly) or an omission (e.g. to refrain from defrauding social security institutions). Furthermore, the failure to comply with the rights bestowed and obligations imposed should or may be followed by a sanction imposed by a competent authority and in a fair manner. As a result, a body of enforceable rules governs social security provisioning endeavours.

However, it is argued by the Black Sash, (2004:31) that a social security system that offers benefits only to those with "special needs" cannot provide comprehensive coverage, as is obvious from the massive gaps in our current social security net. Moreover, numerous studies demonstrate that existing grants, ostensibly targeted at "special needs", do not achieve their objectives because they must be used to support whole families or extended families. Strictly speaking, there are no grants purely benefiting the aged, children or disabled people, only grants going to families fortunate enough to have these categories of people qualifying for such grants and excluding millions who do not. The notion of targeted grants in this context is

thus a fiction. The vast majority of South Africans are unable to support themselves and their dependants because the lack of access to resources (income, assets, services, etc.). This, in turn, is a direct function of the structural poverty and inequality that permeates their communities. In other words, poverty is the most debilitating root of poor people's dependency. Anything, which perpetuates poverty, deepens that dependency. Currently the very poor are primarily dependent on other poor households, particularly the working poor, who act as their primary social security net. The current structure of social security effectively requires the poor to subsidise the very poor, diminishing the obligations on the rich and deepening inequality by leaving the affluent free to accumulate greater personal wealth.

It is argued by authors such as Liebenberg and Tilley (1998), and Vorster (2006) that according to the Constitution, the state is required to ensure progressive realisation of those rights by employing 'legislative and other measures, within its available resources'. They maintain that this requires the state to draw up a clear plan of action on how to execute this dictate and avoid regressive measures. However, is has been proven otherwise by courts. The Constitutional Court in the cases of Grootboom and Khosa, found that socio-economic rights to social security are to be restituted, to some extent the discretion is left up to the state, unless tested. In particular, according to the Grootboom court decision, 'the measures instituted must consider the plight and conditions of people in desperate circumstances and those who are living in conditions of poverty' (South African Human Rights Commission (SAHRC), 2000:1; Reddy & Sokomani, 2008).

The White Paper on Social Welfare published by the Department of Welfare in 1997 contained the policy framework for restructuring of social welfare in South Africa. The White Paper based its policy framework on the interrelationship between social and economic development. It pointed out that "social welfare policies will be developed which will be targeted at poverty prevention, alleviation and reduction and the development of people's capacity to take charge of their own circumstances in a meaningful way" (Department of Welfare, 1997). The ultimate aim of the White Paper was to "facilitate the provision of appropriate developmental social welfare services to all South Africans, especially those living in poverty, those who are vulnerable and those who have special needs" (Department of Welfare,1997). The Department of Social Development (DSD), as mandated to deliver social assistance, has made some laudable strides in increasing and widening its provision to those targeted (Pauw & Mncube, 2007:12-14; Mpedi 2008:8; Reddy & Sokomani, 2008).

It was in 1999, as maintained by Reddy and Sokomani (2008:47), when the DSD convened an inter-departmental task team to review the South African social security system. The severe weakness in the management and administration of social grants coupled with numerous litigations and negative publicity in the press, among other things, necessitated this review. Thus, the rationale behind the inclusion of the SASSA in this DSD anti-corruption review is the notion that it would lead to the 'drastic minimisation of fraud related to social grant administration and payment' (Parliament of the Republic of South Africa, 2006).

Reddy and Sokomani (2008:48), further refer to the former Minister of Department of Social Development, Mr Skweyiya, having argued that, "financial leaks had necessitated the centralisation of control and payment of grants, leading to the formation of a social security agency that would do the job". However, it is worth noting that the SASSA was also a response to unacceptable service delivery conditions, such as people queuing for days in rainy weather. The social grant problem also meant spending significant amounts of time and energy on the Social Security Programme at the expense of other programmes. The task team identified a number of critical gaps, resulting in the recommendation that South Africa should investigate a move towards a comprehensive and integrated social security structure (Taylor 2002:20). This was effected through the appointment of a Committee of Inquiry into a Comprehensive System of Social Security in South Africa the Taylor Commission. The Taylor Commission's terms of reference required reviewing a broad range of elements relating to social security, including the evaluation of all grants, their funding mechanisms and the efficiency with which they achieve their goals (Taylor, 2002: 20).

The Department of Social Development derives its core mandate from sections 27(1) (c) of the Constitution of the Republic of South Africa which provides for the right of access to appropriate social assistance to those unable support themselves and their defendants and section 28(1) of the Constitution which sets out the rights of children with regard to appropriate care (basic nutrition, shelter, health care services and social services) and detention. Schedule 4 of the Constitution further identifies welfare services, population development and disaster management as functional areas of concurrent national and provincial legislative competence.

The role of the national and provincial departments of social development is defined in detail according to the Constitution (1996) as well as in the White Paper for Social Welfare:

Principles, guidelines, recommendations, proposed policies and programmes for developmental social welfare in South Africa (Ministry for Welfare and Population Development, 1997:47). The latter is the umbrella policy developed to transform and guide social welfare provision. Social development is defined in the White Paper as "an integrated and comprehensive system of social services, facilities, programmes and social security to promote social development, social justice and the social functioning of people" (Ministry for Welfare and Population Development, 1997:47). The White Paper calls for a shift in service delivery, away from the traditionally employed welfare approach towards a developmental approach. In 2000, as reflected by Follentine (2004:1), the name of the national department was changed from Ministry of Welfare and Population to National Department of Social Development in order to reflect the paradigm change from welfare to social development.

As postulated by Streak (2005:7), the mission of social development is put forward in the White Paper as "to serve and build a self-reliant nation in partnership with all stakeholders through an integrated social welfare system which maximises its existing potential, and which is equitable, sustainable, accessible, people-centred and developmental". The task of social development departments is to provide a comprehensive package of social development services (previously welfare services) to people who, due to factors such as disability, poverty and HIV/AIDS, are vulnerable and in need of assistance. Welfare service delivery (now called social development) is a functional area of concurrent national and provincial competence in the Constitution, which means that responsibility is shared between national and provincial social development departments. The White Paper identifies two main branches of social development services: social security and social welfare. It affords the national department responsibility for development of policy and monitoring implementation, and the nine provincial departments the responsibility to finance and deliver social assistance and social welfare service programmes (Streak, 2005:7).

The Social Assistance Act (2004) makes national government responsible for social security grants as also stated by Mpedi (2008:8). The National Department of Social Development (formerly the Department of Welfare) performs a regulatory role by setting the policy framework on who qualifies for social assistance grants and monitoring the operations of the newly formed South African Social Security Agency (SASSA). SASSA is responsible for administering social assistance by implementing policies, programmes and procedures for an effective and efficient social assistance grants administration system. Since the establishment

of this agency in 2006, all grants are administered nationally, whereas previously provinces carried out this function under the Social Assistance Act of 1992 (Mpedi 2008:8).

The Departments primary purpose is the management and oversight over social security, encompassing social assistance and social insurance policies that aim to prevent and alleviate poverty and creation of social welfare services that provide support to reduce poverty, vulnerability and the impact of HIV and AIDS through sustainable development programmes in partnership with implementing agents such as State-funded institutions, Non-Governmental Organisations (NGOs), Community-Based Organisations (CBOs) and Faith-Based Organisations (FBOs).

Fox and Bayat (2006:18) ponder whether the Constitution may be regarded as the policy document containing a multitude of policies, or whether it is pure legislation reflecting policies. Cloete (1992:80) in this regard maintains that policy-making and law-making are parts of the same process. He holds that the products of law making need not always be Acts of Parliament or Legislation by other legislatures, but also the regulations, instructions, proclamations and administrative rulings, as well as decisions by courts of law. It can be accepted from this point of view that legislation represents the implementation of policy and that legislation is policy, and not merely a reflection of a policy or policies. Fox and Bayat (2006:19) are of the opinion that policy-making does not only include the formulation and statement of policy but that in implementation it is stated who should act, what action should be taken and the other directives to make the policy operative. However, they further argue that policy-making and law-making are two separate though complementary processes.

Smith (1998:6) argues that policies are key requirements for translating the goals and objectives of the government and Department into action; they draw their authority from the constitutional responsibility of the government and legislative responsibilities of the department. Without clear and enforcement policies, the Department runs the risk of inconsistencies, duplication and ineffectiveness. The states - wide policies, such as SASSA Act of 2004, Social Assistance Act of 2004, and Chidren's Act of 2005 released by the department are designed to confirm and provide framework for planning and service delivery at Public Service Level. This can be illustrated as a policy–matrix, diagram 4.1which illustrates how the Constitution as legislation transforms into policy or policies, and ultimately translates into regulations and ultimately into operational plans for effective implementation.

Diagram 4.1   Policy-Matrix
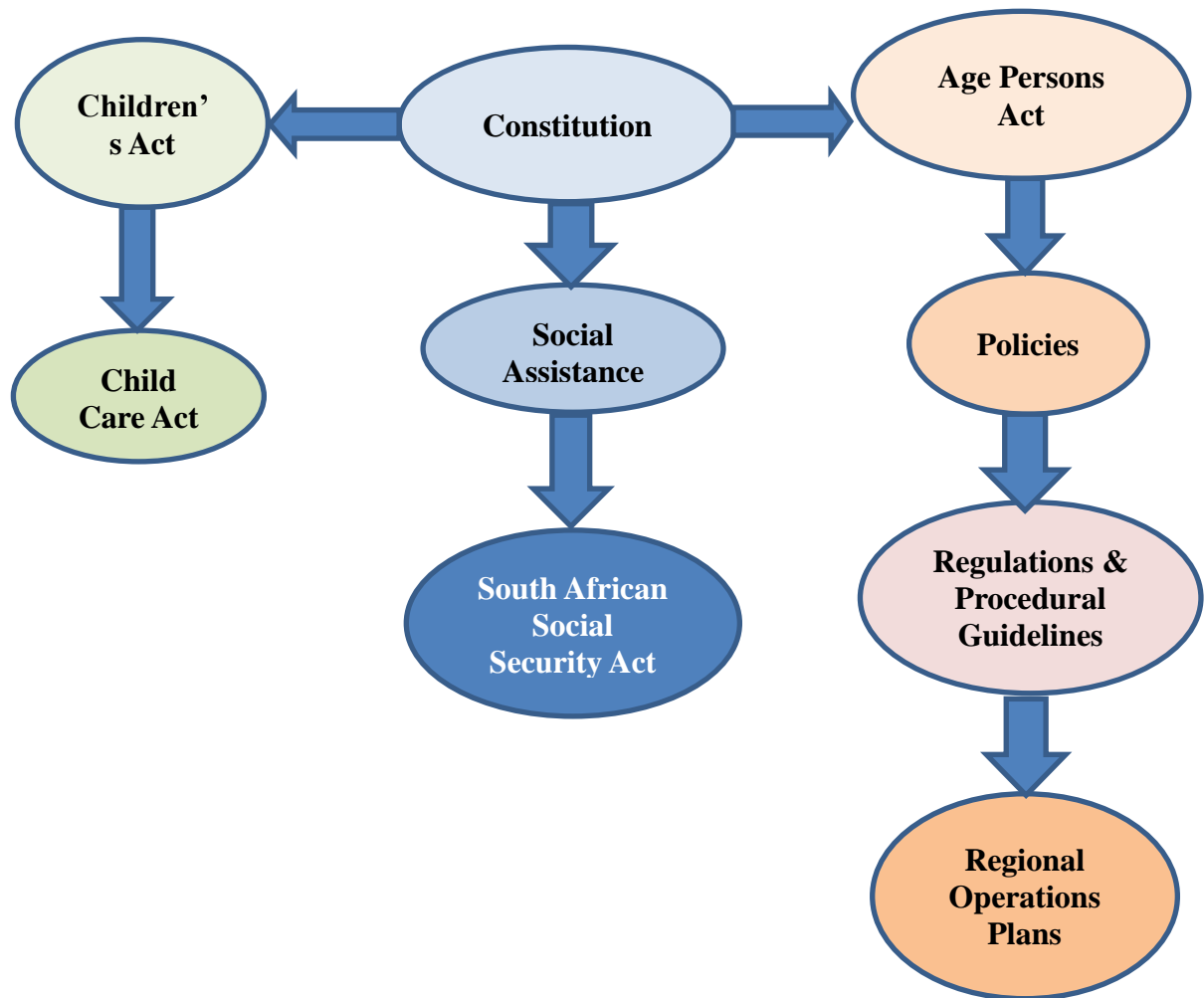
Source: Adapted from PALAMA Study Guide: 2009

The National Department of Social Development is also responsible for developing generic norms and standards for providing services, and for ensuring that uniformity in the performance of particular functions is maintained. Provinces/regions are responsible, concurrently with the national department, for planning, development and providing services. However, where mutual co-operation between national and provincial departments is essential, powers are allocated concurrently.

As outlined in Pauw, Mncube (2007:14), Mpedi (2008), Van Der Berg, Siebrits, and Lekezwa (2010), before the establishment of the South African Social Security Agency (SASSA), social assistance benefits were administered by the provincial departments responsible for social development in each of the nine provinces. These benefits were financed by the provincial legislatures. The responsibility for provincial governments to administer social assistance

schemes arose from a proclamation by the then State President assigning the administration of (almost the whole of) the Social Assistance Act 59 of 1992 to provincial governments. However, this proclamation was declared unconstitutional and invalid by the Court in Mashavha vs President of the Republic of South Africa and Others. Provincial departments are directly supervised and controlled by specific ministries; civil servants who can be transferred to other departments staff them; and, since they are not incorporated, they do not invest funds in their own name.

In 2004, the Social Security Agency Act 9 of 2004 and the Social Assistance Act 59 of 1992 (as amended), were signed into law. These Acts provide for the establishment of the South African Social Security Agency (SASSA). SASSA created a unitary but flexible service delivery mechanism to ensure that government through provincial and local governments pays "the right grant to the right person, at the right place, Njalo" (SASSA, 2012). The establishment of SASSA is part of government's efforts to provide service through the local government administrators to the poorest of the poor and to ensure the restoration of dignity of the most vulnerable, especially older people, people with disabilities, women and children (Department of Welfare, 1997:7).

Challenges with the administration of social assistance schemes in most provinces as highlighted by various authors such as Van Der Berg (2007), Siebrits and Lekezwa (2010:7), Mpedi (2008:16-17), and Patel (2011:367-378), was fraught with problems. Key among others are identified as the follows:

- **Failure to observe the rules of administrative law:** Some provincial departments responsible for the administration of social assistance incurred substantial financial losses due to a string of court cases, which found them responsible for the failure to observe the fundamental rules of administrative justice.

- **Inefficiency:** The levels of service rendered by some of the provincial social services departments were appalling. Officials often accused of rude and abusive behaviour, lacking customer-service skills and lack of commitment to their work. Applications for grants also took inconsiderately long to be processed.

- **Corruption and fraud:** Fraud and corruption within the social grants environment has been one of the most enduring problems that have faced the administration of social assistance benefits. Beneficiaries who did not qualify were receiving the social grants

because of fraud and corruption. In some provinces, there were reported cases of officials receiving social assistance benefits on behalf of deceased beneficiaries. Poor adherence to internal controls for segregation of duties implemented by management.

Fragmentation of services: The fragmentation of services was not a new problem because it had already been highlighted in 1997. Fragmentation of services has a negative effect on service delivery.

- **Institutional and administrative framework:** The social security institutional and administration framework is still plagued by problems such as poor levels of service, fraud and corruption. To deal with some problems SASSA should be developed into a one-stop-shop as was proposed by the Taylor Committee. There was lack of coordination and cooperation of all state organs and other stakeholders involved in the provision of social security. The establishment of SASSA is a step in this direction.

- **Scope of coverage:** The scope of coverage of the South African social security system is limited. To improve access to social security, a number of schemes that will cater for the specific needs of identified groups or categories of excluded people need to be introduced. These include social insurance-type schemes to provide for, among others, the self-employed and those in the informal sector; commercial insurance products targeting specific categories of excluded people; and the welfare fund to cater for the needs of informal sector employees. Excluded people should be brought into existing schemes as well as the new programmes. Provision should also be made for social security for South African citizens living abroad.

- **Adjudication and enforcement:** There was no clear procedure or mechanism for enforcing social security rights. Consequently, complainants follow different routes, which lead to a lack of uniformity in the adjudication and enforcement of these rights. To remedy this problem, a uniform adjudication system was needed, which would serve as a first stop before judicial remedies. Such a mechanism would provide for an independent internal review or appeal institution. The advantages are that it would be cheap, fast and more convenient to most beneficiaries and potential beneficiaries of social security, the majority of who are poor and illiterate. The recently established Social Assistance Tribunal has significantly improved compliance with the laws on social security by the state.

With SASSA, taking over the administration of the social assistance the responsibility of policy-making has remained with the Department of Social Development. In the next section, the study will reflect on the policy- making process between DSD and SASSA with special focus after the 2006 period.

4.4   POLICY-MAKING PROCESS BETWEEN DEPARTMENT OF SOCIAL DEVELOPMENT AND SASSA IN RELATION TO THE SOCIAL ASSISTANCE PROGRAMME

Reddy and Sokomani (2008) maintain that after two decades of democracy in South Africa, there remain numerous obstacles to service delivery. These include inappropriate policies and/or lack of implementation of policies, lack of capacity, and mismanagement and corruption, among others. In this section, the focus is to provide the current relationship between DSD and SASSA in relation to policy-making process in view of the various policy-making theoretical frameworks and models as outlined in the previous chapters. Further, outline and compare how policy implementation principles and practices are practiced in relation to application of the Social Assistance Act, of 2004, the South African Social Security Act, of 2006, with specific focus in the Gauteng region.

According to Cloete and Wissink (2000:11), public policy is indicative of a goal, a specific purpose, and a programme of action that has been decided upon. This is a formally articulated goal that the legislator intends pursuing with society or with a societal group. In the South African context, the government implements all programmes through the introduction of well thought plans, in a form of public policy.

Van der Waldt and Du Toit (2002: 209) define public policy as policy developed by government role players, although non-government role players, such as interest groups, can also influence the formulation and development of policy. Le Roux (2005: 9) further states that public policy is a desired course of action and interaction which is to serve as a guideline in the allocation of resources necessary to realise societal goals and objectives, decided upon and made publicly known by the legislator. Chrishlom, Motala and Vally (2003:8) in Chuta, (2010) view public policy as a broad guide to present future decisions, selected in light of given conditions from a number of alternatives, the actual decision or set of decisions

designed to carry out the chosen course of actions, projected programme consisting of desired objectives and the means of achieving them (Chuta, 2010:18).

Mda and Mothata (2002:73 in Chuta (2010:20) are of the opinion that policy can never be static. It should always relate to current issues in society. That, it should constantly be adapted to match the impact of environmental variables and influencing factors such as circumstances which include the total environment, as determined by time and place. Population increase and the effect of urbanisation, natural disasters, economic and industrial development, party political dynamics and views of interest and pressure groups, as well as personal views of public officials and political role players are also contributing factors. It is therefore can be concluded that public policy is a purposive or goal-orientated action rather than a random one, and consists of a series of decisions taken jointly by politicians and /or officials rather than individual decisions.

In the following section, the study will concentrate on how policy has been processes between DSD and SASSA after 2006.

With the establishment of SASSA in 2006, the responsibility of the national Department of Social Development became solely a regulatory role. Its main focus being to set policy framework, that determines who qualifies for social assistance grants, and ensures changes in the Act and regulations when necessary. It also lays down the norms and standards for implementation of social assistance grants administration. This section will attempt to describe and determine the extent to which the current policy-making process between DSD and SASSA is conducted in view of the theoretical framework, and how the process affects the implementation of social assistance programmes. The focus will be on how the current policy-making process between the two entities with the introduction and changes in the Social Assistance Act, and on numerous regulations has been in realising effective and efficient administration, and affected the implementation of the social assistance policies (SASSA Act, 2006).

As described in the strategic document of the Department of 2006, of the DSD 2006–2010 the core functions are provided as the following:

- To provide a social security safety net: Management and oversight of social security/assistance in the form of equitable cash transfer benefits to the poor, the vulnerable and those with special needs who qualify for such grants.

- To provide development social welfare services: Developmental social welfare services that provide support to reduce poverty, vulnerability and the impact of HIV/Aids through sustainable development programmes in partnership with implementation agents, such as state-funded institutions, non-profit organisations (NPOs), community-based organisations (CBOs), and faith-based organisations (FBOs).

- To deepen social policy discourse and policy: Co-ordinate research and policy initiatives aimed at sharpening the understanding about, and delivery of, social policy aimed at improving the quality of life of the poor and vulnerable (Reddy & Solomon, 2008:15).

The South African policy-making exercises of the mid-1990s, as seen with the development of the Constitution, Reconstruction and Development Programme (RDP), White Paper on Social Welfare and other legal formulations required transparency, participation, inclusion of many stakeholders and public choice in which direct representation, empowerment and active decision-making were required. In a democracy, the participatory nature of policy processes is of primary importance. Opportunities to exercise choices and explore rational options should be accommodated by policy-making processes, and should involve the participation of government institutions and fragmented structures of semi-independent groups and organisations (Mokgoro, 1997:1; Van der Waldt, 2001:90; De Coning, 2004:3).

The policy process normally starts when one or more stakeholders in society, who feels that the actions of the government detrimentally affect them or another segment of society (Mokgoro, 1997:1; Van Niekerk, Van der Waldt & Jonker, 2001:90; De Coning, 2004:3), identify a need. According to Cloete et al., (2007:49) the policy-making process consists of activities, which are often present, but ignored, in contemporary models. These activities include initiation or becoming aware of a public problem through civic, political or stakeholder action, and agenda setting or placing the issues on the policy agenda and determining priorities. The successful implementation of any policy is solely determined by a well-structured problem, identified in the community. There has to be a problem that exists, so that an action plan is designed, through policy formulation processes. They often mobilise support to persuade policy–makers to act in order to change the status quo in their favour.

Brynard (2008:303) describe policy agenda setting as a critical phase in policy-making process as it determines who influences or control the policy- making process. It also determines how stakeholders influence the policy agenda; decision-making has a specific significance for policy-making as a problem or issue identification stage. According to Brynard, (2008) agenda setting is often preceded by problem identification and the ability to articulate problems before they reach the agenda stage. Once an issue has been identified as being of sufficient interest or significant enough to justify policy attention it forms the focus for further clarification, formulation and structuring (Brynard, 2008:303).

Policy-making, and policy formulation within DSD and SASSA, should be understood within the broad definition of the White Paper on Social Welfare (1997). In this instance, social security is defined as:

 "provision of a national social security system with the ultimate goal of ensuring that "all South Africans have a minimum income, sufficient to meet basic subsistence needs, and should not have to live below minimum acceptable standards."

Policy-making functions according to Fox, Bayat and Ferreira (2006:51) is the most important function in public administration, as all functions of government originate from a policy to programme. They maintain that policy-making is a continuous and interactive process, which goes hand-in-hand with policy implementation and linked to the realities of specific and dynamic environment. It does not only influence policy making but also plays an important role in the practical implications of the nature and scope of services rendered and has far–reaching implications for society (Fox, Bayat & Ferreira, 2006:51).

Since the establishment of SASSA, there has been a need for change and amendments to the current Social Assistance Act of 2004, on regulations to determine the parameters within which the Act should be applied. In the next section, numerous legislative changes and policy initiatives made after the establishment of SASSA in 2006 will be assessed. Reference will be more on the stage or phase theory of policy- making and formulation framework.

4.4.1 The policy-making process and stages and the application thereof between DSD and SASSA

In this section an illustration on the current policy-making process and application of the various stages between DSD and SASSA will be briefly outlined, while also identifying gaps and challenges.

Stage 1: Initiation

Initiation stage can also be referred to as problem identification which is the most important part of the policy process. It involves both the identifying and defining of the problem. The focus with policy initiation and the development of new policies within the Department of Social Development (DSD) since 1994 was placed on promoting equality in social assistance. However, problems of access to grants and delivery of grants on time still continue to exist. In some cases, policy initiation has been reactionary in nature and cases that appeared before the Constitutional Court were lost as a result. The Department's policy initiation are also reactionary in the sense that they follow on actions taken by political pressure groups and advocacy and lobby groups such as Access and Blacksash (Taylor Report, 2002; Mpedi, 2008:36). Due to the reactionary nature of policy processes, there is little evidence of thorough policy analysis, monitoring and evaluation in the design and initiation of new policies. As described by Ijeoma et.al (2013:218) policy initiation is also the ability to recognise underlying causes of societal problems and challenges.

Policy change and initiation is often through litigation or representation by Non-Governments Organisations or Civil Society such as the following; Access, Lawyers for Human Rights, Blacksash, etc. To identify a few of such cases one can highlight the amendment to the Regulations 11(1) of 2009, which stipulates that the Agency may accept an alternative proof of identity document for grant application, a change which came as a result of the court case that was referred to the high court by ACCESS in 2009. Recently the Amendment Act 5 of 2010, which was initiated by DSD, was also due to numerous challenges with the management of the Appeals process, as per presentation of 27 July 2010 to the Parliament Select Committee on the Amendment Bill 5 of 2010. The Department through participation of various NGO's and involvement of experts such as Professor Olivier of the University of Johannesburg was able to develop a mechanism to address the said backlogs, in the form of

the Internal Remedy Mechanism (IRM).

Section 26 A of the Social Assistance Act No. 13 of 2004 and Regulations GNR 898 of 22 August 2008 regarding circumstances under which deductions may be made directly from social assistance grants, states that the Agency may allow deductions for funeral insurance or scheme to be made directly from a social grant where the beneficiary of the social grant requests such deduction in writing from the Agency (Social Assistance Act, (2004:20); Regulations GNR 898 of 22 August 2008:16).

During the re-registration process of 2012 to 2013, the Agency uncovered that deductions from social grants from companies that were not registered as Financial Service Providers (FSP) were made. Immediate changes of the prescripts had to be effected in terms of section 26a of the 2008 regulations to the Social Assistance Act 2004, which previously allowed deductions. In the same way, there were challenges with the introduction of the new SASSA card where there was allowance of direct deductions for funeral insurance/ scheme in terms of regulation 26a of the 2008 regulations to the Social Assistance Act, 2004.

Due to challenges on implementation and abuse of beneficiaries, this ended into unintended consequences and as a result SASSA was refusing Financial Service Providers to implement deductions from the new SASSA system. In the matter between Channel Life Ltd versus the Minister of Social Development, SASSA and the Director General of DSD held at the North Gauteng High court, case number 36212/2011, the judgment handed down by the North Gauteng High Court dated 13 April 2012, the court ruled in favour of Channel Life. This effectively means that SASSA must give effect to the said regulations. Changes had to be made in the regulations to allow permissible deductions as stipulated in the above sections. This illustrate the gap in the initiation of policy in which one can conclude that the identification and defining of the problem was not properly followed.

With the introduction of SASSA Smart Card, a number of grant payments benefits have been realised. These include, amongst others, unauthorised funeral deductions, loans, airtime and electricity. However, one of the unintended consequences is that many morally-questionable family members and unscrupulous businesses such as loan sharks took advantage of the vulnerability of our clientele. Hence, there is an alarming increase of alleged unauthorised and unlawful deductions. The Agency has since introduced a system for disputing deductions and

reimbursement by the payment service provider to handle such cases, and effect payment where such is found to be justified upon investigation. In such cases there is often not enough time to define the policy issue and establish whether there is a need or rationale for the refinement of the existing policy in terms of benefits, costs implications and risks involved, and its possible impact and defining general expectations of stakeholders (Fox, Bayat & Ferreira, 2006:54-55; Cloete & Wissink, 2007:107). In such cases civil groups make demands on government to change policy and often try to get their issues up in government policy agenda, as will be seen with the next discussion.

Stage 2: Agenda-setting

This stage involves placing the issue on the policy making agenda and determining priorities, clarification of policy issues and preferred options. Political leadership becomes an important factor in setting agendas. It can be motivated by thoughts of political advantage, the public interest to their political reputations (Van Niekerk, Van der Waldt & Jonker, 2001: 94; Fox, Bayat & Ferreira, 2006:54-55). Birkland (2005: 169, 2010:168) in Ijeoma et.al (2013:219) is quoted defining agenda setting as the process by which problems and alternative solutions gain or lose public and elite attention. It can also defined as the activities of various actors and groups to cause issues to gain greater attention or to prevent them from gaining attention.

Due to the fact that in most of the time the agenda is set by the NGO or as a result of the rulings of the high court ruling as indicated above, the Department's agenda is then set from outside. This result in most of the agenda-setting processes not properly followed due to pressure. Effective consultation becomes crucial to stakeholders inputs through inclusion of representatives from the target groups e.g. Refugees and People with Disabilities, or replace groups: here it becomes critical to promote ownership and authorship of the final policy document. However, with the increase of the CSG from 14 years to age 18 years, as well as the age equalisation between men and women to apply for old age grants at the age of 60 years, it was a politically initiated agenda because of public interest and some pressures from pressure groups. It thus important to note the struggle between the public agenda and a government agenda as this does has an impact on the policy formulation process.

Stage 3: **Policy Formulation**

As stipulated by Smyth (1998-13-14) and Cloete et al. (2007:126) policy formulation should involve the release of formal discussion paper for wider consultation with the communities, government agencies, stakeholders and sectors depending on the sensitivity of the issue or problem to be addressed. Ministerial cabinet approval will be required of communication and consultation strategy thereafter. Involvement of the service department covered by the policy needs to be involved in the development and testing feasibility of its implementation.

In 2010, the Minister of Social Development introduced the Social Assistance Amendment Bill to Parliament with the view to amend the Social Assistance Act, 2004 to enable applicants and beneficiaries to apply to the Agency to reconsider its decision. It was also to further regulate appeals against decisions of the Agency; and to effect certain textual corrections; and to provide for matters connected therewith. This was because of huge backlogs and large amounts of litigations that had to be paid as a result thereof. The Bill was supported by the National Assembly and the National Council of Provinces and promulgated on 16 September 2010 and became officially known as the Social Assistance Amendment Act (Act No. 5 of 2010). There were numerous challenges experienced with the amendment of regulation 18 from the onset. These being:

- limited involvement of the service department being SASSA as covered by the policy needs;
- limited involvement of regions, as involvement was only on making inputs on the amendments hence there was challenges and different application and implementation by various regions;
- lack of proper planning and forecasting to identify internal and external factors that may affect the organisation's implementation process;
- regions were not involved in development and testing feasibility of its implementation, which resulted in numerous challenges at implementation, as well as building of backlogs. There was confusion at head office as to which department within the Grants and Customer Services branch should the custodianship and responsibility of monitoring implementation by regions be. It was initially put under Customer Care in view of the value chain of administration of appeals, but was later taken and managed over by the Disability Management department. This resulted in delays in the development of

standadisation of procedures, resulting in regions implementing different processes and procedures.

Stage 4: Policy Adoption

It is important that all stakeholders support the formulated policy, in order for the organisational goals to be achieved (Anderson, 2000:127). This stage also involves identification of policy alternatives and considering various options in relation to pursuing and implementing policy objectives (Ijeoma et.al, 2013:226). In SASSA and DSD, a trial policy document for discussion and consideration by the Departmental Executive Management is generally designed. The final policy document is submitted to the Minister or Director General for approval to release. Cabinet should also be involved in cases, which entail major sensitive issues.

Although this step is followed, it is often not done consistently but on an ad-hoc basis. In some changes in the regulations, some of the draft documents are brought to SASSA executives and regions for discussion and inputs, this is mostly not followed correctly. This was observed with the changes of section 18, of regulations of 2008, which was submitted to all stakeholders as in SASSA Portfolio committee and lastly to Cabinet for ratification which was done in September 2010. The process of consultation was followed as follows:

- Draft Regulations were published for comments on 29 December 2010.
- Due date for public comments was 14 February 2011.
- SASSA/DSD held joint workshop on draft Regulations on 10 February 2011
- Areas of concern to SASSA escalated to EM: Grants & CEO.

Once policy alternatives and objectives have been identified and agreed to, the next stage of policy is policy implementation

Stage 5: Policy Implementation

As argued by various scholars such as Birkland (2001:178) there are two separate approaches to policy imepelntation the "top-down" perspective whose proponents claim that an understanding of policy implementation should be sought in the goals and strategies adopted

in the statutes as structured by the implementers of policy, and the "bottom-up" perspective which suggests that implementation is best studied by starting at the lowest level of the system and moving upwards to see where the implementation is more successful, or less so. The top-down approach has remained the more important genre. This perspective starts from the authoritative policy decision at the top level of government and poses the following questions.

- To what extent were the actions of implementing officials and target groups consistent with the objective and procedure outlined in the policy decision?
- To what extent were the objectives obtained over time?
- What were the principal factors affecting policy outputs and impacts?
- How was policy reformulated over time on the basis of experience?

Policy implementation stage is the most challenging part of policy-making process. These are often organisational challenges, the instrumentality of new policies, and implement ability of the policy based on other value consideration such as culture and social values (Ijeoma et.al (2013:232). Due to the fact that on numerous occasion the Department is often under tremendous political and courts pressures to effect changes, many steps and mechanism for testing readiness of SASSA in implementing the said changes is often not done.

There often is no implementation plan that specifically identifies performance measures, timeframes with key deliverables, clear roles and responsibilities for implementation. Policy implementation should be done in consultation with key and relevant divisions or directorates of the Department such as Human Capital Management (Performance Management), and Finance, to determine availability costs implications in relation to resources, and skills needed. Often this action is left to the discretion and responsibility of SASSA and / or regions. In the recent matter between Channel Life Ltd vs the Minister of Social Development, SASSA and the Director General of DSD held at the North Gauteng High court case number 36212/2011. Immediate changes of the prescripts had to be effected as have been the case with section 26a of the 2008 regulations to the Social Assistance Act, 2004, which previously allowed deduction. In the same way, there were challenges with the introduction of the new SASSA card where there was allowance of direct deductions for funeral insurance/ scheme in terms of regulation 26a of the 2008 regulations to the Social Assistance Act, 2004. It is important that both DSD and SASSA head office could not consult or involve regions on readiness for implementation of changes due to time constraints; however, an opportunity was

afforded in the development of implementation guidelines and SOP. With the above synopsis of how the various policy–making stages are currently applied between DSD and SASSA in the next section the study will look at how with the establishment of SASSA policy implementation has improved for effective provision of social assistance.

4.5 POLICY IMPLEMENTATION AND PROVISION OF SOCIAL ASSISTANCE SINCE THE ESTABLISHMENT OF SASSA

SASSA was established in 2004, but only came into operation on 1 April 2006. Responsibility for the management, administration and payment of social assistance grants was transferred to the South African Social Security Agency (SASSA). SASSA is a constitutional entity as listed section 3A, in terms of the Public Finance Management Act of 1999. It was established as a public entity and focused institution responsible to ensure that government pays the right grant, to the right person, at a location, which is most convenient to that person. The South African Social Security Agency (SASSA), listed as a schedule 3A public entity in terms of the PFMA, is an extension of government's delivery arm that administers the delivery of grants to the poor in South Africa. Through SASSA, government must ensure improvement of the social security service delivery system (SASSA, 2007). SASSA was created to promote efficiency and improve service delivery in the social assistance system, mainly by improving coordination and raising administrative standards. It is envisaged, for example, that consolidation and standardisation of contracts with grant payment contractors, which account for 76 per cent of total payments to beneficiaries would reduce the administrative costs of providing social grants (National Treasury, 2008: 330).

The founding legislation of this entity is the South African Social Security Agency Act, 2004 that was enacted at the beginning of 2004. The Act makes provision for the effective management, administration and payment of social assistance and services through the establishment of the SA Social Security Agency.

The key functions of SASSA are the administration and payment of social grants and include:

- Administer applications, processing, verification and approval for social assistance in terms of Chapter 3 of the Social Assistance Act, 2004, and of and perform any function delegated to it under that Act;

- Collect, collate, maintain and administer such information as is necessary for the payment of social security, as well as for the central reconciliation and management of payment of transfer funds, in a national data base of all applicants for and beneficiaries of social assistance;

- Disbursement and payment of grants to eligible beneficiaries;

- Perform quality service assurance, ensuring compliance with norms and standards and establish a compliance and fraud mechanism to ensure that the integrity of the social security system is maintained; and

- Render any service in accordance with an agreement or a provision of any applicable law (SASSA Act, 2004:6).

The strategic objectives of SASSA aim to enhance the quality of service delivery, as well as the accessibility of social grants by those who qualify. The strategic objectives are aimed at yielding improvements that will benefit those living in poor households, suffering from malnutrition and other micro-deficiencies and improve the quality of care all within a sound financial framework (SASSA, 2006-2010). SASSA is responsible for administering social assistance, implementing policies, programmes and procedures, as well as development of norms and standards for an effective and efficient social assistance grants administration system. Since the establishment of this Agency in 2006, all grants are administered nationally, whereas previously provinces carried out this function under the Social Assistance Act N0 14 of 1992. In practice, this boiled down to a separation between the administrative and delivery aspects of the social assistance system: overall responsibility for policy and an administration vested in the national Department of Social Development, while provincial departments managed the payment of social grants (Van Der Berg, Siebrits & Lekezwa, and 2010:20).

The objects of SASSA's establishment are threefold: "to act, eventually, as the sole agent that will ensure the efficient and effective management, administration and payment of social assistance; serve as an agent for the prospective administration and payment of social security; and render services relating to such payments" (Taylor, 2002:35-36).The Taylor Committee envisioned that SASSA would have the following functions to manage the non-contributory social assistance fund, including budget determination and grant administration and that is :

- to oversee all social insurance funds operating in South Africa; and
- to serve as an intermediary between the general public and all areas of the social security system, including all relevant government departments (for example, Home Affairs) or social assistance and social insurance

institutions (for example, UIF and COIDA) (Mpedi, 2008:20; Van Der Berg, Siebrits & Lekezwa, 2010:7).

Over the last few years there have been several debates by numerous authors such as Patel (2005:367-378), Van Der Berg, Siebrits & Lekezwa (2010:7), Mpedi, (2008: viii), and Orderson (2011:163) about the effectiveness of the social assistance system as a poverty alleviation programme. Social assistance provides a safety net for the most vulnerable and contributes to the monthly incomes of over 16 million people in 2013. As highlighted in the National Treasury Budget Review, (2013:81), Social Development spending has improved living conditions over the past decade, but service delivery must be improved through shared efforts between government, the private sector and civil society. The National Development Plan 2030 (NDP, 2013:12), recognises that reducing the cost of living is essential for broadening economic participation and eliminating poverty. Alongside the "economic wage" earned through work, the "social wage" provided by government represents a steadily rising contribution to improved living conditions of working people and their families. Outcome 13 of the National Development Plan 2030 (NDP, 2013:12), which calls for the creation of an inclusive social protection system and entrenchment of a social security system that protected working people, and social assistance for the poor and other vulnerable groups such as children, the aged and people with disabilities. The NDP identified the following sub-outcomes in outcome 13:

- Sub-outcome 1: A reformed social welfare sector and services
- Sub-outcome 2: Improved provision (improved quality and access) of Early Childhood Development
- Sub-outcome 3: Strengthened community development interventions
- Sub-outcome 4: Deepening social assistance and expanding access to social security
- Sub-outcome 5: Optimal systems to strengthen coordination, integration, planning, monitoring and evaluation of social protection services. The key impact indicators for outcome 13 are the following:

- Access to a comprehensive package of quality early childhood development (ECD) services for all young children from conception until they enter formal schooling
- % of children under 5 stunted
- Improved access to social security including social assistance (NDP, 2013:12).

Spending on social development, health, and education, housing and local amenities has more than doubled in real terms over the past decade and now accounts for almost 60 per cent of public expenditure (National Treasury Budget Review, 2013:81). The child support grant has been praised as one of the government's most successful anti-poverty programmes. The CSG is a monthly state-funded cash grant of R300 (in October 2013) given to the primary caregiver of a poor child. The grant reaches over 11 million children which makes up approximately 55% of the total number of children in South Africa. The caregivers of CSG children are overwhelmingly (96%) women, it consists of a cash transfer for children up to 18 years. The number of child support grant beneficiaries has risen from 5.7 million in 2004/05 to about 11.4 million because of the increase in the eligibility age to a child's 18th birthday. An impact study conducted in 2012 found that receipt of this grant promotes early childhood development, improves educational outcomes, and contributes to better nutrition and health. Of these, the CSG takes the largest part of the budget, and is currently the single largest programme for alleviating child poverty in the country, with more than 11, 4 million children benefitting from the grant (Mail and Guardian, 2009; SASSA, 2012; NT Review, 2013:).

According to Coetzee (2014) study, on whether "does the child support grant make any real difference to the lives of the millions of children who receive it"? The findings are that the rapid extension of the grant increases the importance of ascertaining its effectiveness. These positive effects are in the form of an increase in children's height-for-age, an improvement in children's progress through the school system, an increase in the household's expenditure on food items and a decrease in expenditure on adult goods. The results from this study confirm the importance of the child support grant (CSG) as a tool to alleviate poverty and promote human development, also contributing to an eventual decrease in inequality in South Africa. The CSG is an important long-term enabling mechanism. The study argues that, using the 2008 NIDS (National Income Dynamic Study, 2010) data, a recently published study identifies a significant positive impact on recipient children's health, nutrition and education as a result of receiving the grant.The research findings concluded that there is to a significant positive effect on the well-being of children in the survey, all were aged 14 and younger, the cut-off age for the grant in 2008 was at 18 years (Coetzee, 2013:2-3).

In recent years, as in 2013/14 access to social grants has been broadened by reducing the means test income thresholds. With the high rising unemployment among young people and with more focus on the child support grant and it's intended or unintended usage, it has been

shown by the household survey conducted by Stats SA in its report of the 1ˢᵗ quarter, of 2013, that in most of the impoverished communities, the importance of social grants to address income poverty was also indicated. It was found that more than of households contain at least one member who receives a social grant, and 39, 5 per cent of these households identified social grants as their main source of income, as reported by the research (Post, August 23, 2013).

The social assistance programme provides a regular income to South Africa's most vulnerable households and is government's most direct means of combating poverty. By the end of 2012/13, nearly 16.1 million people were beneficiaries of social grants, up from 2.5 million in 1998. Most of this increase relates to the expansion of the child support grant. Since its introduction in 1997, the amount has more than doubled from R100 to R 290, as of April 2013, and increase to R300 in October. More than half of all households benefit from social assistance. For 22 per cent of households, social grants are the main source of income. Social grants are funded directly through the fiscus and will contribute R113 billion to the income of low-income households in 2013/14 (SASSA Annual Report, 2013/14:19).

As highlighted by Minister of Social Development, Ms Bathabile O Dlamini, 22 August 2012, in her foreword for SASSA, 2011/12, "A leading independent economist stated recently that social grants has "drastically reduced poverty extensively" and in some ways helps "to stabilize the country." This statement supports the findings of the study conducted by the Economic Policy Research Institute (EPRI) on behalf of Department of Social Development, SASSA and UNICEF on the impact of the Child Support Grant (CSG). The research concluded that early receipt of the CSG is an investment in human capabilities, and has contributed immensely to poverty eradication as well as breaking the transmission of intergenerational poverty. In addition, the findings revealed that the CSG has a positive impact on schooling and reduced the likelihood of illness especially if children are enrolled early in the CSG. It also found that "adolescents" on the grant were less likely to engage in "risky behaviour" which in the context of high HIV prevalence generates a particularly protective impact. Increased access to social assistance was further enhanced by the implementation of the Improved Community Registration Outreach Programme (ICROP).The ICROP was established to improve access to and equity in services by beneficiaries residing in rural and semi-rural areas. It is a major success, largely because of effective partnerships with key stakeholders, such as government departments such as Department of Home Affairs, SAPS,

Department of Health, non-governmental organisations, faith-based organisations, traditional leaders and ward councillors, and so forth.

The following table illustrates how social assistance grants have been growing since the establishment of SASSA per region.

Table 4.3 Number and Percentage Growth in Beneficiaries per Region

Region	2012/13	2013/14	Difference/Change	% Growth
Eastern Cape	1,763,740	1,747,987	-15,753	-0.89%
Free State	669,180	664,675	-4,505	-0.67%
Gauteng	1,553,454	1,540,076	-13,378	-0.86%
Kwazulu-Natal	2,447,899	2,427,219	-20,680	-0.84%
Limpopo	1,378,265	1,439,533	61,268	4.45%
Mpumalanga	909,949	866,865	-43,084	-4.73%
North West	755,164	763,579	8,415	1.11%
Northern Cape	289,475	290,521	1,046	0.36%
Western Cape	956,274	970,946	14,672	1.53%
Total	**10,723,400**	**10,711,401**	**-11,999**	**-0.11%**

Source: wwwdowbox.pwv.gov.za/ozdow/SOcnat/p/DAILY_GRANT_CSG18_STATS (31March 2013 and 31 March 2014)

At the end of 2013/14 financial year, there were 10,711,401 beneficiaries in payment. There was a decrease of -11,999 beneficiaries, or -0.11% from the previous financial year. The highest growth was in Child Support Grant beneficiaries (3.37%), followed by Care Dependency Grant beneficiaries (0.32%). War Veteran and Disability Grants beneficiaries decreased by -26.92% and -3.76%, respectively. The negative growth reflected in most of the regions was due to the mass re-registration that was undertaken during the period of 2012/13 with the introduction of the new payment card system, where numerous 'ghost' children that were found to be none existent had to be cancelled.

The following table (4.5) illustrate that at the end of 2013/14 financial year, there were 10,711,401 beneficiaries in payment. There was a decrease of -11,999 beneficiaries, or -.11% from the previous financial year. The highest growth was in Child Support Grant beneficiaries (3.37%), followed by Care Dependency Grant beneficiaries (0.32%). War Veteran and Disability Grants beneficiaries decreased by -26.92% and -3.76%, respectively.

Table 4.4   **Number and growth rate of beneficiaries by grant type as end March 2014**

Grant type/Period	2012/13	2013/14	Difference/Change	% Growth
Old Age	2,873,197	2,969,933	96,736	3.37%
War Veteran	587	429	-158	-26.92%
Disability	1,164,192	1,120,419	-43,773	-3.76%
Foster Child	372,960	363,245	-9,715	-2.60%
Care Dependency	117,884	118,256	372	0.32%
Child Support	6,194,580	6,139,119	-55,461	-0.90%
Total	**10,723,400**	**10,711,401**	**-11,999**	**-0.11%**

Source: wwwdowbox.pwv.gov.za/ozdow/SOcnat/p/DAILY_GRANT_CSG18_STATS

(31March 2013 to 31 March 2014

The two tables below will illustrate how the assets and income threshold has increased annually to allow more people to benefit into the social assistance net, per each grant type.

Table 4. 5   **Asset and Income Threshold as 1 April 2014.**

Asset threshold	01 October 2013	01 April 2014	01 October 2014
(Grants for older persons, disabled and war veterans only)			
Single person	R 838 200	R 891 000	R 891 000
Married person	R 1 676 400	R 1 782 000	R 1 782 000
Income threshold: (Annual amounts)			
Single person	R 50 340	R 61 800	R 61 800
Married person	R 100 680	R 123 600	R 123 600
Child Support Grants:			
Single person	R 36 000	R 37 200	R 38 400
Married person	R 72 000	R 74 400	R 76 800
Care Dependency Grants:			
Single person	R 152 400	R 162 000	R 162 000
Married person	R 304 800	R 324 000	R 324 000

SASSA You and Your Grants: 2014/15

Table 4. 6   Amounts of Grants as at 01 April 2014

Grants Type	Amount payable as from 1 October 2013	Amount payable as from 1 April 2014	Amount payable as from 1 October 2014
Older Persons Grant (Old age pension	R 1 270.00	R 1 350.00	R 1 350.00
Older Persons Grant (Old age pension): Beneficiary old than 75 years	R 1 290.00	R 1 370.00	R 1 370.00
Disability grant	R 1 270.00	R 1 370.00	R 1 350.00
War veterans' grant	R 1 290.00	R 1 370.00	R 1 370.00
Grant-in-aid	R 300.00	R 310.00	R 320.00
Child support grant	R 300.00	R310.00	R320.00
Foster child grant	R 800.00	R 830.00	R 830.00
Care-dependency grant	R 1 270.00	R 1 350.00	R 1 350.00
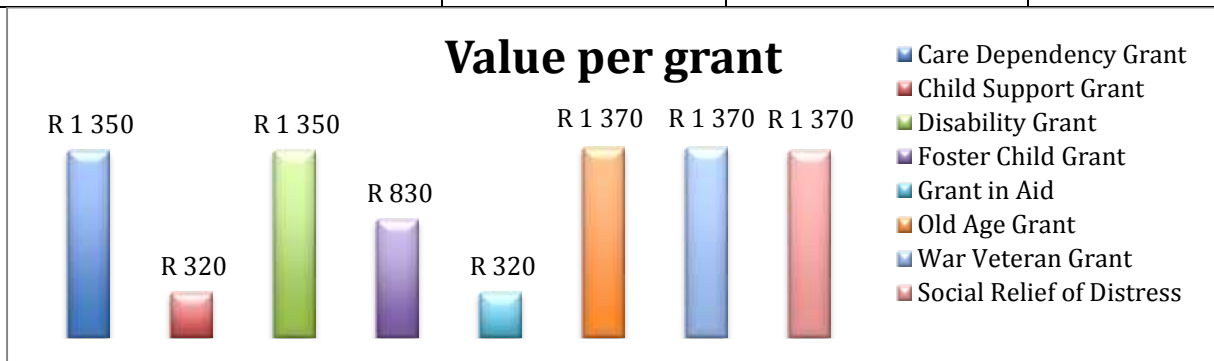
SASSA You and Your Grants: 2014/15

The following tables illustrate the increase in the value of grants amounts, within each financial year which also demonstrate that with the increase in the value of grants, comes with an increase in the expenditure. The adjustments for grants in 2013/14 wherein the old age, war veterans, disability and care dependency grants increased by R60, and by R 80 in 2014/15 Older Persons Grant (Old age pension) beneficiary old than 75 years increased by R80. The foster care grant increased by R30 and the child support grant by R10 in April and a further R10 in October 2013.The value of grants increase annually on the first day of the financial

year however, a second adjustment is usually made in October. The values above represent the actual value of each grant type as at 01 October 2014.

4.6   POLICY IMPLEMENTATION IN SASSA: THE CASE OF GAUTENG

This section will give an overview of the Gauteng province demographics as per the Census 2011 to illustrate population growth versus other provinces, issues of migration from other provinces to Gauteng. The purpose is to provide a comparison of uptakes of grants per each province in comparison with population, as well as people applying for the social grants. Particular focus being on CSG, and implementation of the policy change on the amended section 18(1) of the Social Assistance Act, which requires the Agency to reconsider its decision where the beneficiary is not in agreement with the outcome of a grant (Internal Reconsideration Mechanism).

The total population of South Africa as counted in Census 2011 has increased by 11.2 million since Census 1996. Gauteng is the largest province by population size with 12, 2 million people, followed by KZN at 10, 3 million. The growth in Gauteng can be attributed to labour migration; people tend to leave their provinces of usual residences in search for work in the more industrialised provinces like Gauteng and the Western Cape. According to the Stats SA Census 2011, the numbers of households have been steadily growing over the past 15 years. Population growth has been mostly responsible for that but also; the changing pattern of household formations can be attributed to such growth and diversity. Most households are in Gauteng and KZN, with the fewest in the Northern Cape and Free State. With the effects of inflation as well as the increasing access to jobs and a growing economy, it has be observed that the average annual household income increased in all nine provinces quite substantially since 2001 to 2011. The average household income is lowest in the Eastern Cape (R64 000 p.a.) and Limpopo (R57 000 p.a.) whilst it is highest in Western Cape (R143 000 p.a.) and Gauteng (R156 000 p.a.).

Table 4. 8 illustrates a trend in social grants to that of beneficiaries. The highest percentage growth was recorded in Limpopo (3.14%) over the previous financial year (2013/14), followed by Western Cape (1.01%). The highest decrease was in Mpumalanga-5.79% followed by Eastern Cape -2.38%, Kwa Zulu Natal -2.29%, Gauteng -1%, Free State -0.97% and North West -0.24% having the lowest growth amongst all the nine regions.

Table 4.7   Number and percentage growth in social grants per region between the periods 2012/13-2013/14

Region	2012/13	2013/14	Difference/Change	% Growth
Eastern Cape	2,684,118	2,620,284	-63,834	-2.38%
Free State	943,876	934,766	-9,110	-0.97%
Gauteng	**2,206,202**	**2,184,193**	**-22,009**	**-1.00%**
Kwazulu-Natal	3,849,979	3,761,662	-88,317	-2.29%
Limpopo	2,155,142	2,222,730	67,588	3.14%
Mpumalanga	1,406,610	1,325,217	-81,393	-5.79%
North West	1,109,001	1,120,034	11,033	0.99%
Northern Cape	425,824	424,815	-1,009	-0.24%
Western Cape	1,325,358	1,338,772	13,414	1.01%
Total	**16,106,110**	**15,932,473**	**-173,637**	**-1.08%**

Source:wwwdowbox.pwv.gov.za/ozdow/SOcnat/p/DAILY_GRANT_CSG18_STATS (31March 2013 and 31 March 2014), 3rd Quarter Strategic Monitoring Social Grants Status Report 2013/14

It is in the context of the above demographics showing population growth and migration of people from other provinces to Gauteng that implementation of any policy by the Agency should be done taking into account the above. Effective implementation of a policy can be enhanced and if the resources required managing the implementation process are allocated and the mechanisms for translation of policy, actions are well specified and of the responsibility and accountability of the department are clarified (Smythe, 1998:14-15).

There are two approaches to policy implementation called the top- down approach, where top management provides leadership and guidance for the attainment of predetermined goals with pre-set outcomes seen by critics as too dependent on a well-structured, chronologically exercise. Policy implementation process takes place when the decisions are translated into actions. It is the action of departments and it is the responsibility of political office – bearers. It is thus can be effective only if it is linked to the performance management system of the institution (Van der Waldt et al., 2002:185). Implementation phase can only be properly managed if authority is delegated to implement strategies, and flexibility is necessary to cover needs that may develop at certain times and places (Fox et al., 2006:58).

The current administration, management and payment of social security grants are delivered in terms of a four-tier system, namely:

- Head Office operations which is responsible for ensuring development of strategic management processes based on the policy directives as set out by Social Development, maximum control, optimal executive decision making and minimising operational and support service costs of back office processes.
- Regional operations or regional offices are responsible for ensuring monitoring implementation of policy and therefore required to manage the service delivery on behalf of the head office across the service offices within a specific region, and effective service delivery management within a region.
- District operations for management and dispatch of shared resources, such as inspectors and field workers; and will manage pools of resources and support services to the local service offices. The district offices serve as a dispatch centre for resources that can be shared between more than one local offices.
- Local office and service points operations for customer interactions and operational decision making where the access and contact time is the driving factors of the process (SASSA- Service Delivery Model).

Policy implementation process in SASSA between head office and regions is often a top-down approach, where top management drives at the attainment of predetermined goals. Gauteng's SASSA region can be described as having a regional office with 858 staff, with 5 district offices, 38 local offices, and 88 satellite / service points where actual implementation of policy takes place. There are 124 pay-points where the actual grants payments take place at

halls on a monthly basis. At the end of the financial year 2012/13 the total number of grants in payment was 2 201 678 million beneficiaries the highest being the CSG with over 1 577 322 million children in payment.

4.6.1   Challenges associated with policy implementation

Regulation 11(1) of the Social Assistance Act of 2004 allows prospective beneficiaries to use alternative identity documents in the application of social grants. There is a realisation that there has been an increase in the uptake with CSG, since the introduction of the use of alternative identity, however according to the December 2011 UNICEF study using the General Household Survey of (2010) and the NIDS (National Income Dynamic Study (2010) data sets it was determined that there were 2,011,316 or 2,070,819 eligible children excluded from accessing the Child Support Grant. The rates of exclusion were determined to be from highest to lowest:

- Western Cape (36%)
- Gauteng (31%)
- Free State (23%)
- Kwa Zulu Natal (23%)
- North West (23%)
- Mpumalanga (20%)
- Limpopo (18%)
- Northern Cape (17%)
- Eastern Cape (16%).

In 2012, an analysis of the take up rates of the CSG using the SocPen data against the census data illustrated that take up rates for children 0-1 years was low and that it began to decline for children from 12 years and older. It was also determined that low take was in Western Cape, Gauteng and North West Region (UNICEF, 2013:16).

In this study all eligible children under the age of 18 years who are excluded from the CSG was determined to be 23.7% or 2,347 418 (2.35) million children. The number of children excluded does have a direct bearing on the age extension of the CSG for the relevant years of the study.

The children most affected by exclusion are those 0-1 yrs. where the exclusion rate is 50.3% or around 352 589 eligible children outside the net. The exclusion rate for children 1- 10 is between 14.9 to 25.6% totalling 978 828 children. The exclusion starts to deepen for children from 11 to 16 years with 18.7% to 40.9% being excluded - averaging 694 263 children. The exclusion rate for children 17 years was 72.3% totalling 321 738. In this year of study of 2013, the CSG was not yet extended to this age group of 18years. The following illustrates the Regional Specific Exclusion Findings.

Table 4.8   Exclusion from CSG per age group in the SASSA regions

Regions	0-1yrs		2-11yrs		12-17yrs	
	%	Numbers	%	Numbers	%	Numbers
Western Cape	48.6	63 557	29.6	155 313	47.4	103 992
Eastern Cape	39	77 916	0.89	70 780	25.3	117 574
Northern Cape	34	11 680	13.2	20 543	29.4	21 752
Free State	30.8	27 671	12.8	44 850	29.9	52 909
Kwa Zulu Natal	32.7	97 696	10.7	139 108	29.4	205 220
North West	43.1	42 292	16.6	74 156	31.8	65 467
Gauteng	45.2	91 946	27.8	252 032	40.7	144 403
Mpumalanga	49.4	48 158	16.4	77 903	28.5	74 129
Limpopo	29.2	60 519	11.3	81 888	29.5	123 962

Source: SASSA/UNICEF- CSG exclusion error study, 2013.

As illustrated from the above table there were various reasons that were established from the interviews with numerous care –givers as to why most who would have qualified for the CSG had not applied. There were numerous reasons given and some as identified as in the following:

The SASSA/UNICEF, (2013:16) study on CSG also established that the reasons forwarded by caregivers for non-application varied. Caregivers that do not qualify for the following reasons:

- if they are working or receiving benefits from other schemes;
- lacked information about eligibility and procedures for application;
- had incorrect information about the means test;
- officials were misinformed about the application of means test and turned away applicants who were in employment;
- fear of committing fraud;
- adolescents believe they did not qualify if they were not attending school or earning an income even if it is below means threshold;
- Caregivers lacked and motivation to apply because of the lack of access- increased from 15.34% in 2010 to 25.65% in 2011. Repeated visits affected employment;
- Long queues and lack of baby and child friendly facilities at SASSA offices
- Distance, cost and lack of integration of services, DOH, DHA, SAPS, ;
- Lack of documentation, not aware of Reg.11, in which case they could apply for a grant with an alternative identification document as in a receipt from DHA, or an affidavit, or sworn statement indicating that they are South African citizens;
- Refugees have peculiar challenges;
- Lack of information about rights to social assistance amongst other government and department officials;
- Policy barriers: children 16 and older cannot get the grant for themselves and siblings or their children;
- Migration to another province;
- Immobility of caregivers; and
- Non-parents not aware they are eligible and believe only parents qualify.

It is worth noting that the said research questions were only asked to caregivers with children between the ages of 10-14 years (SASSA/ UNICEF CSG, 2013: 34). The other policy implementation that the study will illustrate as an example of poor implementation by both DSD and SASSA is the implementation of regulation 18 of 2010, namely the Internal Reconsideration Remedy Mechanism, as a result of the amendment of the Social Assistance Act of 2004.

4.6.2 Implementation of Regulation 18: The Internal Reconsideration Remedy Mechanism.

This legislative reform obligates SASSA to ensure that the required procedure is put in place to comply with the strategic intent of the Agency to deliver services in a customer care-centred manner characterised by improved systems integrity to increase access to social security. The segregation of duties between reconsideration of an application for social assistance and an appeal was effective from 16 September 2010. The quality assurance of Social Assistance decision has been a source of concern to clients who sought to claim offered benefits. Those clients had to wait years for their appeals to be heard whilst the Appeal mechanism was being established. To compound this matter only social assistance beneficiaries had the privilege to request the Agency to review unfavourable decisions through additional representation and the Restoration process. Social Assistance applicants were however not offered such an opportunity until the promulgation of section 18(1) of the Social Assistance Act, as amended, on the 16 September 2010.

- Regulation 2(1): allows an applicant, beneficiary or person acting on their behalf, to apply for reconsideration in a form similar to Form within 90 days of getting the outcome of the grant application.
- Regulation 3: CEO of SASSA must assign officials, who occupy a position that is higher in rank to that of the officials who considered the application, to reconsider applications.

From the theoretical framework provided in chapter 2 it is evident that for effective policy implementation emphasis should be placed on the interlinking of the five variables known as the 5-C protocols, namely:

- the content, being the nature of the institutional context;
- the commitment of those entrusted with carrying out the implementation;
- the administrative capacity; and

- the support of clients and coalitions whose interests are enhanced or threatened by the policy.

The '5-C Protocol' implies that implementation is an activity to be planned and carried out according to a carefully predetermined plan. A process can only proceed while lessons are learnt as one proceeds through the different implementation stages. In conclusion, synergy in implementation of policy is critical and the challenge is to use the five 5C's strategically in their complex inter-linkages. The process can reach a more effective outcome by strategically 'fixing' variables over which we have some direct or indirect influence to enable changes in the ones over which we have no influence (Brynard, 2007:363). It is argued further by Brynard, (2009: 567) that the mere fact that there is no single theory on policy implementation makes a review of the literature quite significant. Different authors have different views regard important variables in policy implementation. This list of factors as identified by O'Toole (1986:189) in Brynard, (2009: 566) is comprehensive but not complete, it includes aspects such as flexibility of goals and procedures, financial and other resources, attitudes and perceptions by implementers, alignment of clientele and timing. It seems that some of these views are contradictory, which suggests that the success or failure of a particular policy may be linked to the situation. According to the Swedish study conducted by Lundin (2007:643), in Brynard, (2009: 565) co-operation in respect of a complex policy has a positive effect on implementation, no matter how the variable is operationalised. With a simple policy, the effect of cooperation is often insignificant.

Due to the lack of active participation by SASSA in the above-mentioned policy-making processes, there have been numerous challenges in the implementation experienced by regions as highlighted in their annual reports of 2010/11 such as the following list of problems:

- There is non-standardisation in the implementation of the procedures by SASSA regions due to pressure from head office and the resultant implementation without Standard Operating Procedures. This in turn results in different application processes, which also leads to possible complaints and litigation by clients particularly in the appeals and internal remedy processes. The use of varied methodologies in the implementation of policy because of different interpretations causes delays in the development and approval of regulations, such as the Amendment Act 10 of 2010.

Standards are thus not clear and not effectively linked to the performance management system (SASSA Annual Report, Financial Year 2010/2011:23).

- Delays in the development and approval of regulations such as was the case with the amendment of the Social Assistance Act 10 of 2010, section 18, due to the lack of policy analysis conducted to assess the readiness of regions for implementation. This resulted in accumulation of backlogs in applications not dealt with within the stipulated 90 days while awaiting finalization of regulations by DSD. The Amendment Act, 2010 came into operation on 16 September 2010. Once passed by Parliament it was envisaged that the amendment should be implemented around November 2010 after promulgation of Regulations, however due to the delays in the finalisation and approval thereof. The draft regulations were published for public comments on 29 December 2010 and the closing date was 14 February 2011.This resulted in damaging the image of the Agency and an increase in complaints and queries with the Presidential hotline (SASSA Annual Report, Financial Year 2010/2011:24).

- Centralisation where the policies are developed with little consultation with the final implementers can cause failure to capture the subtle ties of initiatives at grassroots level. The policy then appears alien to the implementers and managers of the policy. The distance of policy makers from practice can create a lack of harmony among the different elements of the same policy. As identified by numerous authors such as Hanekom (1987:4), Mokgoro (1997:2), and Brynard (2007:360). In Ewalt and Jennings, Jr, (2004:452)

- "Implementation may fail because implementers refuse to do what they are supposed to do. Dispositional conflicts occur because subordinates reject the goals of their superiors ... for numerous reasons: they offend implementers' personal values or self-interest; or they alter features of the organization and its procedures that implementers desire to maintain".

- Lack of clarity as to which unit is responsible and accountable for monitoring implementation of the said amendment Act 10, 2010, at head office level, between Customer Care and Disability Management units, as well as silo mentality within SASSA resulting in duplication of functions and conflicting directives and messages to regions. Lack of clear governance arrangements in terms of:

  - Structure;
  - Interfacing with other systems; and

- Reporting systems and tools.
- Poor communication of new policy changes with the Amendment of Social Assistance Act, 10, of 2010, section 18 to all relevant stakeholders, in particular SASSA staff and beneficiaries, resulting in beneficiaries still sending their appeals to the Ministry department directly. The purpose of developing policy relevant documents such as executive summaries, appendices, news releases, policy memoranda, and making oral presentations is to enhance prospects for the utilisation of knowledge and debate among stakeholders situated at the phases of the policy-making process as they serve as multiple strategies of interactive communication (Dunn, 1991:21).

Key factors for successful policy implementation as promulgated by Mokgoro (1997:2) and Brynard (2007:360- 362) are financial and technical resources with quality of human resources. A lack of resources and mismanagement of the resources can cause problems. Common such challenges experienced with policy-making within the public sector that need to be confronted and often confronting departments are to ensure that the necessary technical, institutional and human resource capacity does exist to enhance the sustainable implementation of policies. It is the key process in spelling out intentions and objectives, and cannot be viewed in isolation from other administrative processes, such as financing, organising, human resource management and control (Mokgoro, 1997:3; Coetzee & Wissink, 2000:181-182; Van Niekerk, Van der Waldt & Jonker, 2001:87).

Inadequate costing of implementation and a lack of planning for resources required before any policy is approved; resulted in the inability of SASSA regions to effectively implement policy. Effective implementation of a policy can only be enhanced if the resources required to manage the implementation process are allocated, and if the mechanisms for translation of policy into action are well specified and if the responsibility and accountability of the Department are clarified. Over-ambitious targets can be set which causes implementation of policies to ultimately fall short of their desired outcomes. There was lack of appropriate funding to ensure that there are the following resources to effect the required changes such as:

a) Support structure as in additional administrative staff to do logistics in terms of arranging for the filing, printing, making of appointments, writing of outcome letters to beneficiaries, etc.

b) Poor management of the current Information systems and interface of internal systems such as SocPen, MIS for file tracking and file management, as well as Interlink for management of letters and addresses.

c) Lack of standardisation of forms; structure and processes. For example in the KZN where they started and initiated, the process clients were called in during the reconsideration process such as was for hearing of Appeals. The result of their noble intentions has been the non-standardised implementation of this mechanism, something that would expose the Agency to litigation.

d) No additional funding would be made available. The region had to use its own funds for resources such as stationery, procurement of forms, transportation of files, franking of letters etc. This resulted in delays in the processing of applications from the local offices to district and lastly to regional office, due to these unplanned additional functions such as making photocopies of forms, franking of letters, etc.

e) The lack of promulgated Regulations to guide the implementation of the Internal Reconsideration Mechanism, Standard of Operations Procedures (SOP) to implement such led to some SASSA regions/provinces to urgently adopt provincial based implementation methodologies for fear of litigation.

f) Different understanding and interpretation by administrators of what the policy intends to achieve also became a challenge for implementation.

g) Communication of the new policy changes was limited as often information on the said policies is received from media, radio, newspaper and television which does not provide detailed information on the said policy to be introduced. It does not provide enough opportunity for active dialogue and interaction with communities and civil society. The public needs to be provided with executive summaries of legislations before parliament, and be drawn into policy-making process from the initial imitation and agenda setting processes for policy implementation to be effective (Brynard, 2007: 362).

Almost all regions opted for panel mechanisms, similarly in Gauteng with exception of the Mpumalanga region, due to a continuous need of a medical opinion in disability related applications and in certain instances legal expertise within the reconsideration process. As obligated in Regulation 3(2), internal reconsiderers should be a rank higher than that of the official who originally considered the application currently in question. In the absence of delegations to the regulations, the appointment of Panels in terms of regulation 3(1) to Social

Assistance Act, 2004 (including the Social Assistance Amendment Act, No 5 of 2010) to adjudicate in respect of applications received from beneficiaries for reconsideration of a SASSA decision, 5 individual reconsideration officials were appointed across all regions. Composition of the said panel members also not uniform in nature as others constituted of legal representatives, grants administration managers from the various units at regional office, and others by district and local managers. Methodology used for appointment of panel system, which was not supported by Executive Authority, and later had to be abolished. The region decided on a multi- sectoral approach in which case the panel was constituted of a legal representative, two managers from grants administration, the CEO approved these. In most instances, the panel could not proceed with the adjudication, as they would not form a quorum resulting in high backlogs, as applications could not be completed within the prescribed 90 days. With the 2012-13 audits, the Auditor General (AG) has since raised the above as an audit query. All the nine regions including Gauteng were found to have overstated achievements reported for percentage of application for internal reconsideration finalised within 90 days.

The promulgation of regulation 18 of 2010 clearly stipulate that all applications received for IRM should be finalised within a period of 90 days. In the case of implementation of the said regulation 18 amendments, only 96% was finalised instead of the 100% target as stipulated in the Gauteng regional Operational plan for 2012/13 (Gauteng's annual performance report for 2012-13).The above, was also found by the Attorney General in his SASSA audit report of 2012/13, to be a negative performance findings, as it was seen as an understatement of the number of ICROP special requests responded to, and an overstatement of the percentage achievement of the number of people accessing social assistance services through ICROP, due to lack of proper system of recording. Not enough information was provided to recalculate the percentage implementation of tribunal decisions (AG, SASSA, 2013:28).

As pointed out by Brynard (2009: 561) the key to any initiative is the commitment of everyone concerned to ensuring the successful roll-out of the initiative? In essence, commitment refers to an ability to maintain the focus on an initiative from its inception through to its delivery. There are divergent views on how to create commitment to a policy initiative. One view is that political backing is needed, implying that commitment is mainly a top-down issue. Others regard commitment as something that has to be developed from the bottom up. The latter view focuses on the attitude of the employees who have to implement

the initiative at the ground level he visibility of a policy tends to build commitment among both the officials who have to implement the policy from the bottom up, and the politicians who need to support it from the top down.

As maintained by Giacchino and Kakabadse (2003:146) in Brynard (2009: 562) people are more likely to commit to a high-profile programme. The higher the visibility and profile of a policy, the greater the pressure for change. However, this does not mean that a low-profile policy is necessarily doomed. Ownership of a programme reflects commitment at multiple levels, which in turn implies both administrative and political commitment. Commitment to a particular policy must reach as many stakeholders as possible.

Critical for the success of policy is leadership and political commitment (Brynard, 2007: 362). If there is a lack of this commitment, it can also cause failure in implementation. Another problem is lack of coordination between political representatives and officials and among government departments.

During the initial implementation of the policy there was lack of communication strategy and plan to ensure that all clients and individuals affected by the policy. Hence, most of the SASSA clients still referred their applications directly to ITSSAA causing unnecessary delays. SASSA local and service offices where all IRM applications are supposed to be taken were not effectively communicated to, or provided within any training ,such that this caused undue hardship to beneficiaries due to lack of clarity on the implementation of this regulations.

Government's attitude towards the value of training is equally critical for successful implementation of any policy. According to Younis (1990:117) in Brynard (2009: 563), training is often neglected in developing countries. There seems to be no doubt that insufficient training in a country has a deleterious effect on development in general and on the success of policy implementation in particular.

4.7   CONCLUSION

In this chapter it was established how the social assistance programme in South Africa in comparison to other countries globally is contributing towards the alleviation of poverty and improving the lives of people in addressing the inequalities of the past. Background to the provision of social assistance prior to the establishment of SASSA in 2006, provided an insight into the challenges and problems existing on administration of social grants. The section provision of the role of Department of Social Development prior and after SASSA's establishment enables one to distinguish how policy-making process between Department of Social Development and SASSA is conducted.

Policy-making processes between DSD and SASSA in relation to the social assistance implementation illustrate challenges particularly when it comes to implementation. Using Gauteng region as a case study it was established that policy implementation is a challenge in SASSA. By referencing to implementation of some of the regulatory and legislative changes made after the establishment of SASSA in 2006, implications and impact of how some of the policy implementation has had challenges.

The challenges include the lack of clear communication on roles and responsibilities in the administration of the IRM, and the lack of coordination between DSD and SASSA, poor planning and forecasting to be able to assess needs in view of resources such as staff, inadequate equipment, and limited funding. This resulted in a general lack of commitment from the middle management and operational staff in the implementation of the policy as a result of the top-down policy formulation approach, in which case the result may be absence of standardised operating procedures from which all stakeholders, will be able to refer the policy implementation.

In the next chapter, the primary research objective is operationalised by assessing the policy-making process between DSD and SASSA. This assessment is based on the theoretical underpinnings of policy-making (Chapter 2) and the statutory and regulatory requirements (Chapter 3) as well as the SASSA case study (Chapter 4). Based on this theoretical and practical orientation, the potential discrepancies between DSD and SASSA will be verified by means of an empirical study.

CHAPTER 5

ASSESSMENT OF THE POLICY- MAKING PROCESS BETWEEN DSD AND SASSAIN THE SOCIAL ASSISTANCE PROGRAMME: EMPIRICAL FINDINGS

5.1   INTRODUCTION

In the previous chapter, an outline of how the policy-making process between Department of Social Development (DSD) and SASSA was derived. The chapter further identified key success factors associated with policy-making and explored the significance of stakeholder participation while detailing the current policy implementation process.

The objective of this chapter is to report on the empirical findings from the semi-structured interviews conducted to gather information regarding policy-making processes between DSD and SASSA. The outcome of the responses collected by means of an interview schedule (questionnaire) from Gauteng managers of regional and district offices and local Office Managers (i.e. units of analysis) will be presented to enable logical interpretation of findings. This data will serve as a basis to address the problem statement of this research and to suggest viable options for improvement. The analysis of the empirical findings emanating from this study is intended to give a critical assessment of the DSD and SASSA's policy-making process as well as the successful implementation of policies. The research methodology, problems encountered, and limitations of the study will also be highlighted.

5.2   RESEARCH METHODOLOGY

Remenyi (1996:24) maintains that research can be defined as "a voyage of discovery" and that for researchers to claim that their research is adding valuable information to the existing body of knowledge, they must comply with the "scientific method". Welman et al. (2005:2) define this scientific method as a process that involves generating scientific knowledge by making use of objective methods and procedures in a particular field of study. Scientific methods ensure that a standard system for interpreting the phenomenon investigated or observed is upheld.

Brynard and Hanekom (2006:35) regard research methodology as the "how" aspect of a study and state that the collection of data and the processing thereof within the framework of the research process mainly constitute this "how" dimension. It is a strategy of enquiry, which moves from the underlying assumptions to research design, and data collection.

Although there are other distinctions in the research modes, the most common classification of research methods is into qualitative and quantitative. At one level, qualitative and quantitative refer to distinctions about the nature of knowledge: how one understands the world and the ultimate purpose of the research. All research according to Cohenet.al(2001:3) as described by Jansen (2007:31) is based on some underlying philosophical assumptions about what constitutes 'valid' research and which research method(s) is/are appropriate for the development of knowledge in a given study. In order to conduct and evaluate any research, it is therefore important to know what these assumptions are. These are:

- ontological assumptions-which give rise to
- epistemological assumptions –which give rise to
- methological considerations- which in turn give rise to instrumentation and data collection.

This chapter discusses the philosophical assumptions and also the design strategies underpinning this research study. Common philosophical assumptions were reviewed and presented; the interpretive paradigm was identified for the framework of the study. In addition, the chapter discusses the research methodologies, and design used in the study including strategies, instruments, and data collection and analysis methods, while explaining the stages and processes involved in the study. Furthermore, the justification for each of the data collection methods used in the study was discussed. Finally, in order to ensure trustworthiness of the research, appropriate criteria for qualitative research were discussed, and several methods that include member checks, peer reviews, were suggested and later employed.

5.2.1 Research design

The research design for this study is a descriptive and interpretive case study that is analysed through qualitative methods. Merriam (1998: 11-19) states that qualitative case studies in education are often framed with concepts, models and theories .An inductive method is then used to support or challenge theoretical assumptions. Although the research process in qualitative research is inductive, Merriam (ibid: 49) notes that most qualitative research inherently moulds or changes existing theory in that:

- Data are analysed and interpreted in light of the concepts of a particular theoretical orientation;
- Findings are usually discussed in relation to existing knowledge (some of which is theory) with the aim of demonstrating how the present study has contributed to expanding the knowledge base.

According to Babbie (2001:90), designing a study involves specifying exactly who or what is to be studied, how, and for what purpose. The research plan follows a linear path; from identifying the topic to interpreting the results. It is a plan that allows one to test the validity of hypothesis or answer research questions; a plan or sketch of how the researcher intends to conduct the research. Babbie and Mouton (2007) elaborate that the research design typically begins with the initial interest, idea or theoretical expectation and then proceeds through a series of interrelated steps to narrow the focus of the study. This ensures that the concepts, methods, practises and procedures are well defined. A good research design should have a special appeal as it refers to the plan and structure of investigation conceived to answer a research question. In this light, the researcher designed a macro research plan to identify the problem and design appropriate steps to solve this problem. Furthermore, the researcher established a micro research plan to outline the procedures to be followed for data collection at the respective research settings (Babbie and Mouton, 2007:116). This micro research plan is briefly outlined below.

The researcher followed a qualitative research design and a case study method to obtain data pertaining to the assessment of the policy-making process to establish the (policy) relationship between DSD and SASSA. According to Struwig and Stead (2001:25) a qualitative research design does not describe a single research method, but constitutes different research methods

and can be viewed as an interdisciplinary, multi-paradigmatic and multi-faceted method. Maree et al. (2007:51) also describe qualitative research as research concerned with understanding the social and the cultural contexts. The strength of qualitative research lies in its ability to provide complex textual descriptions of how people experience a given research issue. It provides information about the "human" side of an issue. Since the perceptions and opinions of participants from DSD and SASSA are significant for purposes of this research, the qualitative research design is particularly suitable for data collection.

5.2.2   Definition and overview of the case study design

According to Creswell (2007) in Schurink and Auriacombe (2010:437) a case study is an exploration or in-depth analysis of a "bounded system' which is bound by time and/or place, or it can be a multiple or single case over a period of time. They further argue that in qualitative research, case studies emphasise the detailed contextual analysis of a limited number of events or conditions and their relationship. Case studies are also used when investigators have little control over events and when the focus is on contemporary phenomena within a real-life context-especially when the boundaries between phenomenon and context are not clearly evident. Key characteristics as outlined by numerous authors such as Ivankova et.al (2007:257) and Schurink and Auriacombe (2010:436- 437)in qualitative studies use document, individual and focus groups observations physical artefacts, documents analysis, audiovisual materials. Sources that exist and were used I this study include statistical and archival records press bulletins Schurink and Auriacombe (2010:437).

 As argued by Yin (2003:85-96) and Simons (2009: 164-167) in Schurink and Auriacombe (2010:437) case studies could also be done without leaving the library and the telephone, unlike participant observation.

Fox and Bayat, (2007:69) argue that the case study method typically involves a number of units of analysis which should be representative of the particular population under investigation. The important advantage of a case study is that it enables the researcher to present the complexity and dimensions of a case, best applied to understanding social phenomena in relation to its wider context. For purposes of this research, the case study method is applied to investigate DSD and SASSA. The units of analysis embedded in these cases are the Gauteng managers of regional and district offices as well as local office

managers. The main objective of the research is to assess and determine the extent to which the current policy-making process, between DSD and SASSA, impacts on the implementation of social assistance in the Gauteng region.

5.2.3 Units of analysis and identification of participants

Bless et al. (2006:72), define a unit of analysis as a person, object or event to be studied from which data will be collected and conclusions drawn. SASSA head office in Pretoria oversees nine regional offices, including Gauteng. The units of analysis are the Gauteng regional unit, the five district managers and 18 Local offices managers. These offices are Ekurhuleni, Johannesburg, North Rand, Sedibeng and West Rand.

The five-district offices report to the SASSA Gauteng Regional Office and the 18 local offices, which have been identified as illustrated in Table 5. 1 below illustrate the service delivery points of SASSA in Gauteng, while comparing it with the five metropolitan demarcations of the province. The local offices also indicate SASSA's footprints within the province in ensuring promotion of accessibility of services within the reach of citizens and customers.

Table 5. 1. Gauteng district offices and their respective local offices for purposes of this research.

District name	Grant application services	
	Local offices	**Service Points**
Johannesburg	Johannesburg	6
	Lenasia/ Orange Farm	
	Midrand/ Diepsloot	
	Soweto-Chiwelo	
West Rand	Randfontein/Bekkersdaal	9
	Merafong/Fouchville	
	Krugersdorp/Kagiso	
	Roodeport/ Dobsonville	
Sedibeng	Sebokeng/Evaton	5

	Vereening/Meyerton/Heidelberg	
Ekhuruleni	Benoni/Daveyton	6
	Kathorus	
	Germiston/Tembisa/ Kempton Park	
	Springs/Duduza	
North Rand	Garankuwa/ Mabopane	12
	Mamelodi	
	Pretoria/Attridgeville	
	Soshanguve/ Temba	
Total	**18**	**38**

The next section outlines the data collection methods used in this study.

5.2.4   Data collection method

Brynard and Hanekom (2006:38) express the opinion that the most frequently used methods of data collection within the two basic research designs (qualitative and quantitative) are interviews, observations and questionnaires. As observed by Struwig and Stead (2010:98), there are numerous ways of collecting data and these will depend on the purpose objectives of the study. Qualitative research is naturalistic; it attempts to study the everyday life of different groups of people and communities in their natural setting; it is particularly useful to study educational settings and processes. "….qualitative research involves an interpretive, naturalistic approach to its subject matter; it attempts to make sense of, or to interpret, phenomena in terms of the meaning people bring to them (Jansen, 2007:51).

In qualitative research, as maintained by Creswell (2003) in Schurink and Auriacombe different knowledge claims, enquiry strategies, and data collection methods and analysis are employed. Yin (2003:85-96) and Simons (2009: 164-167) in Schurink and Auriacombe (2010:437-438) have described qualitative data sources as including observation and participant observation (fieldwork), interviews and questionnaires, documents and texts, and the researcher's impressions and reactions . Data is derived from direct observation of behaviours, from interviews, from written opinions, or from public documents. Written

descriptions of people, events, opinions, attitudes and environments, or combinations of these can also be sources of data.

The data collection instrument used in this study was the semi-structured interview. For this purpose, an interview questionnaire was designed by the researcher to collect information pertaining to policy-making processes and implementation in SASSA and DSD. Maree et al. (2007:87) reveal that a semi-structured interview usually requires that participants answer a set of predetermined questions. Struwig and Stead (2010:98) state that in a semi-structured interview, predetermined questions are posed to each participant in a systematic and consistent manner. To collect data, the researcher used a semi-structured questionnaire, which had a set of predetermined questions and open-ended questions. The latter allowed the researchers to further probe responses provided and clarify answers. The researcher developed relevant questions guided by the theoretical framework as reflected in chapter 2 on policy-making processes and implementation. The interview schedule was piloted (i.e. pre-tested) with three participants to confirm that the questions were clear and that participants fully understood the nature thereof. The pilot survey revealed certain limitations, such as the lengthy questions that tended to be time consuming, use of certain terminology that tended to be confusing for participants and some questions had to be adjusted accordingly.

To adhere to the guidelines for ethical research as per the North West University quirements, the researcher had to officially submit an application to the Office of the CEO of SASSA to obtain permission to conduct interviews. A copy of the interview schedule and copies of consent and declaration forms were also submitted for approval to the Director General for Department of Social Department. This application clarified the research problem, the purpose of the study, and the nature of the investigation. It also specified the target population (i.e. participants), sample size, management areas to be visited, and the potential value of the research to both SASSA and DSD.

After a letter of approval was obtained, appointments were made for interviews with selected participants. In cases where participants were unavailable for interviews, the schedule was e-mailed to participants requesting that they respond in writing to the questions. To adhere to the principles of ethics and professionalism in research, a thorough explanation of the need for participation was given to participants prior to the interview. Participants were given the assurance that their responses would treated confidentially and that the results would be used for research purposes only. In total, 28 of the selected 38 participants participated 73% in the

study. This response rate was fully adequate for purposes of obtaining valid and reliable data for the study (Jansen, 2007: 37).

The interview schedule (attached as Annexure A) contains open and close-ended questions per research category. Close-ended questions are those that can be answered by a simple "agree" or "not agree" response. While open-ended questions are those that require more thought and more than a simple response. Participants had to elaborate on all their responses to the questions. The questions were constructed in such a way that they probed the extent to which the participants knew or were familiar with the policy-making and policy implementation processes. Participants were also asked on the extent of adherence to the provisions of relevant legislation and regulations. The last aspect that is observed by the questions is an investigation of the present situation at the local offices in relation to implementation of the social assistance programme in the Gauteng region. In the next section challenges experienced during the study will be identified

5.3   RESEARCH CHALLENGES ENCOUNTERED DURING THE ADMINISTRATION OF THE INTERVIEWS

The challenges associated with the interviews, among others, included the following:

- Where the interview schedule was electronically mailed to the participants, some participants had difficulty interpreting some of the questions while others simply did not respond to the schedule. Consequently, time-consuming follow-ups had to be made.
- A further challenge encountered was the general unavailability of participants due to various government commitments. Senior managers from both DSD and SASSA were actively involved in numerous other projects. As the research period coincided with the preparations for the national elections, and a Constitutional Court litigation and appeal case against ALLPAY on the appointment of a new service provider for the implementation of the new payment system, these managers were often out of the office.

- Furthermore, growing pressure from both SASSA head office and regional offices to finalise all projects before the end of the financial year such as the re-registration of beneficiaries and the implementation of voice activation with the introduction of the new payment model.

- The day-to-day operations of district and local office managers made it almost impossible to meet them on an appointment basis for interviews. The interview schedule was, however, electronically mailed to them for their input at a time that suited them.

Despite this, the researcher was fortunate to achieve a 73.6% participation rate. The challenges encountered were adequately addressed and did not significantly affect the study. The following section outlines the responses obtained from participants.

5.4   DATA PRESENTATION AND ANALYSIS OF FINDINGS

Qualitative data analysis is usually based on an interpretive philosophy that is aimed at examining meaningful and symbolic content of qualitative data. It tries to establish how participants make meaning of a specific phenomenon by analysing their perceptions, attitudes, understanding, knowledge, values, feelings and experiences in an attempt to approximate their construction of the phenomenon (Nieuwenhuis, 2007:99).

The data is presented by making use of two sections, namely Section A, which presents the biographical detail of participants, and Section B, which presents the responses from Gauteng managers of regional and district offices and local office managers. The specific data analysis approach that was used is the content analysis systematic approach which identifies and summarises message content ((Nieuwenhuis, 2007:101).The information collected was also coded in various segments according to the response of participants.

5.4.1   Section A: Biographical information

The biographical data of participants from SASSA Gauteng and local office managers are reflected in table (5.2).It indicates the managerial level of participants for twenty-two participants in the SASSA regional and local offices.

Table 5.2   **Participant' management levels**

Designation/rank	SASSA Regional office	SASSA district and local level	TOTAL
Director/Senior manager (level 13)	2	4	**6**
Manager/Deputy Director (level 12)	4		**4**
Local office managers/ deputy managers (level 12)		18	**18**

Figure. 5.1
Management level
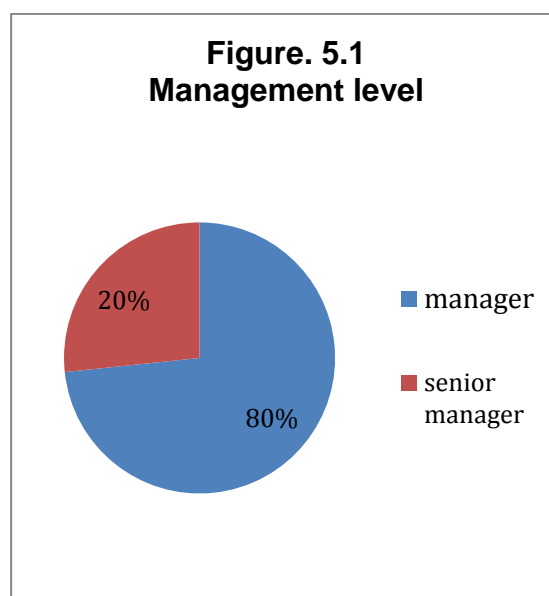
It can be deduced from table 5.2 that the participants command a vast amount of experience because 100 per cent of them are all at management echelon. Therefore, they are adequately familiar with the legislative framework and the mandates governing SASSA. Out of the 28 participants, 80 per cent were at middle management level, whilst 20% were at senior management level such as directors at the head office, and regional and district offices.

Table (5.3) reflects the years of experience in government. It should be noted that most of the participants were previously staff members transferred from DSD after the establishment of SASSA in 2006.

Table 5.3   **Number of years in the employment between DSD and SASSA**

	1- 5 years	**6-10 years**	**11-16 years**	**17-24 years**	**25 + years**
SASSA	1	2	5	12	10
Total	**1**	**2**	**5**	**12**	**10**

Figure.5.2
Years of experience in DSD and SASSA
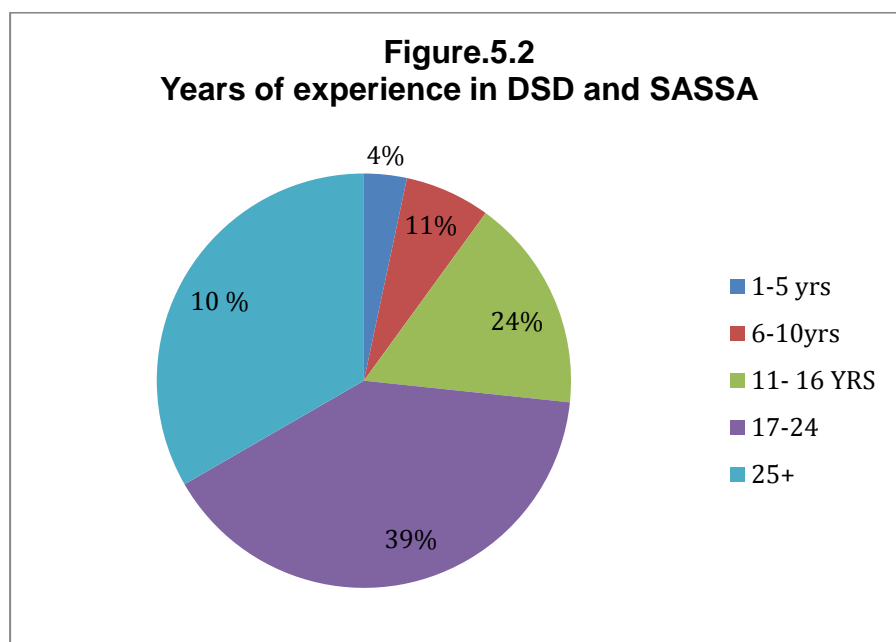
As indicated above, more than 10% of participants had more than 25 years of experience, while only 4% had less than 5 years in the public service. This reflects the relative vast experience in government operations and functions. From this, it can further be deduced that participants have substantial experience in the development and implementation of policy.

5.4.2   Section B: Questionnaire for Gauteng (Regional and District Office Managers): Analyses of responses

This section outlines the responses obtained from the respective questions. Deduction and abstractions based on the literature review are further made to interpret the responses.

Question1: **Do you agree that more often than not, changes on policy and regulations are because of pressure from the political mandate and/or interest groups counteracting as opposed to initiation by the Department after conducting policy analysis?**

Figure. 5.3
Policy initiation process
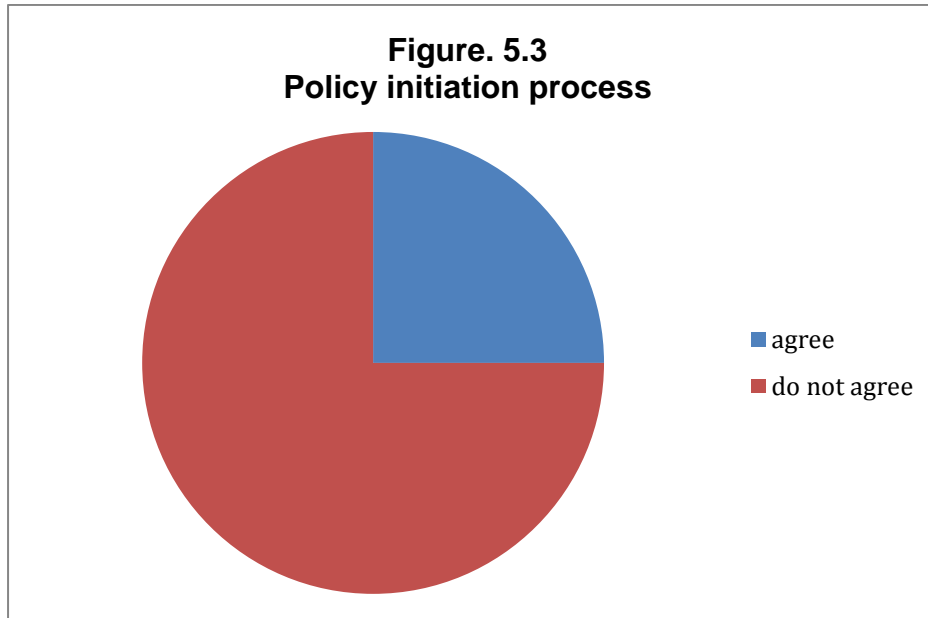
- agree
- do not agree

The question was meant to determine how participants involved in DSD policy-making understand the current policy initiation and agenda-setting processes. Only 1% agreed with the statement while the other 99% did not agree and maintained that DSD initiate policy. However, participants agreed that some interest groups exploit gaps in the process, which generally leads to litigation against the department. As maintained by Meyer and Cloete (2000:97) the policy process normally starts when one or more stakeholders, who feel that the actions of the government detrimentally affect them, identify a problem. They thus "trigger" changes in policy as was seen in the Mashaba case where the department had to reconsider and subsequently review legislation for temporary disability grants.

***Question 2*: Do you consider current policy processes to be reactionary in nature?**

**Figure 5.4
Nature of the current policy processes**
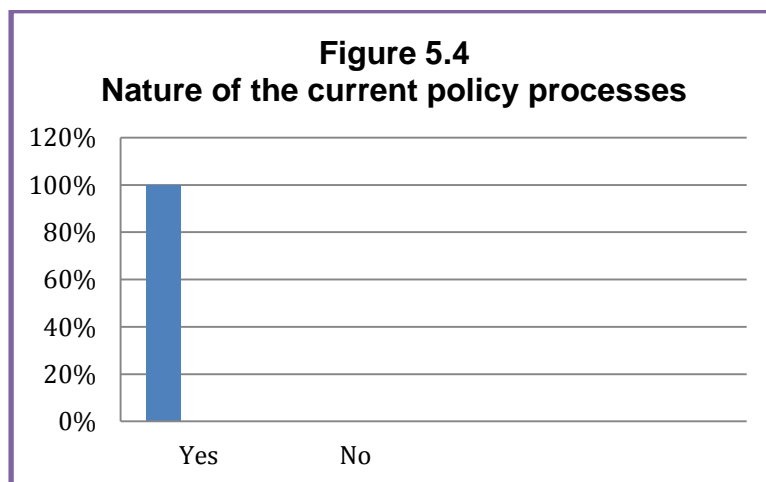
This question was aimed at determining how the participants view the nature of the current policy agenda-setting processes in relation to the process of priority planning and action (cf. Meyer and Cloete, 2000:98). All the participants agreed that the nature of current policy processes is reactionary to problems facing government. As deliberated by Hogwood and Gunn (1984:73-74) pro-active agenda-setting is necessary in any policy formulation process in government. Due to limited resources, governments determine which policy problems should receive priority.

***Question 3:* Is the agenda-setting process between DSD and SASSA done through extensive consultation and agreements on institutional arrangements?**

**Figure. 5.5
Consultation and institutional agreements
during agenda-setting**
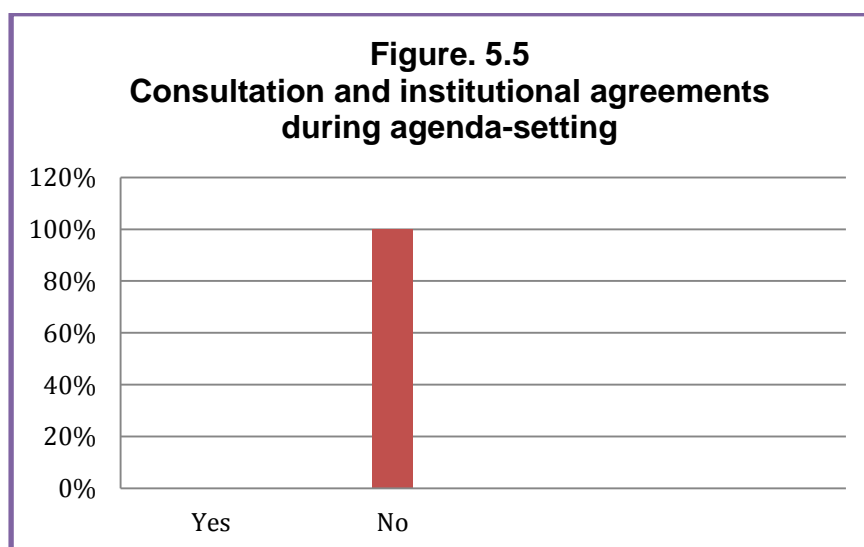
The question was aimed at establishing the extent to which consultation and agreements on institutional arrangements and policy planning between DSD and SASSA in policy agenda setting is done. It is maintained by participants that there is no extensive consultation between DSD and SASSA, before any agenda setting process to determine buy-in and participation from all the stakeholders. Findings are that 99% of the participants agree that this is done through some consultative structures with the NGO fraternity. Good governance and stakeholder participation are regarded as key aspects in policy formulation. The UNDP (1981:5) in Cloete and Meyer (2011:91) defines participation in the developmental activities as follows:

"*Popular participation entails the creation of opportunities that enables all members of a community and the larger society to actively contribute to and influence the development process and to share equitably in the fruits of development*"

Question 4: **Do you think that there is adequate prioritisation of objectives to consider options and cost effectiveness alternatives before policy changes are affected?**

Figure. 5.6
Prioritisation of objectives to consider options
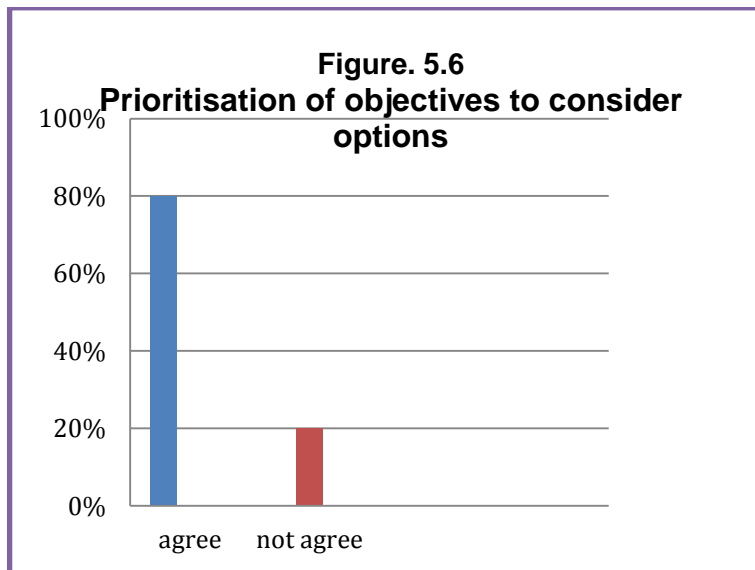
The above question was intended to determine how prioritisation and systematising of objectives is done in the department as one of the crucial aspects of policy analysis. Although 80% of the participants agree, most maintained that this is largely dependent on the nature of a policy. Participants maintain that sometimes, it is the extension of benefits-options and alternatives that are supported by financial implications.

As determined by De Coning (1994:260), policy analysis means thinking systematically about policy options and as such, it provides a framework for thinking about policy choices. Although it is argued by Roux (2000:122) that identifying goals and objectives is not always an easy and precise part of the process of policy design, the question aims to establish whether during policy analysis, the differences between the two are kept in mind during the design or formulation of future policy options. Roux (2000:122-123) further argues that no government policy is ever complete in terms of its outcome or effect on society. This is due to the continuous developmental and changing nature of the needs of the people or the beneficiaries of the policy. As identified in Chapter 2, the environment within which government functions is continuously influenced by socio-economic, technological and political value changes, which often necessitate a redesign of existing policies as was the case with the extension of the Child Support Grant from age 7 to 18 since its inception in 1998.

*Question 5***: Do you agree that any decision-making on any policy initiation or policy change should undergo an extensive consultative process to obtain buy-in?**

Figure. 5.7: Consultative processes to obtain buy-in
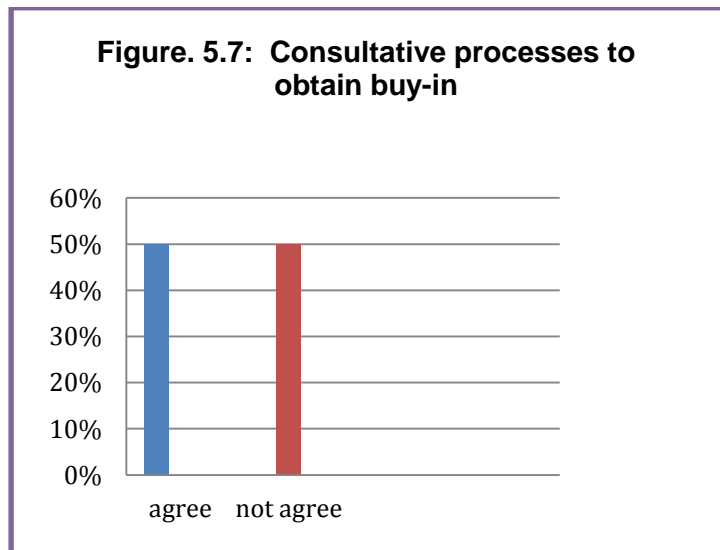
It is evident from figure 5.7, that 50% agree that any decision-making on policy initiation or policy change should be characterised by extensive consultative processes with other stakeholders. The other 50% do not agree that it is important to get buy-in and to embark on extensive consultative processes with other stakeholders. Their main contention is that policy intents are "in-house" decisions and that consultation is therefore not necessary. They further

maintain that the nature and extend of the change must dictate the extent of consultation. John (1998:27) argues that between the enactment of policy and its implementation, there should be numerous decision points between public and private decision-making bodies. These decision points increases the likelihood that the policy-maker's objectives are being carried out. A significant portion of the participants indicated that consultation is not a requirement, implying that the lack of appropriate consultation may lead to inadequate buy-in, poor commitment, and a general lack of joint ownership of final decisions.

It should be noted, as Anderson (1994. 232) argues, that hierarchy is of central importance in decision-making. It provides a means by which discrete decisions can be coordinated while allowing for conflicts among officials at lower levels in the agency to be resolved. It also means that those at upper levels have a greater voice in agency decisions because of their higher status and authority, even though lower-level officials may have more technical skills and operational information. Making the correct decisions through adequate consultative processes, as described by Brynard (2000:162-163), is significant and could enhance the quality of the public policy-making process. It also contributes towards efficiency and effectiveness.

Question 6: **What, according to you are the main reasons for failures in policy implementation?**

Figre. 5.8: Asessment of policy coherence and integrated service delivery (reasons for failures)
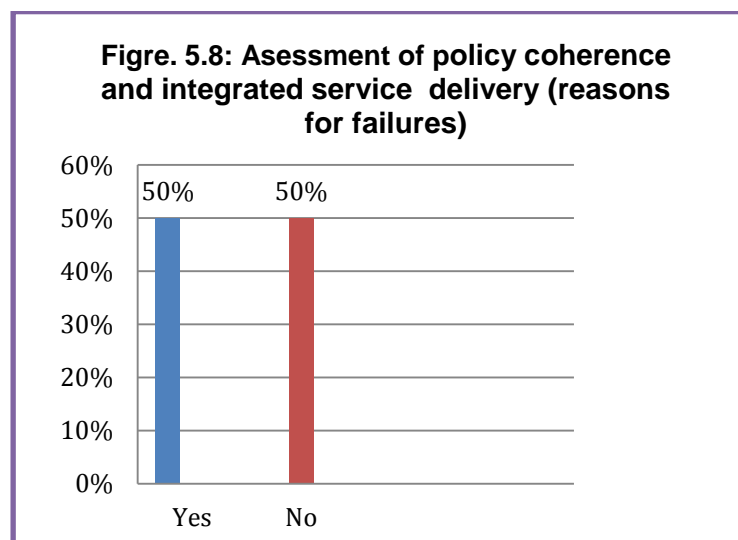
Participants identified fragmentation, a lack of systematic coordination and collaboration, as well as the synergy between DSD and SASSA as the main reasons for policy implementation

failures. There is consensus that policy formulation is not coordinated properly between DSD and SASSA, especially at head office level. Projects management processes are not followed in ensuring effective implementation. Projects are implemented just to comply with the legislative mandate. Furthermore, policy implementation is undertaken on a "trial and error" basis. Project managers as agents of policy implementation generally only implement what they can manage to do. Decisions taken are not communicated clearly and clarified through the region. A recent example of this situation is the re-registration of beneficiaries to the new payment model which saw decisions changing on a daily basis. Decisions taken without thinking through processes are frustrating for officials tasked with the implementation thereof. Often, lower managers simply use their own discretion to do what they think is best under the circumstances. From the responses obtained, it is evident that policy is mostly implemented without consideration of the adequacy of resources and infrastructure on the ground, leaving managers scrambling to do crisis management.

It is further evident that the department and the units within Grant Administration at head office should work closer together and move away from working in silos. Brynard (2007:56) observes that in an effort to address the challenges associated with the need for increased co-ordination and co-operation. South Africans have adopted a 'cluster' approach to improve policy co-ordination and the integration of service delivery. Significant challenges exist in establishing policy coherence in the South African context. Several sectors such as housing, transport, and public works have also witnessed a major review of policy frameworks. However much still needs to be done to attain alignment in a multi-sectoral and 'cluster' sense. Clusters in the South African government were established to facilitate a process whereby a number of departments (at national and provincial levels) with related functions, coordinate their planning endeavours. The clusters included social, economic and finance clusters and good governance and security clusters. These arrangements have been mirrored in the executive branch of government where technical committees have been established to ensure joint planning and integrated service delivery. However, it is evident that technical committees have largely not been able to achieve interdepartmental co-operation at a broad level, especially in high profile projects such as the presidential lead projects.

Question 7: **Does participation in policy development impact on policy implementation and ultimately affect service delivery at regional level?**

Figure. 5.9: Participation in policy development at regional level
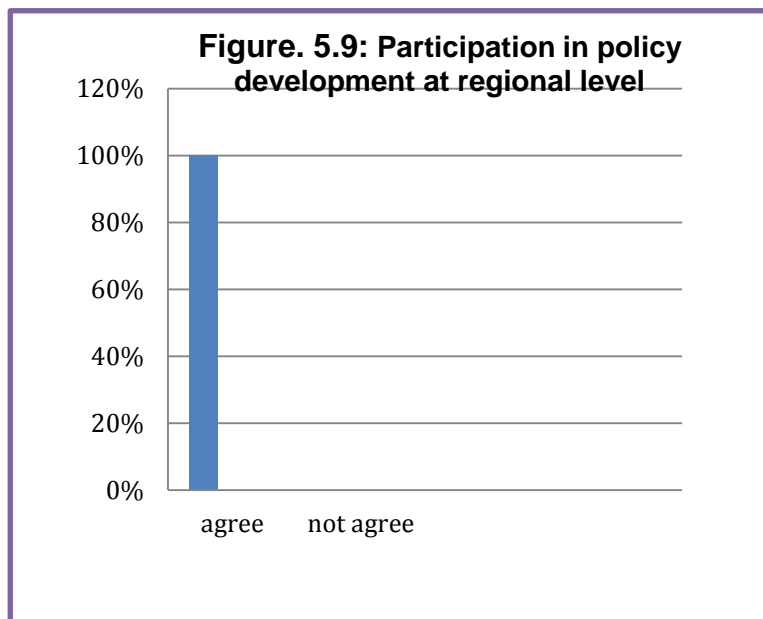
All of the participants agreed that the nature and level of participation in policy development impacts significantly on policy implementation. This ultimately affects service delivery at regional level. If buy-in is obtained from interest groups and all stakeholders at an early stage, it generally promotes acceptance of policy decisions. If these groups are not adequately consulted, it may lead to litigation. In such cases DSD must respond to such litigation first before proceeding with implementation, thus diverting energy, time, and resources away from actual service delivery. As argued by Giacchino and Kakabadse (2003:143-147)in Brynard (2007:56) while commitment is regarded as the core variable in policy implementation, it is directly dependent on the co-ordination of all people involved in the policy process.

Question 8: **Do you agree that there is little evidence of any policy analysis conducted in the design and initiation of new policies?**

Figure. 5.10: Evidence of policy analysis during the design and initiation of new policies

	agree	not agree
	~90%	~10%
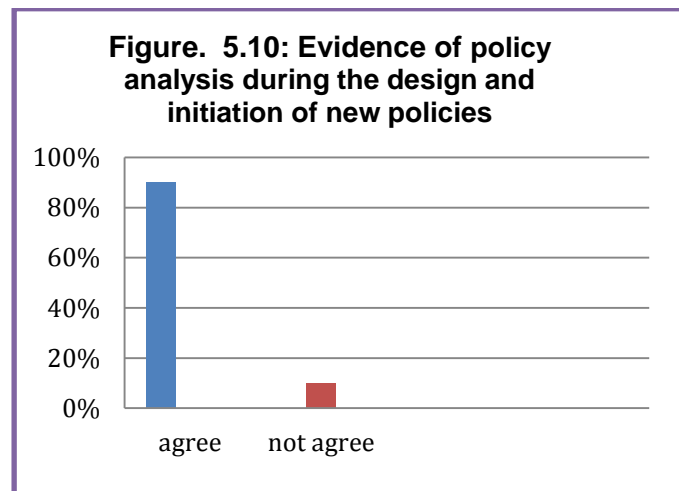
Figure 5.10 shows that 90% of the participants agree that there is little (or no) evidence of any policy analysis conducted in the design and initiation stages of new policy. Participants agree that the DSD Directorate of Policy Implementation should do policy evaluation. This Directorate is responsible to oversee compliance to norms and standards. This responsibility is executed in close co-operation with the Directorate for Monitoring & Evaluation. The other 10% of participants are of the opinion that there is some evidence of policy analysis, but that it is not efficient. They further concurred that the monitoring of policy outcomes is essential in generating information on the consequences (such as output, outcome and impact) of public policies. Policy analysis is an essential part of the monitoring and evaluation process for ascertaining whether a policy is effective or not. It should utilise a research approach, which looks at specific problems experienced by past policy processes and how to eliminate possible recurrences of undesirable consequences (Dunn, 1994:335).

Question 9: **Is enough attention given to policy reviews before policy initiation and design?**

Figure. 5.11: Policy Review
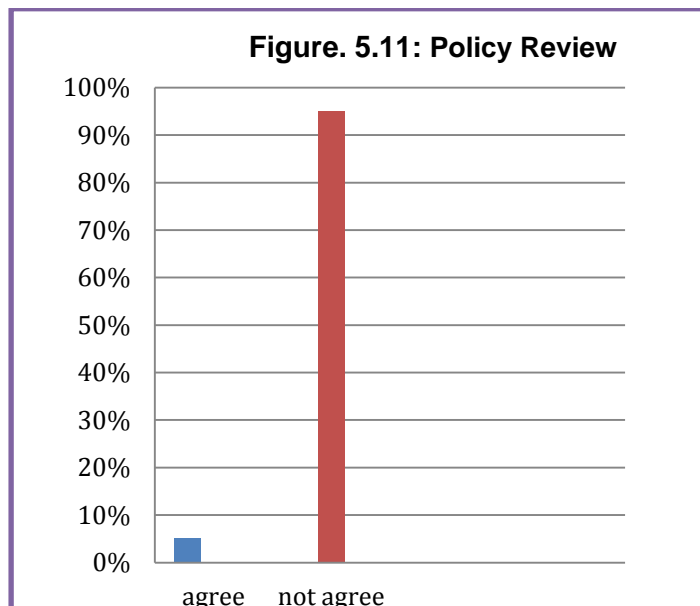
More than 95% of the participants confirm that there is no concerted effort in seeking input from policy implementers. Policy reviews are thus absent and the institution thus loses a valuable opportunity for inputs. Managers in charge of operations at regional level are ill-informed and are often not involved in the policy initiation and design phases.

An interesting point raised by some participants in follow-up questions is that there are some policies in the agency, which are working well to operationalise its mandate. According to participants, such policies should be kept and the institution should discard policies that are a hindrance to the agency's functioning. Regular policy reviews are an ideal tool to identify ineffective policies.

Question 10: **Were all the administrative issues, operational procedures and resources required taken into consideration and was there an analysis of available resources to successfully implement policy changes?**

Figure. 5.12 Administrative issues, operational procedures and resources needed

A bar chart titled "Figure. 5.12 Administrative issues, operational procedures and resources needed" showing two bars: "agree" at 1% and "not agree" at 99%. The vertical axis ranges from 0% to 120% in 20% increments.
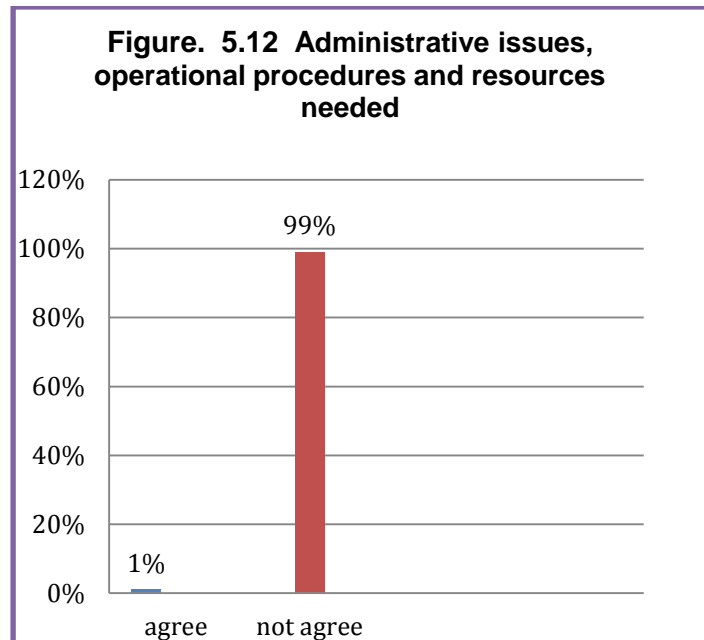
Only 1% of the 28 participants agreed that some consideration was given to organisational readiness (such as administrative capacity, operational procedures and resources) to implement policy changes. The majority, however, felt that due consideration was not given, especially to staffing (such as human resource capacity), which has proven to be a challenge at local offices. An example cited in this regard was the introduction of the 4-step model in the institution. It is evident that not enough level-8 staff was available to support the verification and supervisory functions associated with the implementation of the model. Furthermore, according to some participants, local offices currently do not have adequate administrative support staff, resulting in increasing service backlogs in some areas. Some participants also expressed their dissatisfaction with the fact that supervisors are expected to do verification of applications in addition to their supervision responsibilities. This significantly compromises the quality of work and not enough attention is given to the supervision of staff.

A further point raised by some participants is that any policy changes should consider the budgetary implications. In addition, cognisance should be taken of the availability of institutional capacity, in terms of human capital and the adequacy of organisational infrastructure, prior to the implementation of policy changes.

The analysis of responses indicates that resources required to implement policy are not prioritised. Senior management normally commits the institution to certain policy changes without an adequate institutional analysis that takes into account resource availability and staff capacity.

Question 11: **Do you agree that some changes and conditions on policy regulations have led to unintended consequences?**

Figure. 5.13: Changes and conditionality on regulations lead to unintended consequences
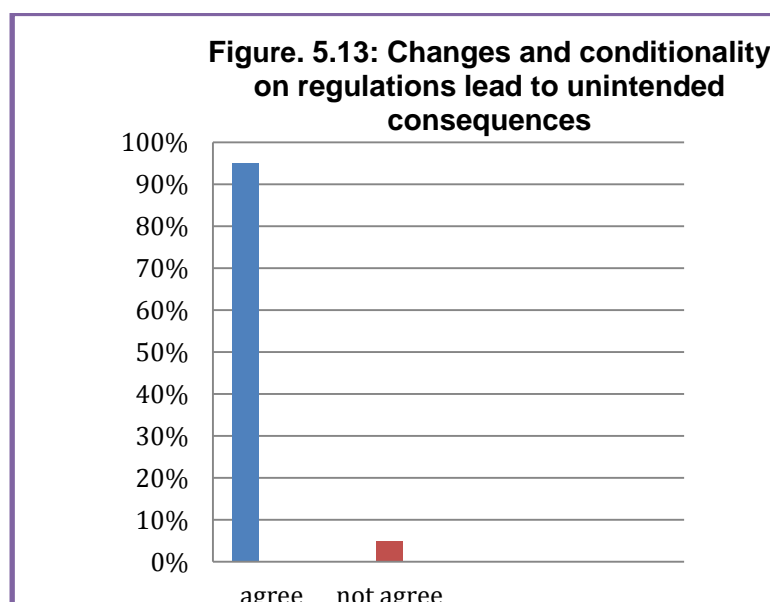
Figure 5.13 illustrates that 95% agree that there are unintended consequences and specifically, pointed to the flaws associated with the implementation of Regulation 11.1. It is suggested that foreign nationals took advantage of the loopholes and drew undeserved money from SASSA for as long as the grant remained active. There is an opinion that provision should have been made only for people who are South African citizens. Another example cited by some participants was the implementation of Regulation 24 (a), and Section 6 of the SASSA Act, which requires that a child who receives a child support grant must be attending school and that there must be a social worker's report. This requirement is not adhered to. All potential consequences of policy changes should be factored into the design and implementation (such as planning and operationalisation) phases of the policy.

Question 12: **Does SASSA have strong and visionary leadership to guide the implementation process of SASSA?**

Figure. 5.14: Whether SASSA has strong and visionary leadership
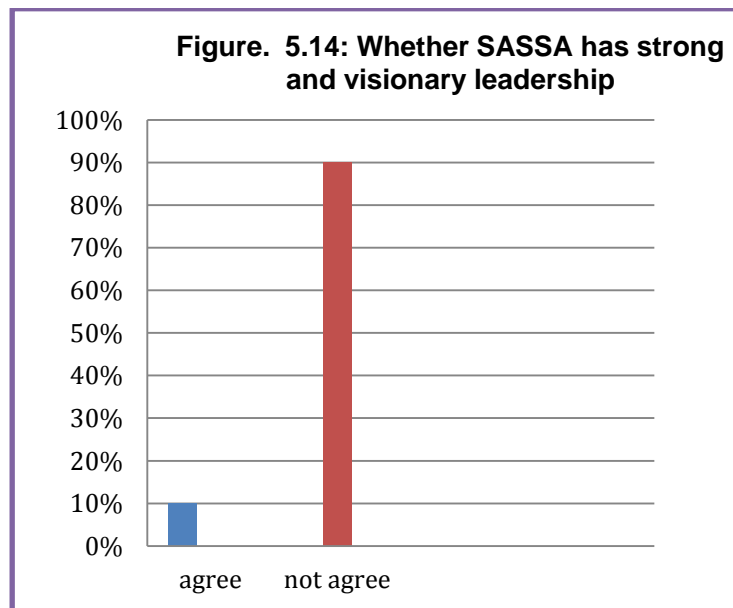
Only 10% of participants agree that SASSA has a strong and visionary leadership committed to service delivery in all areas. The feeling is that existing leadership is restricted and limited in their ability to feed such vision to the policy-makers. Although there are leaders in the institution, the environment is not conducive for visionary leaders to be creative. A further factor is that there is evidence of instances where officials actively undermine the directives of leaders. Some participants attribute this situation to officials lacking confidence in some leaders. This in turn, leads to a lack of teamwork.

Based on the theoretical orientation in Chapters 2 and 3, it is evident that strategic and visionary leadership is required to steer an organisation into a desirable direction. There is, however, evidence based on the input provided by some participants, that the agency is in need of visionary and inspiring leadership. Leaders should involve all stakeholders and consult widely when making strategic decisions. Leadership practices, including the communications, goals, attitudes, and beliefs of administrators, are managerial roles and actions that may affect policy design and implementation (Ewalt and Jennings, Jr, (2004:451).

Participants highlighted specific challenges associated with leadership as including a lack of academic qualifications and leadership qualities to make an impact on the part of some of the senior managers. Furthermore, some managers do not implement policies by following the correct procedures due to ignorance and not taking their job seriously. In addition, the agency is confronted by many projects and changes to existing projects simultaneously, which confuses officials. Limited leadership and supervisory guidance exacerbates the situation, particularly at head office level. Managers often interfere in regional operations and are unable to delegate their responsibilities. Also cited is the relationship between regional and head office senior management and managers of the office of the Chief Executive Officer. Most issues are done under instruction and there is limited contextual information available on why some instructions are issued. There is a general feeling that regional staff is not afforded with the opportunity to provide input or to comment on some of the instructions.

Question 13: **Do you think that SASSA has recruited the right people with the right skills to achieve its mandate?**

Figure. 5.15: Does SASSA has the right people with the right skills?
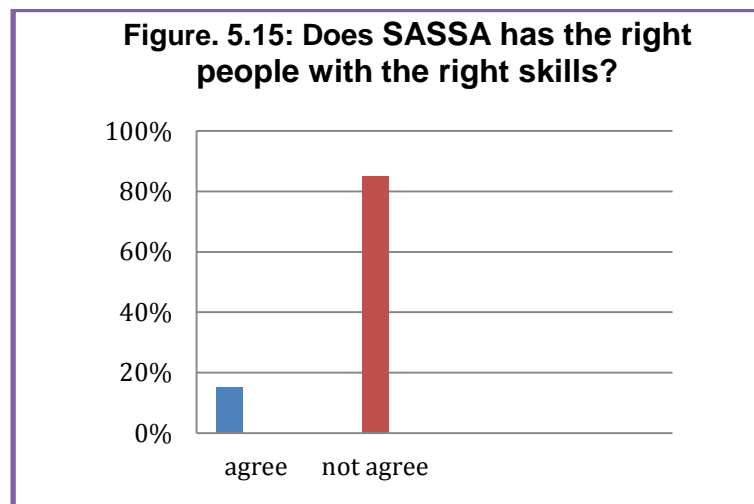
Only 15% agree that SASSA has recruited the right people with the right skills to operationalise its mandate. The other 85% do not agree, stating that the level of skills is inadequate and that there is no synergy between departments to understand each other's needs. Recruitment strategies should be reviewed in order to be able to attract and appoint the right people in management.

From the responses to follow-up questions, it is evident that there is a general sense that leadership does not know how to effectively utilise the skills of current staff members or simply ignore such skills. There is consensus that the current capacity of staff is adequate to make a difference in the achievement of SASSA's mandate, but due to the lack of leadership and clear direction, this does not materialise. This challenge is further exacerbated by the fact that staff members do not feel valued and are not given the necessary recognition. The current environment is also seen as not conducive to staff development. There is currently a shortage of staff with relevant skills in the front line (such as local offices) where almost 80% of staff only have Matric. These staff members do not receive adequate support to upgrade their skills towards developing themselves. Substantial research by numerous authors has demonstrated that the value of training in successful policy implementation cannot be underestimated. According to Brynard (2009:563), tranining is often neglected in developing countries and has a deleterious effect on development in general and on the success of policy implementation in particular.

Question 14: **Do you agree that the process of policy-making, from introduction to implementation, should follow a phased process?**

Figure. 5.16: Phased approach to policy-making
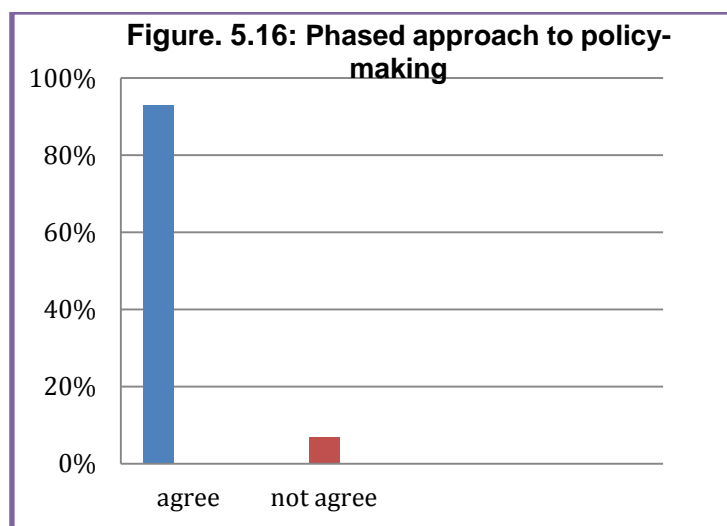
The majority of participants (93%) are of the opinion that a phased approach will close the gap between the policy-makers and the policy-implementers. A phased approach could provide the opportunity for all stakeholders to commit to the implementation of any policy. It could also create opportunities to rectify any part of the policy that might have adverse effects. An example cited was the 4-Step Model adopted by the Agency, which was not fully piloted

and properly budgeted, resulting in efficient implementation where other offices did not have enough required resources such as computers, printers, as well as challenges with the implementation of the workflow due to the building structures and space.

Question 15: **Does the Department and SASSA adequately and consistently formulate a detailed communication strategy in conjunction with all affected partners and stakeholders, upon the introduction of a new policy?**

Figure. 5.17: Formulation of a detailed communication strategy and/or plan
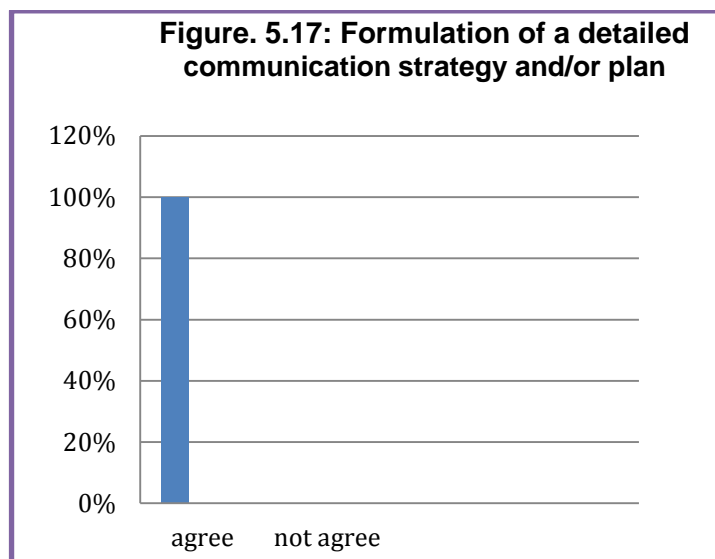
A positive element on policy implementation is that all participants agree that the Department and SASSA adequately and consistently formulate a detailed communication strategy and communication implementation plan in conjunction with all affected partners and stakeholders, upon the introduction of a new policy. However, some participants expressed that their opinions on the communication plans are not consistently implemented or well maintained. Some managers as implementers do not regularly have access to the communication plan. This is a further indication that DSD and SASSA work in silos and that there is limited mutual working relationships.

Question 16: **To what extend does participation in policy development impact on policy implementation and ultimately affect service delivery at regional level?**

Figure. 5.18: Impact of participation in policy development and on policy implementation
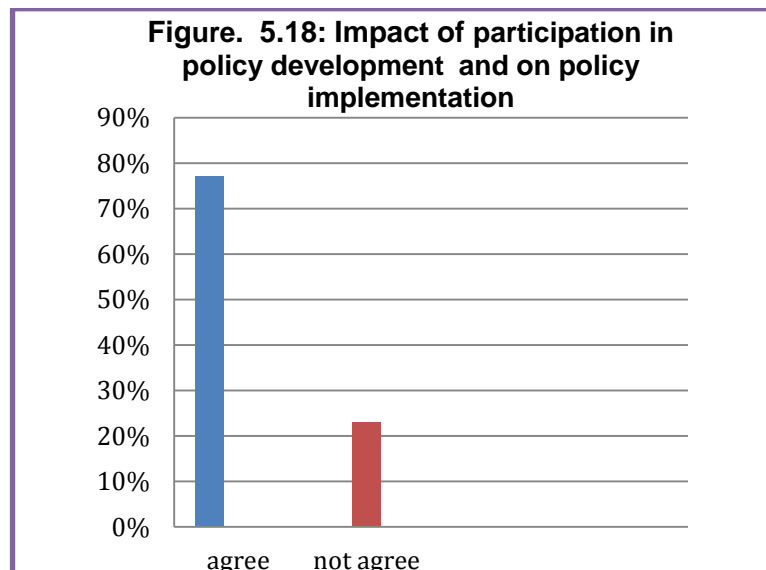
The majority of participants (77%) confirmed that participation in policy development significantly affects policy implementation and ultimately affects service delivery at regional level. Buy-in obtained from stakeholders and role-players at an early stage promotes acceptance by public beneficiaries. The lack of participation often leads to litigation and ultimately, negatively impacts on service delivery since resources and time are diverted away from institutional projects. Ingram and Schneider (2006:174) maintain that a robust democracy requires open public forums, in which citizens can and should be asked to confront policy problems that affect them directly. In such forums, people are encouraged to face policy problems not solely as clients or interest groups, but rather as citizens who can incorporate the views of others in their own "civic discovery" of what constitutes the collective welfare.

Question 17: **Does SASSA have an effective performance management system for staff?**

Figure. 5.19: Performance management system for staff
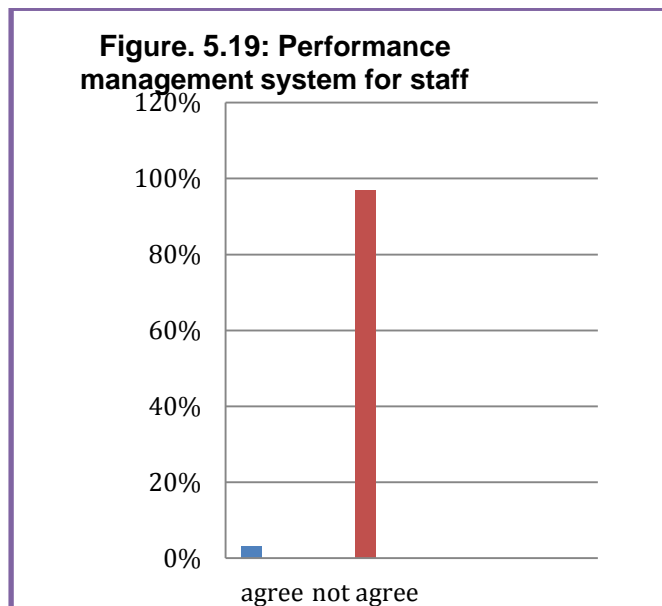
Only 3% agreed that SASSA does have an effective performance management system in place for the appraisal of staff. The other 97% of participants felt that the system is not effective. For example, some officials are hardworking, but due to the fact that they cannot write good reports (such as critical incidents of their performance), they are not rewarded. Performance assessments thus largely depend on how well one can formulate and write a performance report and not necessarily on actual performance.

From the theoretical orientation in Chapter 3, it is evident that performance management is a critical process for achieving organisational performance, but in the agency. According to some participants, "managers and staff see it as a complicated process that is only used for personal gain in getting bonuses for managers, as lower level staff members seldom get such". It is not linked or aligned to any personal development and building one's capacity and skills.

Question 18: **Is enough attention given to monitoring and evaluating relating to current policies of the Department and SASSA?**

Fig. 5.20: Adequate attention given to Monitoring & Evaluation
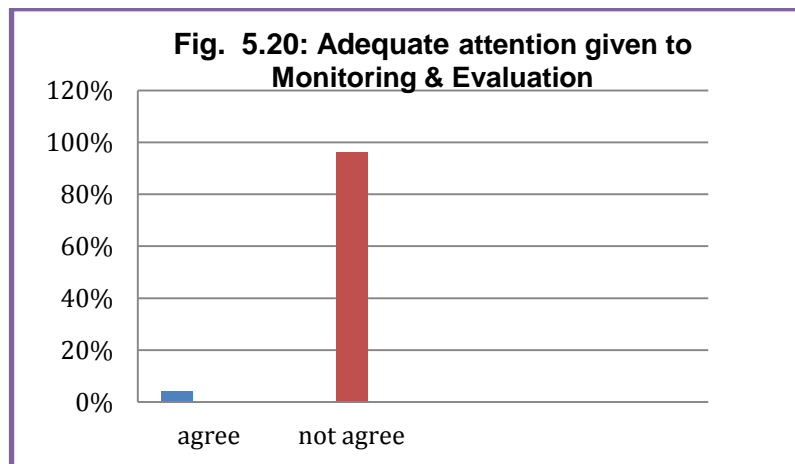
Only 4% of participants are of the opinion that there is some monitoring and evaluation undertaken, but only as far as operational policies are concerned. The majority (96%) concurred that monitoring and evaluation does not receive the attention it deserves to assess existing policies. Although some monitoring is conducted, changes and amendments emanating from it take considerable time to be effected. As highlighted by Cloete (2000), monitoring and evaluation at policy implementation is crucial in order to keep track of the period, the spending programme, progress, and the quality and quantity of outputs. Such monitoring and evaluation should be conducted through project management techniques focusing on effectiveness, efficiency and levels of public participation in the implementation process (Cloete, 2000:215-216).

Some participants indicated that SASSA undertook some monitoring and evaluation exercises, but this was limited to the Gauteng region. Other specific challenges identified include the following:

- A lack of proper planning for monitoring and evaluation activities;
- No coordination with regions for policy monitoring and evaluation;
- Lack of specialised training in monitoring and evaluation related activities;
- The absence of monitoring and evaluation units or dedicated staff within every local office; and
- Limited capacity to regularly conduct monitoring and evaluation of policy implementation on a continuous and planned basis.

Public managers, as emphasised by Du Toit et al. (1998:225), should play a pivotal role in constantly evaluating existing policies for efficiency and effectiveness. They further argue that due to ever changing circumstances, feedback must be given on a regular basis to policy-makers. This is so that they can implement corrective action, and determine whether a specific policy is socially acceptable and legitimate. Wissink (2000:268) affirms that there is a need for a basic set of common policy skills and knowledge. According to Van der Waldt (2007:115), it is important that when projects and programmes are designed for policy implementation, that a framework is designed to track progress and performance. In this regard, some participants identified the absence of an adequate management information system (i.e. status statistics) as a key challenge to carrying out monitoring and evaluation activities.

The next section reports on the responses obtained from the Local Office Managers. The separate interview schedule designed for this target population enabled the researcher to cross-correlate responses and to conduct a comparative analysis to contrast and compare responses.

5.4.3   Local Office Managers' responses

Question 1: **Are you of the opinion that all policy changes are supported by clear standard operational procedures (SOP), norms, and standards for implementation?**

Figure. 5.21: Agree that new policies come with SOP
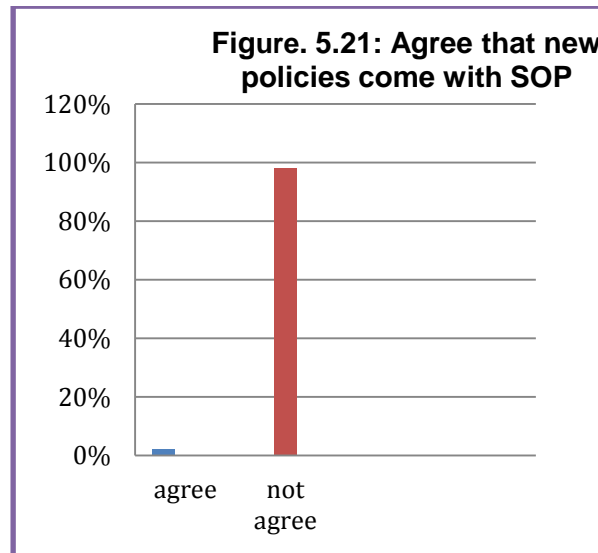
Only 2% of Local Managers are of the opinion that all new policy changes are supported by clear guidelines for implementation. The vast majority (98%) of participants are of the opinion that new policies and regulations are not adequately supported. In cases where some support documentation does exist, it is not communicated to all relevant stakeholders. The fact that Local Managers experience that instructions are merely issued without the necessary support documentation (such as implementation guidelines), is a significant issue to consider for purposes of this study. The policy formulation-implementation value chain is severely compromised and managers' report that this situation often leads to implementation problems and different interpretations and applications in the respective regional offices. Participants also reflected that policy changes are often affected merely due to statutory and political "compliance pressures" without due consideration for practical and operational challenges associated with the implementation thereof. An example cited was the recent amendments to the Children's Act of 2005. This Act makes provision for a foster child grant to be administered up until the age of 21 years. This stipulation is contrary to the regulations issued in terms of the Social Assistance Act. This has, in many occasions, led to different interpretation and application of the respective policies not only between the regional offices, but also between the regional offices and the Department's head office. This further

compromises progress reporting, monitoring and evaluation, the integrity of management information and statistics. Some participants further pointed to the fact that if procedure guidelines are ever issued, they are often way too late, resulting in fragmented implementation.

As emphasised by Brynard (2002:178) important key factors to take into cognisance during the policy implementation phase are:

- The development of procedures and manuals for all public officials who are responsible for implementation, and
- Clear standards and procedures and effective implementation must be linked to the performance management systems of the institution to reward public officials.

It is evident that these key success factors are currently not adhered to. All new instructions, regulations and policies should be accompanied by clear standard operating procedures and operational guidelines communicated to all relevant stakeholders. Incorrect interpretation may lead to a deviation from the original policy intent of policy-makers.

Question 2: **Does implementation of all policy changes provide adequate opportunity for all stakeholders to orientate themselves to these changes?**

Figure. 5.22: Opportunity for stakeholders to orientate themselves with policy changes
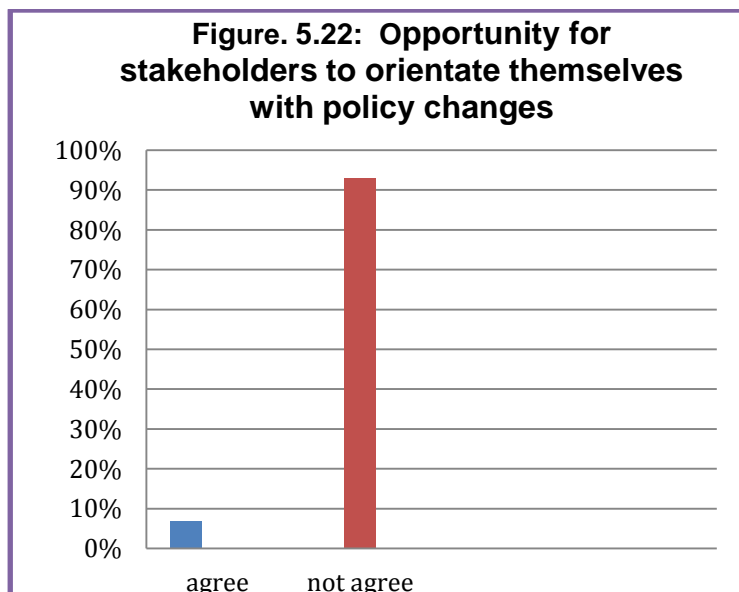
Only 7% of the participants were in agreement with the statement. The other 93% did not agree as they argued that local office managers are on numerous occasions, not involved when policies are developed, but only participate at the implementation phase. Stakeholder participation is regarded as important in the process of effective policy implementation. Participation, as outlined by Van der Waldt and Knipe (1998:143), is crucial as an active process in which the clients or those who will benefit influence the direction and implementation of a policy.

The participants are generally of the opinion that the policy consultative processes do not filter down to the general staff and all stakeholders. Policy changes are mostly done in isolation and the implementers are not included in these decision-making endeavours. This tends to frustrate frontline staff as they feel negative towards proposed changes and amendments. Not sufficient time is allocated for readiness and understanding of the various requirements to consider the potential impact it will have on the current processes. Stakeholders are seldom provided with adequate opportunity to orientate themselves with changes and to provide feedback to DSD before full implementation.

Question 3: **Does SASSA formulate a detailed communication strategy in consultation with all the stakeholders and implementers in the implementation of policy changes?**

Figure. 5.23: Formulation of a detailed communication strategy or plan
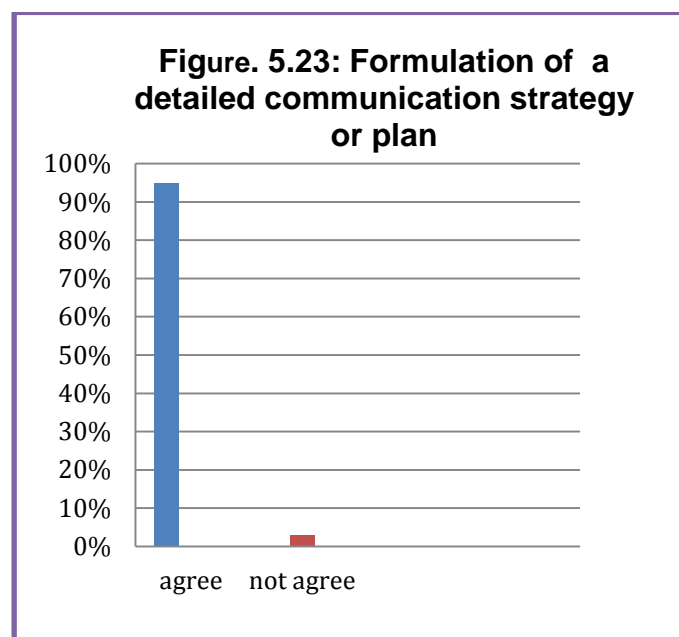
Figure 5.23 shows that 95% of the local managers agreed that a detailed communication strategy is often absent and in cases where such a strategy is indeed designed, it unfortunately comes too late to add any significant value. Communication should precede implementation to ensure the smooth transition from the old situation to the new. Participants further elaborated by stating that communication on legislative and policy changes is very limited, and that managers often obtain information regarding policy changes from the media, radio, newspaper and television. This information does not provide detailed information on the SOP of the policy to be introduced, in addition it does not provide enough opportunity for active dialogue and interaction with communities and the civil society.

Question 4: **In your opinion, should stakeholders participate in the development of a communication plan?**

Figure. 5.24: Stakeholders participation in the development of communication plan
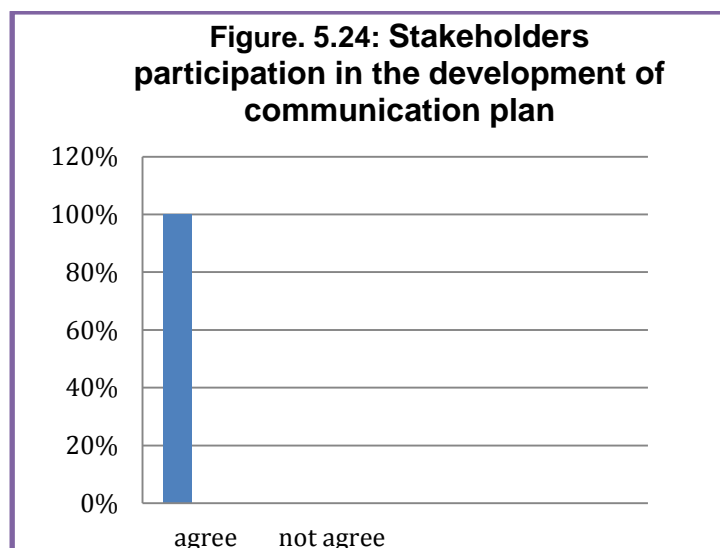
All of the participants agree that all internal and external stakeholders should be invited to partake in the design of a comprehensive communication strategy. There is a strong view that the community, as main beneficiaries, should actively become involved throughout the policy process. They should also be involved in all planning and implementation processes on different government spheres, as elucidated previously. However, there is currently limited community participation and consultation and as a result the communication strategy is not fully inclusive.

Question 5: **Do you agree or disagree that policy design is a top-down approach rather than a being a bottoms-up approach?**

Figure. 5.25: Policy design process
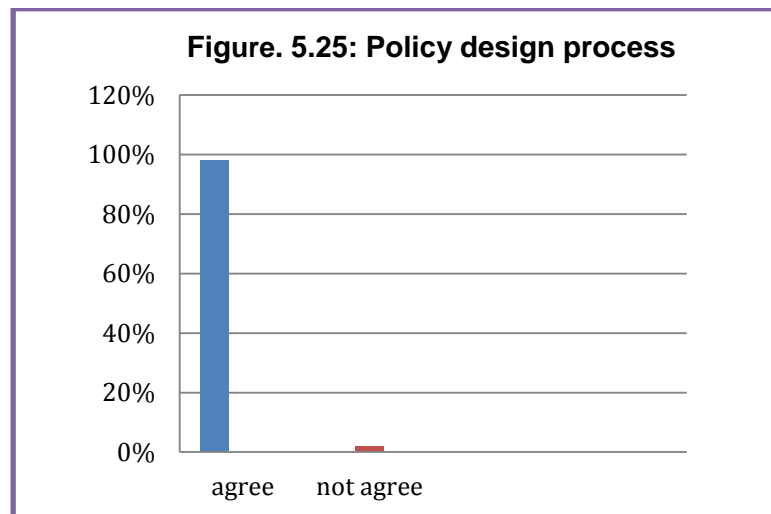
Figure 5.25 shows that 98% of the participants indicate that SASSA policies are politically driven hence, lack the consultation of implementers at policy design and formulation. It is therefore a strong top-down process. Due to this, the participants confirmed that adequate situational analyses of local conditions are not made. Head office implements many projects simultaneously without considering resource requirements. There is thus not a bottoms-up approach to obtain a holistic perspective regarding the situation in the respective regional offices responsible for implementation.

The theoretical orientation in Chapter 2 cited various studies where numerous gaps and reasons for failure of policy implementation were identified due to insufficient consultation and a lack of transparency. Examples of this included findings of the Presidential Review Commission (1998) and the Human Science Research Council (1999). Cloete (1998) and Mokhaba (2005) maintain that because policies affect a whole spectrum of the communities, all people from different occupations should be involved and consulted to contribute to policy formulation. In addition, Brynard (2007:362; 2009:565) confirms that where policies are centrally developed without consultation with officials responsible for implementation such can cause failure to "capture initiatives at grassroots level". Consequently, the policy appears "alien" to the implementers of the policy, and result in resistance in implementation of such. The gap between policy-makers and practitioners can further create a lack of harmony among the different aspects and elements of the same policy.

Question 6: **Do you agree or disagree that SASSA policy implementation is adequately supported by institutional structures at all levels within the institution?**

Figure. 5.26: Institutional support structures
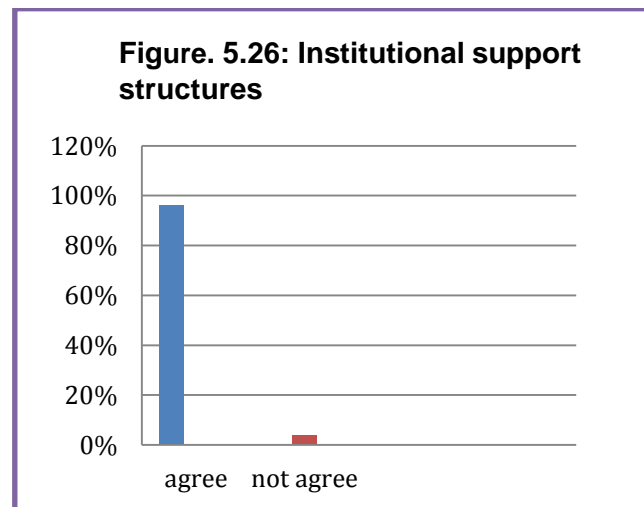
In figure 5.26 96% of the participants fully agree that realisation of institutional structure at all other levels of the organisation is important. This is to ensure effective and sustained implementation at the operational level and to ensure effective oversight management and outcome attainment. The institutional/ state capacity defined as "the ability to undertake and promote collective actions efficiently" is broader than administrative or technical capacities of civil servants. It entails institutional mechanisms that give the politicians and civil servants the flexibility, rules and restraints to enable them to act in the collective interest. Political state capacity refers to effectiveness of state institutions in terms of governance structures, while technical and implementation state capacity refers to administrative capacity (World Development Report, 1997:6; Gumede, 2008:7).

The other 4% maintain that it is not the case in SASSA. They argue that sometimes, policy implementation is influenced by other decisions outside SASSA such as the Auditor General, the courts and government. Most times, the available resources are utilised to implement policy and in many instances, the policy implementation processes and procedures overstretch the structure beyond its limit. This often results in make-shift structures becoming an option.

The institutional context is normally shaped by the social, economic, political and legal realities of the system. The principal concern is how this impacts on the implementation

process, firstly, in the institutional corridor through which implementation must pass and secondly, the support of clients and coalitions (Brynard, 2005:659).

Question 7: **Do staff at your local office adhere and comply with the prescribed procedures and guidelines in the grants applications processes?**

Figure. 5.27: Compliance to the prescribed procedures and guidelines
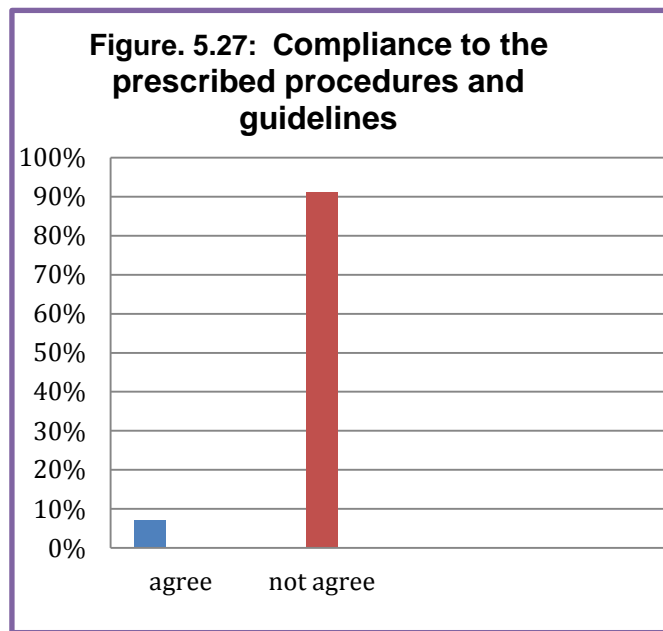
The majority of participants indicated that staff do not adhere to the prescribed procedures and guidelines in the grants applications processes. In follow-up questions, participants reflected that the significant demand for services makes the working environment extremely difficult. Furthermore, staff members simply do not have the ability to fully comply with all procedures and guidelines. Too many projects are executed simultaneously and this, coupled with the lack of commitment, compliance defiance and low levels of accountability by staff, further exacerbates the situation. As indicated in previous responses, changes in policies and procedures are not properly guided at all times, while the potential impact of such changes is not well thought through. Further aspects mentioned by participants include:

- Incorrect interpretation of procedures;
- High influx of clients;
- Procedures that are not established;
- Limited internal control measures; and
- Inaccurate and incomplete performance reporting.

Question 8: **In your opinion, are there adequate internal control measures in place in the application process to ensure compliance?**

Figure. 5.28: Internal control measures in the application process
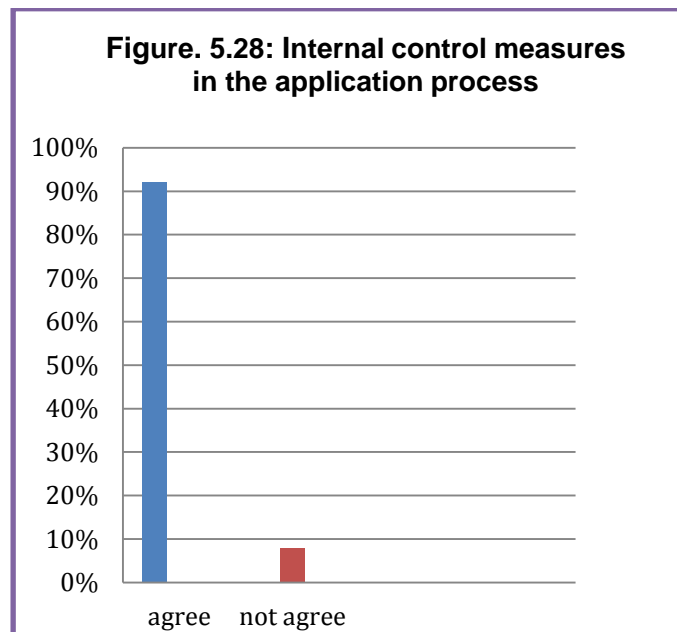
A positive aspect on policy alignment is that the majority of participants that constitute 92% agree that there are adequate internal control measures in place in the application process to ensure compliance and prevent deviations. SASSA is currently implementing a four-step model, which includes quality assurance and quality control. SASSA furthermore has an effective electronic system that makes it possible for managers to track and trace the transactions performed by junior staff. Each employee signs a performance agreement that is aligned to policy and procedures.

The other 8%, however, does not agree with this statement as they argue that due to too many changes and too little time allocated for putting control measures in place, internal control is compromised. Furthermore, these participants indicated that the shortage of team leaders at local offices to regularly conduct compliance checks on grant administration activities negatively affects internal control.

Question 9: **Are standard operational procedures (SOP), norms, and standards made clear to all staff before implementation?**

Figure. 5.29: Are SOPs as well as norms and standards clear?
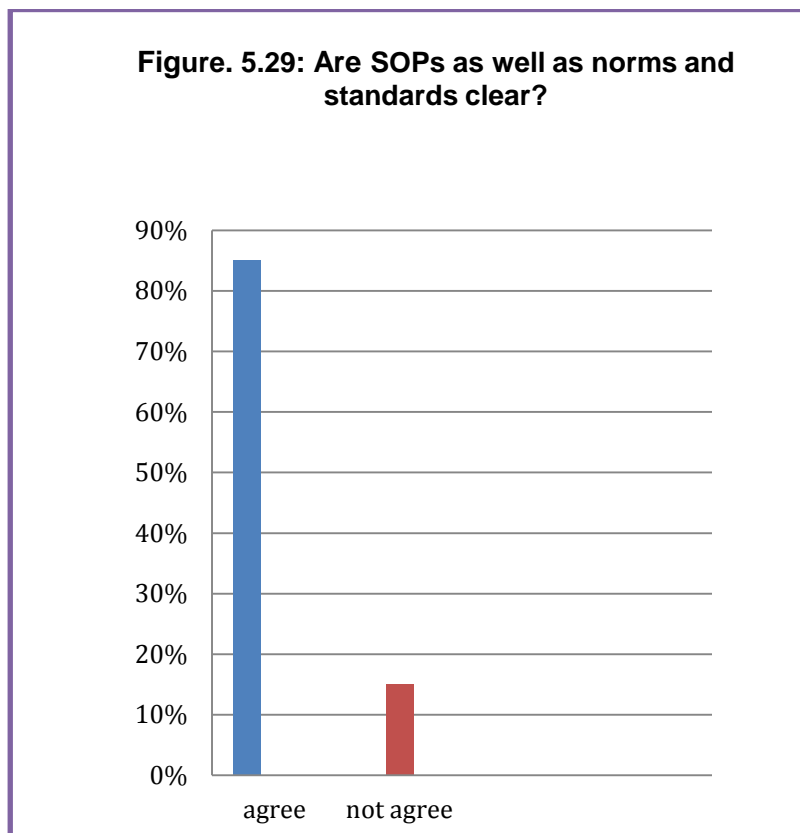
Figure 5.29 illustrates that 85% of participants agreed that SOPs, norms and standards are adequately made clear and communicated to staff before implementation. This is mainly done by means of in-house training sessions. However, consistent monitoring and continuous reinforcement of understanding were identified as lacking at the operational level due to inadequate supervision. Various scholars such as Hanekom (1987:14), Cloete and Wissink (2002:191-193), Van der Waldt (2002:96-97) and Brynard (2007:362) argue that the lack of commitment from middle management and operational staff in the implementation of policy may result in the absence of standardised operating procedures. The other 15 % do not agree and maintain that constant and regular training or awareness should be made to ensure compliance and adherence. Communication at lower operational levels is sometimes a challenge.

Question 10: **Are SOPs adequately aligned with staff's performance management contracts**?

Figure. 5.: 30 Alignment of the SOP to staff's performance contracts
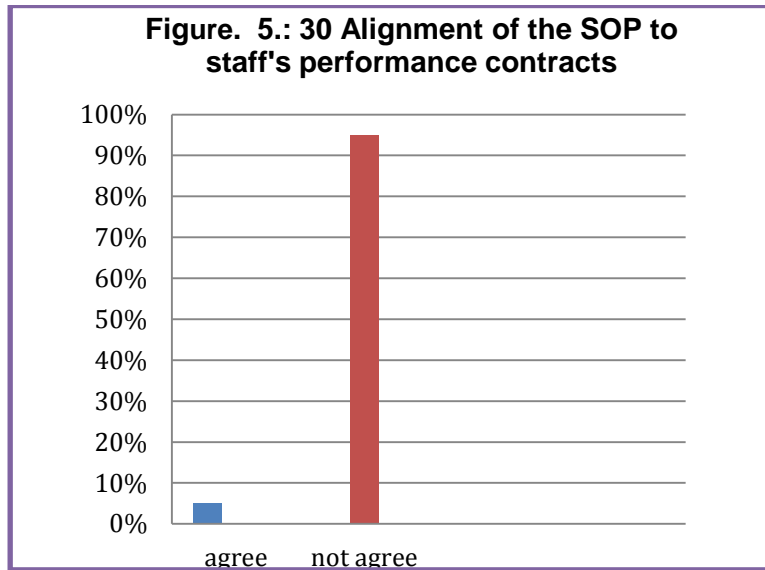
The majority of participants that constitutes 95% did not agree that SOPs are adequately aligned with staff performance contracts for realistic assessment. As stated by Van der Waldt et al. (2002:185), the implementation of policy is the responsibility of public officials within government institutions and that the performance of these officials are directly linked to the successes and failures of policy implementation. It is therefore crucial that there is alignment between performance contracts of officials and SOPs for policy implementation.

Question 11: **Are readiness assessments conducted to determine resource availability and institutional capacity?**

Figure. 5.31: Readiness assessments conducted?
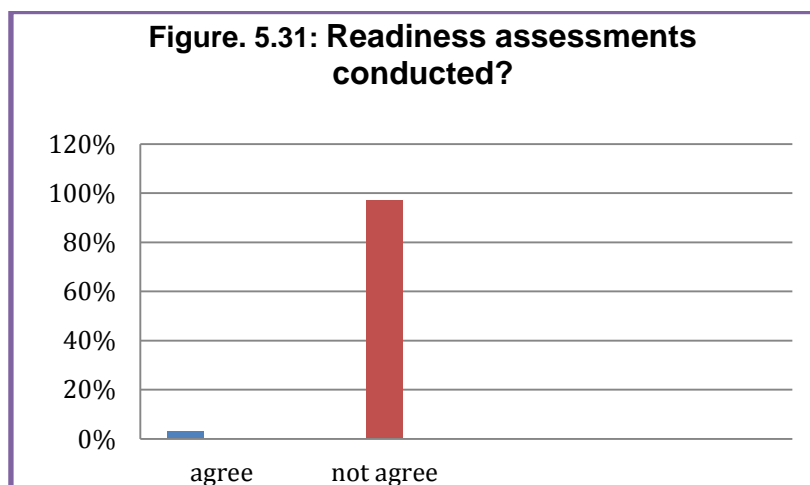
According to 97% in most instances, policies are implemented without a proper readiness assessment of resources and capacity required. Considerations are seldom given to staffing needs, leading to huge workloads and staff who are not coping. In this regard, Reddy (1995:34) warns that new initiatives can only be realised if facilities, resources and technical skills are provided.

Question 12: **Are pilot-studies undertaken before full rollout of policy changes?**

Figure. 5.32: Pilot-study for policy implementation?
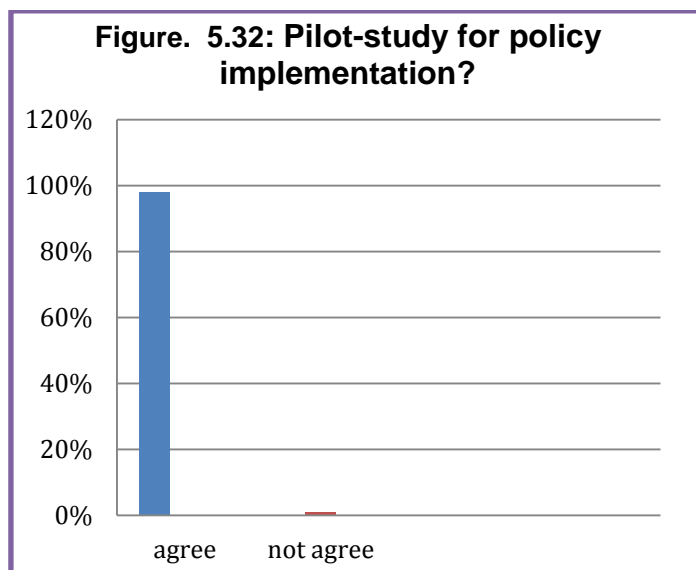
Pilot studies according to 17 of the 18 participants are conducted to prepare the institution by identifying implementation problems. This is especially true when new projects or initiatives with high risk are implemented. An example of a high-risk change was the implementation of regulation 24(a), Internal Remedy Mechanism and Appeals policy amendment. Piloting is crucial to assess the resources and state of readiness by staff, technology systems and procedures. In this regard, Brynard (2001:181) stated that an assessment of organisational capacity, which requires general systems thinking, should incorporate structural, functional and cultural ability to execute policy.

Question 13: **Do you agree or disagree that the implementation of the 4- step model is effective? Substantiate your response.**

Figure. 5.33: Effective implementation of the 4-step model
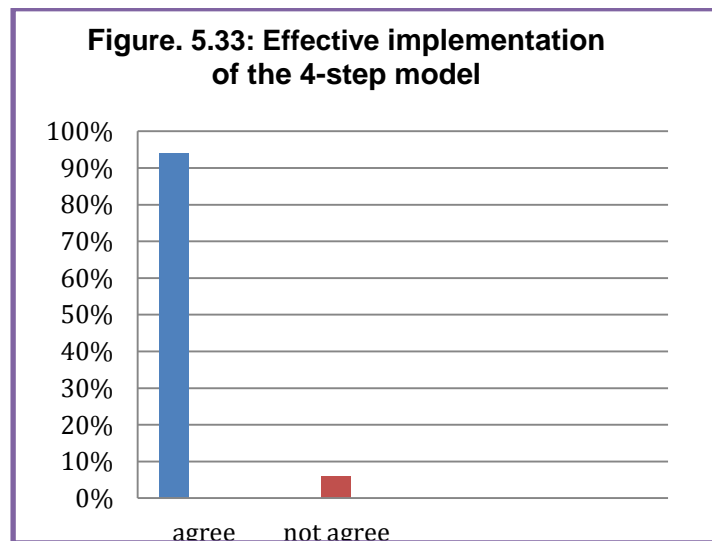
Figure 5.33 indicates that 94% of the participants agree that the implementation of the 4- step model is effective. The main reasons cited for this assessment is the fact that it facilitates quality assurance and generally prevents deviations. However, SASSA's electronic data capturing system (SOCPEN) was identified as not fully conducive to the implementation of the model. The SOCPEN is critical in being able to obtain and verify applicant's information such as income, marital status and migration status. However currently due to the fact that the SOCPEN system does not interface with any of the government systems such as Basic Accounting System (BAS), Government Employment Pension Fund (GEPF), Personnel Salary System (PERSAL), PERSOL, Road Accident Fund (RAF), Unemployment Insurance Fund (UIF) and Workman's Compensation Fund among others, it is impossible and difficult to assess whether the applicant for any grant is currently receiving any other income.

Question 14: **In the last year, did you ever observe an official approving a grant outside his delegated authority?**

Figure. 5.34: Approval of grant made outside delegations
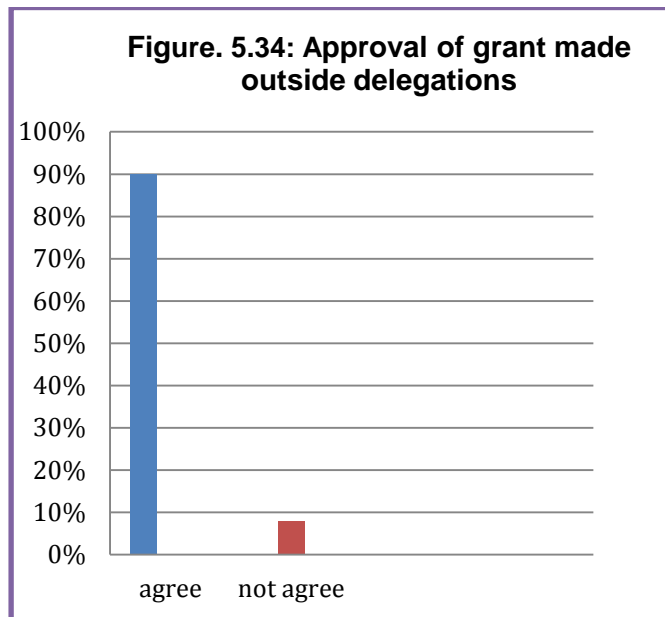
The question aims to assess the importance of delegated authority of officials in exercising discretion during policy implementation. The majority of participants constituting 90% agreed that at times, officials do approve grant amounts outside of their delegation. In one instance, a team leader approved an amount of more than R10 000 which is outside the prescribed delegations of the level of his position (job level). Participants ascribed this situation mainly to the challenges associated with SOCPEN. Furthermore, none compliance issues such as the absence of signatures, lack of required documentation, the lack of internal controls and incorrect calculations of means-test assessments all result in deviations (such as incorrect amounts paid, and payments of grants to ineligible beneficiaries).

Question 15: **In the last year, did you observe any official processing an application without all the required documents?**

Figure. 5.35: Are applications processed without required documentation?

[A bar chart showing two categories. "agree" bar at approximately 3% (blue), "not agree" bar at approximately 97% (red). Y-axis ranges from 0% to 120% in 20% increments.]
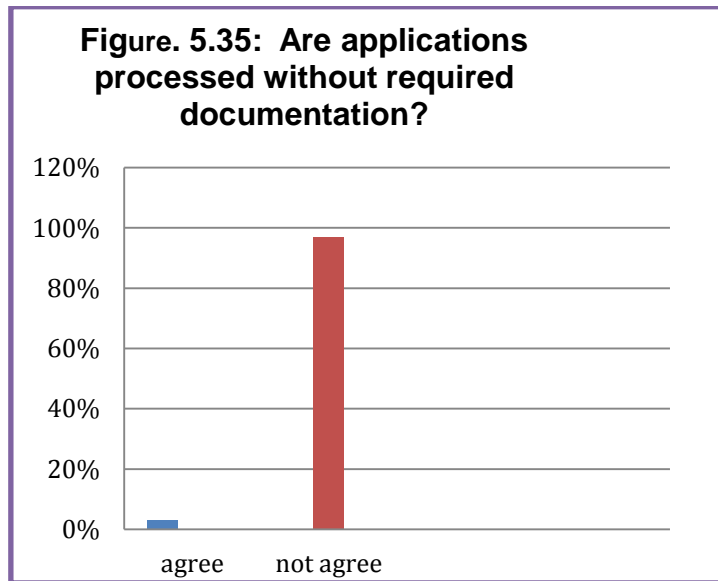
The question aimed to assess oversight responsibility, adherence regarding compliance and related internal controls. Only 3% of the participants agreed that such deviations from prescribed procedures were observed. Deviations mostly occur in areas that get massive influx of clients and receive a high rate of applications such as in Soweto and Johannesburg, where officials do not always follow the correct procedures.

Question 16: **Do people usually bring all necessary documents when applying for grants.**

Figure. 5.36: Are all necessary documentation submitted for application of grants?

[A bar chart showing two categories. "agree" bar at approximately 95% (blue), "not agree" bar at approximately 5% (red). Y-axis ranges from 0% to 100% in 10% increments.]
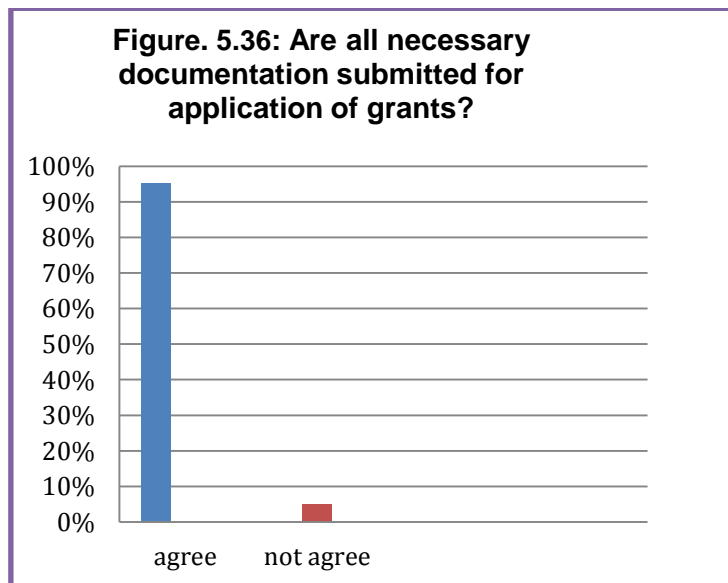
The above question was posed to assess the effectiveness of SASSA communication and awareness campaigns on its services to communities on how to access social grants. Up to 95% of the participants were of the opinion that people often do bring some of the necessary documents when applying for grants for the first appearance. The business process allows for screening and provides an opportunity for clients to return with the required documentation. Education and awareness campaigns need to be re-enforced during information sharing with communities to make them aware as to what documentation should be submitted when applying for a grant the first time.

Question 17: **Do you agree or disagree that current internal control measures and the 4-step model assist in preventing fraud?**

Figure. 5.37: Are internal control measures and the 4-step model effective in preventing fraud?
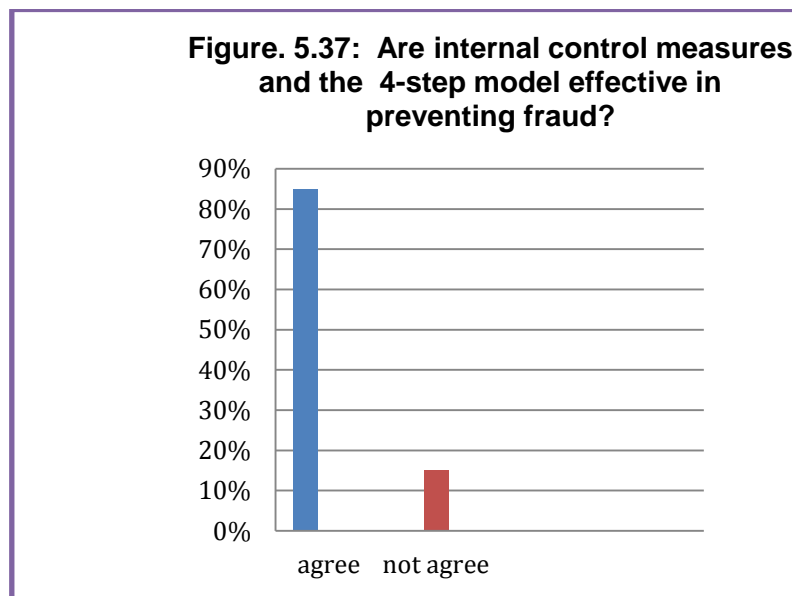
Another positive aspect is that 85% agree that the current internal control measures and 4-step model process assist in preventing fraud. This is mainly because the same person who has been involved in one activity is not allowed to take part in the next level of processing the activity. This process has enhanced accountability and the integrity of the grant system due to the segregation of authority and responsibilities. The approval of certain amounts is furthermore only designated to high-level officials. The system generates accurate reports in terms of the number of applications taken by one person and the time it takes to process it. Participants agree that it is crucial to monitor all system users. However, due to reasons cited above such as workload, lack of guidelines and supervision, the system is not fool proof.

In the next section a summary of the interpretation of results will be highlighted basal on the

numerous theoretical framework as outlined by scholars of policy-making and policy implementation studies.

5.5   INTERPRETATIONS OF RESULTS

The interpretation of data is important in understanding the qualitative experience of the stakeholders in the development of policy and its impact on implementation, especially local office level. In such interpretations, distinctions should be drawn between a measurable, semi-quantitative research approach (i.e. questionnaire) and the interpretation of the qualitative experience of the participants. Ladikos and Kruger (2006:161) emphasise that it is important to analyse the transcribed interviews with the aim of identifying common themes as well as to analyse the experiential world and experiences of the participants.

Brynard (2009:557-558) asserts that other factors influencing policy implementation are commitment, institutional environment, partnerships, contextual factors, and inter-organisational co-operation. In most instances, as confirmed by most of the participants involved in policy implementation, there is limited time devoted to clearly communicating changes to all stakeholders to obtain their buy-in. Operational plans for execution are not effectively designed due to the reactive nature of policy design and amendments. The literature survey revealed the importance of stakeholder involvement in policy formulation and implementation. However, the empirical survey exposed serious limitations in the case of SASSA. The ineffectiveness of communication plans, the multitude of projects, and the divergent agendas of stakeholders all negatively impact on policy implementation. Continuous monitoring and evaluation, adequate supervision, orientation of staff, as well as internal control measures, were all identified as core issues that require urgent attention within SASSA. Davids et al. (2005: 63) argued that successful policy implementation requires that traditional bureaucratic top-down approaches be replaced with more bottom-up approaches in government institutions. This aspect should be considered to ensure that officials involved in policy implementation are involved with readiness assessments and pilot studies to inform policy-makers.

Policy implementation process in government as seen by authors such as Phago (2010:223) is regarded as political as it is technical. It is complex and highly interactive and calls for adequate support structures and mechanisms. In the case of SASSA, it was found that in some

local offices, policies are not adequately adhered to even with SOPs, norms and standards in place. This is mainly due to the lack of proper supervision, low staff capacity, and high workloads. Phago (2010:223) reflects that modern organisations require a diagonal structure with authority that is expert-based, in order to speed up service delivery. The diagonal approach (also referred to as a boardroom approach) is client-centred and should be adopted with the clients (i.e. grant recipients) in mind.

Various prerequisites have been identified by authors such as Dunn (1981:67) as essential elements for policy implementation. Furthermore, Brynard (2009:558) proposed the 5C protocol for policy assessments and evaluation, which includes management skills such as strategic management, administrative reform, change management and project management. Other essential elements in the implementation and analysis process include political support, financial and technical resources, and managerial commitment.

5.6   CONCLUSION

This chapter clearly indicated the research process taken and processes which were applied in the research. The data collected through questionnaires, was intensively interpreted and analysed. As indicated in Chapter 1, the purpose of this chapter has been to expand on a scientific path in this research to ensure a valid and reliable data collection approach. This data collection approach followed the principles of qualitative data collection method by means of:

- A literature survey to obtain theoretical criteria to the policy process,
- A statutory and regulatory framework assessment to identify relevant stipulations governing policy design and implementation in government,
- A case study (SASSA Gauteng), and
- Demographic questionnaire with participants.
- Document analysis of SASSA policies and documents such as annual reports, and strategic annual plans (Creswell et.al 2007:258).

The chapter further highlighted several methodological choices and challenges experienced during the study, and lastly contained an analysis of the responses obtained from participants in DSD and SASSA Gauteng Regional and Local Offices.

The purpose of this research was to determine the policy-making processes in DSD and SASSA in relation to policy initiation, policy design, policy analysis, planning and preliminary objective setting, implementation, and monitoring and evaluation. The findings indicated that although there is participation and collaboration between DSD and SASSA during the policy-making processes, there are strong feelings among implementers that this is not cascaded down to the operational levels for implementation. The implementation of public policy significantly depends on a measure of commitment from institutional management to achieve policy objectives, the existence of adequate capacity to implement the programmes, a favourable bureaucratic context, appropriate communication within the institution, clients and coalitions in support of policy objectives, and the existence of unambiguous policy content. These aspects are crucial for effective and successful implementation. Monitoring and evaluation of policies are also seen as still lacking in both DSD and SASSA and therefore, cause challenges and numerous failures when it comes to implementation.

Based on the above findings and analysis, the following chapter will provide recommendations in addressing the gaps and challenges identified by participants in the current policy-making processes between DSD and SASSA. These recommendations are a result of the culmination of data triangulation in this study and serve as suggested solution to address the research problem.

CHAPTER 6

SUMMARY, RECOMMENDATIONS AND CONCLUSION

6.1   INTRODUCTION

The previous chapter provided an explanation of the methodology used to obtain data from the South African Social Security Agency (SASSA) at regional and local levels pertaining to service delivery. The chapter highlighted several methodological choices and challenges experienced during the study, in addition to the analysis of responses obtained from participants in DSD and SASSA Gauteng regional and local offices.

In this chapter, a synthesis of the study is provided by summarising the research findings in relation to the problem statement and research objectives. The specific findings observed during the research study will be provided. This will be followed by recommendations based on these findings and an analysis of responses obtained from participants in DSD and SASSA.

6.2   SUMMARY OF THE STUDY

The aim of this study was to assess the extent to which the policy-making framework for social assistance in South Africa has impacted on policy implementation within and between SASSA and DSD. The study also aimed to determine the policy-making processes in the Department of Social Development as a policy-maker. Whilst in the case of the South African Social Security Agency (SASSA), determine the processes in relation to policy initiation, policy design, policy analysis, planning and preliminary objective setting, implementation, and monitoring and evaluation.

The following research questions emanated from these broad objectives:
- What are the theories, principles and best practices associated with policy-making and implementation in the public service?
- What are the statutory and regulatory guidelines that define the functionality of DSD and SASSA, including the application of social assistance in ensuring effective, efficient and economic social grants implementation?

- What does the policy-making process between DSD and SASSA in relation to the social assistance implementation entail?
- How does the policy-making process between DSD and SASSA affect policy implementation?
- What recommendations can be made to facilitate and improve the policy-making processes that will enhance and accelerate implementation of social assistance?

From these questions, primary and secondary objectives were formulated. The primary objective of this study was to develop a policy-making framework for the effective implementation of social assistance by the DSD and SASSA. The secondary objectives were to:

- Explore and conduct a literature survey on the prevailing theories and models of existing theoretical framework and principles of public policy-making processes and policy implementation;
- Analyse the statutory, regulatory requirements and guidelines defining the functionality and relationship between DSD and SASSA in the implementation of the social assistance programme; and to
- Develop guidelines and propose key recommendations on how DSD and SASSA can improve on policy-making processes for the more effective implementation of the social assistance programme.

By means of chapter content and deductive logical reasoning throughout the study, these objectives were fully operationalised.

6.2.1   Findings with regard to the research objectives

In Chapter 1, an orientation and problem statement was highlighted to introduce the research problem and rationale of the study. This was achieved by providing the background, describing and providing a pre-analysis of the current end-to-end policy-making process between DSD and SASSA in policy implementation. The research objectives and research questions arising from the problem statement were provided, together with the leading theoretical arguments. Finally, the chapter provided a description of the research methodology employed in seeking to meet the research objectives, followed by the highlighting of the

procedures as well as provisional chapter layout.

In Chapter 2, the first research objective was operationalised by exploring and conducting a literature survey on the prevailing theories, models and principles of public policy-making process and policy implementation. The generally accepted policy process model of Dunn (1994:15–18) was utilised and portrayed the phases of policy-making as:

- Policy agenda-setting;
- Policy formulation;
- Policy adoption;
- Policy implementation; and
- Policy assessment.

Chapter 2 contextualised policy-making within its theoretical framework. Definitions and explanations of the key concepts and terms used in respect of public policy-making, policy analysis and policy implementation were further explained in detail. The Chapter reviewed literature pertaining to the public policy-making process and implementation at a national and international level, taking account of theories, principles, policies and best practice strategies within the public sector. The literature review related the study to the larger, on-going dialogue on the topic, provided leading theoretical arguments and strongly contextualised the study by means of a synopsis of the South African context.

Chapter 3 focused on the statutory and regulatory framework guiding policy-making in general and the functioning of social assistance, particularly in South Africa. This focus provided the second leg of data triangulation. The Chapter also placed social security within an international perspective by focusing on international and regional organisations such as the International Labour Organisation. Relevant legal and statutory prescripts, their areas of application and other relevant matters were also analysed. This analysis exposed certain benefits, limitations and challenges associated with social assistance policies. Lastly, the Chapter detailed the background information about the establishment of the South African Social Security Agency.

The majority of participants indicated that staff members do not adhere to the prescribed policy prescripts, procedures and guidelines in the grants application process. The majority of respondents also felt that changes in policies and procedures are not properly guided. Furthermore, at times the potential impact of such changes is not well thought through. An example in this regard is the implementation of the Internal Remedy Mechanism, where regions implemented different processes and management procedures due to lack of standardisation of forms, structure and processes. In Kwa-Zulu Natal, where they initiated the process, clients were called in during the reconsideration process for hearing of appeals. In all other areas, these hearings were conducted at both district and regional offices. The result of their noble intentions was to expose the agency to litigation.

Chapter 4 scrutinised SASSA, in particular, Gauteng as case study with the view to explore policy implementation for social assistance. The aim was to determine the current relationship between DSD and SASSA in relation to policy-making process. This was taking account of the various policy-making theoretical frameworks and models as outlined in Chapter 3. An exploration of the current implementation of the social assistance policy in relation to the theories was outlined. This included assessing, providing and detailing problems and challenges pertaining to the implementation of policy in general since the establishment of SASSA, Gauteng. The background to the provision of social assistance prior to the establishment of SASSA in 2006, provided insight into the challenges and problems associated with the administration of social grants. The Chapter further explored the role of DSD prior to and after SASSA's establishment. This exploration was necessary to determine how the policy-making process between DSD and SASSA is conducted. The Chapter further identified key success factors associated with policy-making and explored the significance of stakeholder participation while detailing the current policy implementation process.

Chapter 5 provided an overview of the research design, methodology and data collection instruments. While focusing on the Gauteng region as the case study, data was collected by means of interviews conducted with both regional and local office staff as units of analysis. The findings indicated that although there is participation and collaboration between DSD and SASSA during the policy-making processes, there are strong feelings among implementers that this is not cascaded down to the operational level for implementation. All of the participants agreed that the nature of current policy processes is reactionary to problems facing government. Respondents maintain that there is no extensive consultation between

DSD and SASSA before any agenda-setting process to determine the level of commitment and buy-in from stakeholders.

The participants agreed that some interest groups exploit gaps in the process, which generally leads to litigation against the department. The majority of participants (99%) confirmed that participation in policy development significantly influences policy implementation. This ultimately affects service delivery at regional level. Buy in obtained from stakeholders and role players at an early stage could promote acceptance of public beneficiaries. The lack of participation may lead to litigation and ultimately, negatively impact on service delivery since resources and time are diverted away from institutional projects. Ingram and Schneider (2006:174) in this regard maintain that a robust democracy requires open public forums, where citizens can and should be asked to confront policy problems that affect them directly. In such forums, people are encouraged to face policy problems not solely as clients or interest groups, but as citizens who can incorporate the view of others in their own "civic discovery" of what constitutes the collective welfare.

6.3   RECOMMENDATIONS

Implementation is not simply an administrative or managerial problem, but a complex political process of who gets what, when, how, where and from whom (Turton et al. 2002:11). Since there are many actors that operate on multiple levels during the policy-making process, it complicates the implementation process further. This is the case with the current social security and social assistance as there is multiplicity of actors during the implementation process, with an array of perspectives in different layers of government. By definition, the implementation of such a programme will be faced with enormous difficulties and challenges.

A weakness in the coordination of activities amongst the national DSD, SASSA head office, regional and local level was uncovered when evaluating the different roles of the spheres of government. These recommendations are intended to strengthen the public policy-making process between DSD and SASSA as promulgated in the Social Assistance Act 13 of 2004 and the South African Social Security Agency Act 9 of 2004.

From the foregoing discussions and conclusions, the following recommendations are made in order to ensure that policy-making and policy implementation between DSD and SASSA is improved.

6.3.1 Establishment of a Policy Evaluation Unit to enhance policy monitoring and evaluation capacity

It is recommended that a policy evaluation unit be established with a reliable data system to ensure effective monitoring and evaluation of all functions and processes. A reliable data system is necessary to produce verified and credible raw data needed for national evaluation reports. Enhanced technical capacity of officials at both SASSA's head office and regional offices should also be improved to apply the monitoring and evaluation tools. This should be in conjunction with continuous methods to improve service delivery. SASSA head office should ensure that all existing monitoring and evaluation capacities and programmes in all line functions and departments, are linked and synchronised with the Integrated Results Based Monitoring and Evaluation (RBM&E) framework. This framework is consistent with the Presidency's Government-wide Monitoring and Evaluation System (GWM&ES). Furthermore, it is recommended that uniform standards of desired performance are developed and these should make provision for administrative, legal, ethical and professional standards. Such standards could facilitate cost-related evaluations and analyses such as cost-benefit, cost-effectiveness, cost-utility and cost-feasibility analyses. The proposed policy evaluation unit within the Policy Implementation and Support branch should consist of employees, who are not involved in the implementation to conduct objective evaluations. It also requires people with specific evaluation skills and policy experience. This Unit should provide technical assistance on the finalisation of policies and guide the translation of laws into regulations, planning frameworks, strategies and standard operating procedures.

6.3.2 Improve the organisational culture and work ethic

Based on the inputs received from participants, it is evident that the organisational culture and work ethic are not fully conducive for effective policy implementation. It is therefore, recommended that change agents are utilised to incrementally adjust the behaviour of staff. The promotion of committed, honest and strong political and administrative leadership is required to drive this process. There should also be a commitment to act upon cases of

malpractice, fraud and corruption. According to Ijeoma et.al (2013:197) political leadership concerns the basic of leadership, which is the process of gaining social influence in acquiring support and aid from others towards achieving an objective. Ethics in the public sector as described by Ijeoma (2013:196) has to do with the basic understanding that the role of public administration is that of a 'servant' to the public. Based on the notion of service, ethics ensures that certain standards of transparency and accountability are maintained. The South African Constitution, (1996:107), in Chapter 10, has set attributes and qualities expected of leaders in public administration. These values can be summarily identified as:

- Transparency
- Accountability
- Citizen focused, and
- Equity and fairness

SASSA has also adopted some of these values as values determining how services will be provided and how staff is expected to conduct themselves. For these to become alive and for staff to be able to practice them on their daily functioning as they provide services to customers, these have to be displaced in all our offices in big notice boards linked to our Customer Service Charter, which will also enhance good governance principles of service delivery.

6.3.3   Enhance capacity in policy development

As indicated in Chapter 10 section 195 (h) of the Constitution, Act 108 (1996:107), states that good human –resource management and career-development practices, to maximize human capital must be implemented to be able to meet government goals of improving service delivery. It is evident that the institutions often do not have the required capacity to effectively design and execute policy. The low levels of policy skills and expertise such as policy analysts and researchers are indicative of this. It is therefore recommended, that capacity be enhanced in the following areas:

- Project management skills and operations management should be enhanced by improving managers' capabilities, especially at local level. These skills are required for effective and efficient rendering of services and producing of goods where such services are repeated on a regular and continuous basis, as is currently the case with implementation of the 4-step model. Effective project execution plays a pivotal and

vital part in public sector service delivery. In order to ensure that the public sector, service delivery is provided efficiently and economically; all government institutions are required to formulate strategic plans to allocate resources and implement plans through programmes and projects.

- The establishment of a dedicated policy analysis unit could ensure that specific strategic objectives and business plans are developed. The unit could be located inside a department such as the Central Policy Review Staff (CPRS) or outside government departments similar to institutions such as the American Think Tanks; the Netherlands Scientific Council for Government Policy; the Centre for Policy Research, India and the Nigerian Institute for Policy and Strategies (NIPSS). These are financed completely by government but are autonomous as far as the appointment, functioning and reporting of staff are concerned.

- Training of all managers at both head office and regional level in policy analysis and policy study programmes, which will enhance SASSA's capacity in policy-making processes, while putting emphasis on effective policy implementation.

- Promotion of leadership skills and accountability by providing capacity building alternatives such as mentoring and guidance, through a learning process, as well as through formal training such as Executive Development Programmes as provided by the various institute of learning. Lastly the deployment programme to another department for purposes of learning even outside of South Africa within the BRICS countries as in Brazil or India to learn about their methods of social security provision.

6.3.4 Coordinated and committed administrative support services

A significant percentage of participants referred to the lack of adequate support services. The existing service provisions are currently rather contradictory and obstructive to service delivery, especially at local level. High priority should be given to recruitment of quality and skilled staff, especially at senior management levels. Support staff in SASSA are very crucial in ensuring that the policy implementation is realized, especially in the areas of information and computer management, for programming, maintenance of systems, etc. Other support skills such as architectures, space planners, and logistics and facilities managers, as well as project managers in relation to management of accommodation, buildings which came very evident with the introduction of the Local Office Improvement project aimed at improving the

214

current offices for implementation of the 4-step model.

6.3.5 Improve public participation in the policy-making process between the Department and SASSA

It is evident that communication strategies should be designed to facilitate effective public participation and engagement with all stakeholders throughout the policy process. There should be a detailed SASSA Communication strategy and a communication plan, shared to all staff which talks to what strategies of communication does SASSA and DSD use, and how communication to all stakeholders will be conducted annually to promote services and also get feedback from customers. Furthermore, a more structured and appropriate collaborating effort with other delegated agents such as local government, statutory agencies such as the Public Protector, NGO's and the private sector should be established. Stakeholders need to be advised at an early stage about the nature of their involvement in the policy process. A key issue is ownership and authorship of the final policy document.

6.3.6 Establishment of a Policy Formulation and Implementation Task Team

It is recommended, that a policy formulation and implementation task team be established to coordinate policy implementation. Such a task team should comprise of staff from both DSD and SASSA representing the following branches:

- Social Security and Policy;
- Finance;
- Policy Implementation and Support;
- Legal; and
- Benefits Transfer.

6.3.7 Establishment of effective interdepartmental and intergovernmental coordination mechanisms

Effective interdepartmental and intergovernmental coordination mechanisms must be established for effective policy implementation processes within all Social Cluster departments. Brynard, (2009: 565) maintains that inter-organisational cooperation is often regarded as valuable to policy implementation, but the fact that there is inter-organisational cooperation does not necessarily imply more effective policy implementation. Lundin (2007:629) in Brynard, (2009: 565) conducted a qualitative study into the implementation of two policies in Sweden. The one policy was a complex policy and the other policy was regarded as less complicated. In his study, he defined a complex policy as a policy with a large scope that involves intensive action. The costs must also be considered in this definition as complexity increases, the costs of co-operation are also likely to increase. The benefits of co-operation are very low if there is little complexity, but stablished that there will always be costs.

Effective interdepartmental and intergovernmental coordination can be achieved by signing of memoranda of understanding with other affected departments of close dependency and collaborations such as DHA, DOH, DOE SAPS, DOJ, and DOPW. This should form part of the Presidential Monitoring and Evaluation Framework. Such mechanisms should take responsibility for all areas of policy focus before approval of any policy or legislation that is dependent on another department for implementation.

6.3.8 Introduce electronic services for SASSA

The latest strategy to achieve improved results in the information era is the appropriate use of technology in policy processes through use of e-government. E-government refers to the electronic governmental processes through which policy problems are transformed into policy solutions, while e-governance refers to the outcomes of this process (Brynard et.al, 2011:157). To reduce long queues and turnaround times at service offices, it is recommended that further emphasis be placed on the establishment of electronic services. Such electronic services may include communication through SMS messaging. SASSA could approach SARS and DHA to learn from their experiences in this regard. In a recent research conducted by Davids (2011:156) at the SASSA Western Cape regional office, 48% of all customers indicated that

they would prefer their grant being deposited into their bank accounts, while 52% were in favour of cash payments. Similarly 62% of customers were interested in being notified via SMS about grant payments or related information. On the other hand, 38% of all customers preferred notification through post. This can be implemented with further assistance from the International Social Security Association (ISSA) guidelines on the implementation of e-government and social security administration in general, as SASSA is now a member organisation through the Department of Social Development.

The ISSA Centre for Excellence has a 56-expert strong roster. These international experts are all social security professionals who are knowledgeable in their fields and will be able to support and share their experience. E-government as conceptualised by Cloete (2003;UN–PADM,2003:3) in Brynard, Cloete and De Coning, (2011:157) is a new approach to public service delivery in the form of internal public management, external service delivery and democratic interaction with society, primarily through electronic means in order to improve the state of that society. According to Brynard et.al (2011:158) the UN-DPEPA report of 2001 on e-government, it is stated further that decision makers and public sector professionals were of the opinion that e-government…'transforms governance like no previous reform or reinvention initiative. E-government potentially empowers individual citizens by providing them with an alternative channel for accessing information and services and interacting with government'.

6.4   CONCLUSION

From the findings of this research, it is evident that the theoretical statements and the research objectives were able to conclusively indicate that policy-making and policy implementation endeavours warrant further coordination and improvement. Policy-making principles should be applied to ensure that the necessary technical, institutional and human resource capacity exist, to enhance sustainable implementation of these policies. Policy formulation and implementation between DSD and SASSA require people with specific policy formulation, policy analysis and general research skills. It is evident that fragmentation, a lack of coordination and the necessary linkages between departments hamper policy alignment between the two institutions. There are also high levels of interdependency among various departments and other government agencies, such as the Department of Home Affairs and Health when policy issues are considered. Monitoring and effective evaluation of impact and

analysis of the policy should also be considered as one of the areas requiring urgent improvement.

From the research findings and theoretical arguments, it is envisaged that the recommendations aimed at assisting both DSD and SASSA in the improvement of their current policy-making processes and effective policy implementation will add real value.

REFERENCES

ABABIO, E.P. 2000. Effects of change in inputs in policy making for the South African public service. College of Human Sciences. University of South Africa: Pretoria. (Unpublished D Litt et Phil dissertation).

ADEBAJO, A. & LANDSBERG, C. (Eds). 2007. AdebaJo Adedeji in South Africa in Africa: The Post-Apartheid Era. Pietermaritzburg: University of KwaZulu-Natal. African Studies. 70(1) April 2011.

ANDERSON, J.E. 1994. Public policy-making: An Introduction. New York: Rinehart & Winston.

ARMSTRONG, P., LEKEZWA, B. & SIEBRITS, F.K. 2008. Poverty in South Africa: a profile based on recent household surveys. Stellenbosch Economic Working Papers No 04/08. Stellenbosch: University of Stellenbosch (Department of Economics & Bureau for Economic Research).

BABBIE, E. R.2001. The practice of social research. 12th Ed. USA: Wadsworth Publishing.

BLACKSASH. 2004. Breaking the Poverty Trap: Financing a Basic Income Grant in South Africa. BIG Financing Reference Group.

BLESS, C. & HIGSON-SMITH, C. 2000. Fundamentals of Social Research Methods: An African Perspective. 3rd Ed. Cape Town: Juta Education.

BIRKLAND, T. A. 1982. An Introduction to the Policy Process. New York: M.E.Sharpe.

BIRKLAND, T. A. 2001. An introduction to the policy process. New York. Sharp Inc.

BOOYSEN, F. & VAN DER BERG, S. 2005. The Role of Social Grants in Mitigating the Socio-Economic Impact of HIV/AIDS in two Free State Communities. *South African Journal of Economics,* 73(1): 545–563.

BOTES, P.S. & ROUX, N.L. 1996. Introduction to Public Administration and Management. In: Botes, P.S., Brynard, P.S., Fourie, D.I. and Roux, N.L. 1996. Public Administration and Management. A Guide to Central, Regional and Municipal Administration and Management. Pretoria: Kagiso Tertiary.

BRAND, D. 2005. Introduction to Socio-Economic Rights in the South African Constitution. In C. Heyns and D. Brand (Eds.): Socio-economic rights in South Africa. Pretoria: Pretoria University Law Press: 1-56.

BRITTO, T. 2005. Recent trends in the development agenda of Latin America: an analysis of conditional cash transfers. Brasilia: Ministry of Social Development.

BRYNARD, P.A. 2000. Policy Implementation. In Cloete, F. & Wissink, H. Improving Public Policy. Pretoria: Van Schaik.

BRYNARD, P.A. 2005. Policy Implementation: Lessons for Service Delivery. *Journal of Public Administration*, 40(4): 649-664.

BRYNARD, P.A. 2006. The nature of the policy problem. *Journal of Public Administration,* 41(2): 356-373.

BRYNARD, P.A. 2007. The Policy Gap in South Africa. *Journal of Public Administration,* 42(3): 359-370.

BRYNARD, P.A. 2007. Globalisation: Administrative Effects for Africa. *African Journal of Internal Affairs*, 1(1): 34-40.

BRYNARD, P.A. 2008. Civic engagement and public policy implementation. The child support grant. *Journal of Public Administration*, 44(3): 312-326.

BRYNARD, P.A. 2009. Mapping the factors that influence Policy Implementation. *Journal of Public Administration*, 44(3): 557-559.

BRYNARD, P.A. 2009. Policy Implementation. Is policy learning a myth or an imperative?

Administration Publica, 17(4): 13-27.

BURGER, P. 2007. South African Economic Policy: Are We Moving Towards a Welfare State? In: Knorr, A., Lemper, A., Sell, A., and Wohlmuth K. (Ed.) *World Economic Colloquium at University of Bremen,* Number 104, July 2007, Germany.

BURGER, A. 2009. Research support for master's students: The answer to improving methodological quality and increase outputs? *Administration Publica*, 17(4): 99-115.

BURNS, J., KESWELL, M. & LEIBBRANDT, M. 2004. Social Assistance, Gender and the Aged in South Africa. *Feminist Economics*, 11(2): 103-115.

BURNS, J., MARTIN, P., BLACK SACH TRUST, MYENI, B. & MANGOKWANA, A. 2013. CSG exclusion error study. Commissioned by SASSA and UNICEF South Africa. School of Economics, University of Cape Town.

CASE, A., & DEATON, A. 1998. Large Cash Transfers to the Elderly in South Africa. *The Economic Journal,* 108: 1330–1361.

CAPE TIMES. 2004. "Social grants getting too costly - Manuel": 2004-27-10.

CHUTA, V.H. 2010. Performance management as a tool for enhancing policy implementation at Fezile Dabi district municipality. Vaal campus of the North-West University.

COETZEE, M. 2014. Do poor children really benefit from the child support grant? University of Stellenbosch. Department of Economics, Stellenbosch University. www.econ3x3.org. Date accessed: 20 August 2014.

COHEN, M., MARCH, J. & OLSEN, J. 1972. A garbage can model of organisational choice. Administrative Science Quarterly. 17 (1): 1-25

COMMUNITY AGENCY FOR SOCIAL ENQUIRY. 2000. Phasing in the Child Support Grant: a social impact study. Study prepared for the Department of Welfare. Pretoria.

COMMUNITY AGENCY FOR SOCIAL ENQUIRY. 2005. Investigation into the increase in

uptake of disability and care dependency grants since December 2001. Report commissioned by the National Treasury and the Department of Social Development. Pretoria.

CHELECHELE, T.I. 2010. A Critical Analysis Of The Implementation Of The Social Assistance Grants Policies in the North West Province of South Africa. University of Pretoria.

CITY PRESS. 2011. "An Angry Nation rages over inequality", about the Zandspruit rampage and riots in Johannesburg and Philippi residents in Cape Town: 2011-07-03.

CLOETE, J.J.N. 1998. South African Public administration and management. Pretoria: Van Schaik.

CLOETE, F., DE CONING, H. & WISSINK, H. 2007. Improving Public Policy: From theory to practice. 2nd ed. Pretoria: Van Schaik.

Coetzee-Manning, D. 2005. Policy and Governance, Principles and Process (FGE 710). Bloemfontein: UOFS.

CLOETE, F. & MEYER.I. 2000. The public policy process: Policy Agenda Setting. In Cloete, F. and Wissink.H. Improving Public Policy. Pretoria: Van Schaik.

CLOETE, F. & MEYER.I. 2011. Policy Agenda Setting. In Cloete, F. and De Coning. 3rd Ed. Improving Public Policy. Pretoria: Van Schaik.

CLOETE, F. & WISSINK, H.2000. Improving Public Policy. Pretoria: Van Schaik Publishers.

CLOETE, F. & WISSINK, H.2001. Improving Public Policy. 2nd Ed. Pretoria:Van Schaik Publishers.

COLE, M. 2006. Qualitative research: A challenging paradigm for infection control. *British Journal of Infection Control*, 7(6): 25-29.

CORBETTA, P. 2003. Social Research Theory: Methods and Techniques. London: Sage Publications.

CURRIE, I. & WAAL, J. 2005. The Bill of Rights Handbook. Cape Town: Juta.

DAVIDS, G. 2009. Policy implementation capacity challenges: The case of Saldanha Bay Municipality. *Administration Publica,* 17(4): 215-231.

DAVIDS, E. 2011. Assessing the E-Readiness of the South African Social Security Agency (SASSA) Regional Office Western Cape and its Customers. Degree of Master of Public Administration at Stellenbosch University.

DE CONING, C.B. 1994. Review: Workshop on policy skills. Development Southern Africa, 11(2).

DE CONING, C. B. 2000. The nature and role of public policy. In Cloete, F. and Wissink, H. (Eds). Improving Public Policy. Pretoria: Van Schaik.

DE CONING, C. & SHERWILL, T. 2004. An assessment of the water policy process in South Africa (1994 to 2003). Report to the Water Research Commission School of Public and Development Management, University of the Witwatersrand.

DEPARTMEN OF WELFARE. 1997. White Paper for Social Welfare. Principles, guidelines, recommendations, proposed policies and programmes for developmental social welfare in South Africa. Pretoria: Government Printers.

DEPARTMENT OF SOCIAL DEVELOPMENT- Presentation on Extending Child Support Grants (CSG) To Cover Orphans. 8 August 2013.

DEVEREUX, S. 2007. Social Pensions in Southern Africa in the Twentieth Century. *Journal of Southern African Studies,* 33(3): 539-560.

DOYLE, M. 2002. Public Policy. In Du Toit, D., Knipe, A., Van Niekerk, D., Van Der Waldt, G. & Doyle, M. Service Excellence in Governance. Sandown: Heinemann.

DROR, Y. 1968. Public policy-making re-examined. Pennsylvania: Chandler.

DROR, Y. 2006.Training for policy makers. In Moran, M., Rein, M. & Goodman, R. The

Oxford Handbook of public policy. Oxford: Oxford University Press.

DUNN, W.N. 1981. Public Policy Analysis: An Introduction. Englewood Cliffs: Prentice-Hall, Inc.

DUNN, W.N. 1991. Public Policy Analysis: An Introduction. 2nd Ed. Englewood Cliffs, NJ: Prentice-Hall, Inc.

DUNN, W.N. 1994. Public Policy Analysis: An Introduction. 2nd Ed. Englewood Cliffs, N.J: Prentice-Hall, Inc.

DU TOIT, D., KNIPE, A., VAN NIEKERK, D., VAN DER WALDT, G. & DOYLE, M. 2002. Service Excellence in Governance. Sandown: Heinemann.

DU TOIT, D.F.P., VAN DER WALDT, G., BAYAT, M.S. & CHEMINAIS, J. 1998. Public Administration and Management for Effective Governance. Kenwyn: Juta.

DYE, T.R. 1984. Understanding Public Policy. 2ndEd. Englewood Cliffs, NJ: Prentice Hall.

DYE, T.R. 1987. Understanding Public Policy. 6th Ed. Englewood Cliffs, NJ: Prentice Hall.

EISENHARDT, K. 1989. Agency theory: An assessment and review. *Academy of Management Review*, 14(1): 57-74.

EWALT. JO- ANN. G. & E. T. JENNINGS, Jr. 2004. Administration, Governance, and Policy Tools in Welfare Policy Implementation: Public Administration Review.64, (4) pp. 449-462.Published by: Wiley on behalf of the American Society for Public Administration. http://www.jstor.org/stable/3542494. Date accessed 12/03/2013

FOX, W., SCHWELLA, E. & WISSINK, H. 1991. Public Management. Cape Town: Juta.

FOX, W. & MEYER, I.H. 1995. Public Administration Dictionary. Cape Town: Juta.

FOX, W., BAYAT, M.S. & FERREIRA, N. 2006. A guide to managing public policy. Cape

Town: Juta.

FOURIE, P. 2004. Public policy: Theoretical Exploration and Syntheses. *Politeia*, 23(1): 23-38.

FRIEDMAN, G. & BHENGU, I.L. 2012. Fifteen-Year Review of Income Poverty Alleviation Programmes in the Social and Related Sectors. Health Systems Trust; 2008. http://www.hst.org.za. Date accessed: 6 May 2012.

GORDHAN. P. 2011. BUDGET SPEECH: Minister of Finance. 23 February 2014.

GORDHAN. P. 2014. BUDGET SPEECH: Minister of Finance .26 February 2014.

GOVENDER, M. 2011. Conditional cash transfers as a means of addressing poverty in South Africa. Unpublished thesis. Doctor of Commerce in the subject of economics at the University of South Africa. Pretoria.

GRINDLE, M.S. & THOMAS, J.W. 1991. Public choices and policy change. Baltimore: The John Hopkins University Press.

GROOTBOOM and OTHERS v Government of the Republic of South Africa and Other-Constitutional Court Order (CCT38/00) [2000] ZACC 14(21September 2000).
 http:// www.saflii.org/za/cases/ZAC2000/14.htm1. Date accessed 30 March 2014.

GUMEDE, V. 2008. Public Policy- Making in a Post-Apartheid South Africa – A Preliminary Perspective. *Africanus: Journal of Development Studies*, 38(2): 7-23.

GUMEDE, V. 2009. Lecture notes for the Masters of Management in Public Policy, University of Witwatersrand, Graduate School of Public and Development Management, Johannesburg.

HAARMANN, C. 2000. Social Assistance in South Africa: Its potential impact on poverty, University of the Western Cape (PhD). http://www.cdhaarmann.com/Publications/CPhD_w.pdf. Date accessed 30 March 2013.

HAASBROEK, N. 2009. A better life for some? An economic assessment of social security grants in South Africa**.** North-West University. www.nwu.ac.za/publications. Date accessed: 30 March 2013.

HANEKOM, S.X. 1987. Public Policy: Framework and Instrument for Action. Johannesburg: Macmillan.

HANEKOM, S.M. 1991. Public Policy: Framework and Instrument for Action. Halfway House: Southern Book Publishers.

HASSIM, S. 2008. Social justice, care and development welfare in South Africa: a capabilities perspective. *Social Dynamics*, 34(2): 104–118.

HENCOSKI, P. & HANSELL, D. 2012. Leading practices in the human and social services sector. KPMG. Human & Social Services: http://www.kpmg.com/Global/en/industry/government-public-sector/human-social-services. Date accesses: 30 May 2013.

HEYMANS, C. 1995. Towards strategic public policy-making in a democratic South Africa: Some International Lessons. *Africanus: Journal of Development Studies,* 26(2): 28-50.

HEYMANS, C.1996 .Policy support for strategic management in the public sector: some international perspectives. Midrand: DBSA.

HOGWOOD, B.W. & GUNN, L.A. 1984. Policy Analysis for the Real World. Oxford: Oxford University Press.

HORSTEN, D.A. 2003. The social security rights of children in South Africa. Dissertation submitted in fulfilment of the requirements for the Degree Masters Legume at the Potchefstroom University for Christian Higher Education. Potchefstroom.

IJEOMA, E., NZEWI, O., & SIBANDA, M. 2013. South Africa's Public Administration for Community Service. Fort Hare. Verity Publishers.

INGRAM, H. & SCHNEIDER, A.L. 2006. Policy Analysis for Democracy. In Moran, M., Rein, M. & Goodman, R.E. The Oxford Handbook of public policy. Oxford: Oxford University Press.

INTERNATIONAL SOCIAL SECURITY ASSOCIATION. 2007. http://www.issa.int. Ghana Ministry of Manpower, Youth and Employment. Date accessed: 20 February 2012.

INTERNATIONAL SOCIAL SECURITY ASSOCIATION. 2010. ISSA strategy for the extension of social security coverage. http://www.issa.int. Date accessed: 20 February 2012.

INTERNATIONAL SOCIAL SECURITY ASSOCIATION. 2010. http://www.issa.int. Policy Interventions for Bridging Social Security Coverage Gap in the Unorganized Sector in BRIC Countries. Date of access: 28 February 2012.

INTERNATIONAL SOCIAL SECURITY ASSOCIATION. 2012. http://www.issa.int. International Labour Organisation. World Social Security Report 2010/11. Date accessed: 20 February 2012.

INTERNATIONAL SOCIAL SECURITY ASSOCIATION. 2012. http://www.issa.int. Modernizing the social security system in Turkey. Date of access: 28 February 2012.

INTERNATIONAL SOCIAL SECURITY ASSOCIATION. 2012. http://www.issa.int. Social Security, the MDG's and human rights: A rights- based approach to social protection. Date of access: 28 February 2012.

INTERNATIONAL LABOUR ORGANISATION. 2000. World labour report 2000. Geneva: Inter-national Labour Organisation. http://www.ilo.org/publns. Date accessed: 20 May 2012.

INTERNATIONAL LABOUR ORGANISATION. 2010. World Social Security Report 2010/11. Providing coverage in times of crisis and beyond. http://www.ilo.org/publns. Date of access: 20 May 2012.

JACKSON-PLAATJIES, M.C. 2004. Appropriate Policy Education in the South African Context: a study of the Public Policy Partnership. A research portfolio submitted in partial

fulfilment of the requirements for a Master of Social Science in Policy and Development Studies in the Faculty of Human Sciences: University of Kwa-Zulu Natal.

KALIE, P. & MNCUBE, L. 2007. Expanding the Social Security Net in South Africa: Opportunities, Challenges and Constraints. Development Policy Research Unit University of Cape Town. DPRU. Working Paper.

KALULA, M. 2009. Investigating the socio-economic impact of the old age pension in the pensioner household within selected areas of the Eastern Cape. Cape Peninsula University of Technology, kalulam@cput.ac.za. Date of access: 20 May 2012.

KPMG. 2014. South Africa's Social Grant Network is one of the largest in the Developing World, with Projected Expenditures of USD 12 Billion for 2014. Johannesburg: KPMG.

KRAMER, F.A.1981.Dynamics of public bureaucracy: an introduction to management. Boston: Winthrop.

KVALE, S. 1996. Interviews: An introduction to qualitative research interviewing. London: Sage Publications.

LALTHAPERSAD-PILLAY, A. 2007. In Defence of Reasonableness: Giving Effect to Socio-Economic Rights. *Economic and Social Rights Review*, 8(4): 3-8.

LEWIS, J.D. (2001). "Policies to Promote Growth and Employment in South Africa." World Bank, Washington.

LEUNG, J.C.B. & WONG, H.S.W. 1999. The emergence of a community-based social assistance programme in urban China. *Social Policy & Administration*, 33(1): 39-54.

LIPSKY, M. 1978. "Standing the study of public policy implementation on its head." Burnham, W.D. and Weinberg, M.W. American Politics and Public Policy. Cambridge, M.A: MIT Press.

LUM, T. 2010.Social Security Economy and development. University of Chicago Press. http://www.journals.uchicago.edu/SSR. Date accessed: 26 February 2013.

MAKIWANE, F. 2000.Comprehensive Social Security: The Work in progress of the Committee of Inquiry into a comprehensive social security system.

MAKIWANE, M., DESMOND, C., RICHTER, L. & UDJO, E. 2006. Is the Child Support Grant Associated with an Increase in Teenage Fertility in South Africa? Evidence from National Surveys and Administrative Data. Cape Town: HSRC.

MAREE, K., CRESWELL,J.W , EBERSOHN,L., ELOFF,I., FERREIRA,R., IVANKOVA,N.V, JANSEN,J.D., NIEUWENHUIS,J.PIETERSEN,J., PLANO CLARK,V., and   Van Der WESTHUIZEN,C. 2007. First Steps in Research, Pretoria. Van Schaik Publishers.

MASHAVHA v President of the Republic of South Africa, (12) BCLR 1243(CC), 2004.

 METH, C. 2008. Basic Income Grant: There is no alternative! (BIG: TINA). School of Development Studies Working Paper No 54.October 2008.

MILLENNIUM DEVELOPMENT GOALS REPORT, 2012. Assessing Progress in Africa toward the Millennium Development Goals. Emerging perspectives from Africa on the post-2015 development agenda.
https://www.uneca.org/sites/default/files/publications/mdgreport2012_eng. Date of access: 6 May 2014.

MILLENNIUM DEVELOPMENT GOALS REPORT, 2012. Third World Quarterly32 (1), 2011.Special Issue: The Millennium Development Goals: challenges, prospects and opportunities.

MILLENNIUM DEVELOPMENT GOALS REPORT, 2014. We can end poverty. United Nations. New York. www.un.org/millenniumgoals/pdf. Date of access: 6 May 2014.

MITCHELL, M. 2007. Generic guidelines for implementing transport policy. Pretoria: South African Road Federation.

MOHARIR, V. 2000. Education and training in public policy for developing countries some perspectives. *Africanus: Journal of Development Studies,* 30(1): 7-19.

MOKHABA, M.B. 2005. Outcomes-based education in South Africa since 1994: Policy Objectives and Implementation Complexities. Faculty of Economics and Management Sciences. University Of Pretoria Philosophiae Doctor (Public Affairs). http://www.dspace.up.ac.za.   Date accessed 26 February 2013.

MOKGORO, T.J. 1997.Policy Management in South Africa: A North West Provincial perspective. Development Policy Management Forum Regional Workshop for Senior Policy Managers in Sub-Saharan Africa, Kenya Institute of Administration and Association of Management Training Institutions of Eastern and Southern Africa, Nairobi, Kenya 26-30 May.1997.

MOUTON, J. 2001. *How to succeed in your master's & doctoral studies: A South African guide and resource book*. Pretoria: Van Schaik Publishers.

MULLINS, L.J. 1998. Management and Organisational Behaviour, Johannesburg: Pitman Publishing.

MUTAHABA, G., BAGUMA, R. & HALFANI, M.1993.Vitalizing African Public Administration for Recovery and Development. Connecticut: Kumarian.

NISSANKE, M., & THORBECKE, E. 2007. *The Impact of Globalization on the World's Poor: Transmission Mechanisms*. Basingstoke: Palgrave Macmillan for UNUWIDER.

OOSTHUIZEN, E.1996. A reflection on African policy support type organisations. *Africanus: Journal of Development Studies,* 26(2): 60-77.

ORDERSON, C. 2010. Annual Ruth First Memorial Lecture, University of the Witwatersrand: Voices from the Margin. Version of record first published: 22 Mar 2011.

PALAMA. 2009. Policy Formulation and Implementation. Learning Material

PARSONS, W.D. 1995. Public Policy: An introduction to the theory and practice of policy analysis. Aldershot: Elgar.

PATEL, L., HOCHFELD, T., MOODLEY, J. & MUTWALI, R. 2012. The Child Support Grant in Doornkop: Lessons for Scaling up Developmental Impacts Centre for Social Development in Africa, University of Johannesburg. CSDA. Policy Brief.

PATTON, M. Q. 2002 .*Qualitative evaluation and research methods (3rd Ed.).*Thousand: Sage.

PAUW, K. & MNCUBE, L. 2007. Expanding the social security net in South Africa: opportunities, challenges and constraints. DPRU Working Paper No. 07/127.Cape Town: University of Cape Town (Development Policy Research Unit).

PENNINGTON, S. 2014. Understanding Poverty in South Africa. In The Story of Our Future: South Africa 2014. Pietermaritzburg: Interpak Books.

PETERS, B.G. 1996. The Policy Capacity of Government. Canadian Centre for Management and Development. Research paper, No 18. pp. 57-58. https://www.academia.edu/6346023/Peters-Policy_capacity. Date accessed 30 March 2013

PHAGO, K.G. 2010. Effects of the development and implementation of the national public housing policy in South Africa with specific reference to the Gauteng Province**:** Submitted in accordance with the requirements for the degree of Doctor of Administration at the University of South Africa.

PRESIDENTIAL REVIEW COMMISSION (PRC). 1998. Developing a culture of good governance. Report of the Presidential Review Commission on the Transformation of the South African Public Service. Pretoria: Government Printers.

QUADE, E.S. 1982. Analysis for public decisions. New York: North Holland.

RANNEY, A. 1968. Political Science and Public Policy. Chicago: Markham.

RAWLINGS, L. 2004. A New Approach to Social Assistance: Latin America's Experience with Conditional Cash Transfer Programs. Social Protection Discussion Paper Series, No. 416. Human Development Network, the World Bank. August 2004.

REDDY, T. & SOKOMANI, A. 2008. Corruption and social grants in South Africa. Institute for Social Studies.154:94. www.sabinet.online.co.za. Date accessed: 13 March 2013.

REPORT OF THE COMMISSION OF INQUIRY INTO COMPREHENSIVE SYSTEM OF SOCIAL SECURITY FOR SOUTH AFRICA. 2002. Transforming the present − Protecting the future: Report of the Committee of Inquiry into a Comprehensive System of Social Security for South Africa. Pretoria.

REPORT OF THE LUND COMMITTEE ON CHILD AND FAMILY SUPPORT, August 1997. Pretoria: Government Printers.

RISPEL, L., MOLOMO, B. & DUMELA, S. 2008. South Africa Case Study on Social Exclusion. HSRC Press. www.hsrcpress.ac.za. Date of access: 6 May 2012.

ROSA. S., LEATT, A. & HALL, K. 2005. Do The Means Justify The End? Targeting the Child Support Grant. Cape Town: Children's Institute. University of Cape Town.

ROUX, N., FOURIE, D., BRYNARD, P.A., BOTES, P. 1997. Critical Issues in Public Management and Administration in South Africa. Kagiso Tertiary.

ROUX, N., KUYE, J.O., THORNHILL, C., FOURIE, D., BRYNARD, P.A., CROUS, M., MAFUNISA, M.J., VAN DIJK, H.G. & VAN ROOYEN, E.J. 2002. Critical perspectives on Public Administration: Issues for Consideration. Sandown: Heinemann.

RUBIN H.J. & RUBIN, I.S.1995. Qualitative Interviewing: The Art of Hearing Data. Thousand Oaks: SAGE.

SAMSON, M.D., ROSENBLUM, C., HAARMANN, D., HAARMANN, K., MACQUENE,

L. & VAN NIEKERK, I. 2001. The Socio-Economic Impact of "Workfare": Welfare Reform Les-Sons from the United States and Other International Experiences. Research Paper No 26. Cape Town: Economic Policy Research Institute.

SAMSON, M., QUENE, K.M., VAN NIEKERK, I., KANIKI, S., KALLMANN, K. & WILLIAMS, M. 2007. Review of Targeting Mechanisms, Means Tests and Values for South Africa's Social Grants. Economic Policy Research Institute. Pretoria.

SIEDMAN, I.2013. Interviewing As Qualitative Research: A guide for researchers in education and the social Sciences. 4th Ed. Teachers College Press. Amsterdam Avenue. New York.

SOUTH AFRICA. 1996. The Constitution of the Republic of South Africa as adopted by the Constitutional Assembly on 8 May 1996 and as amended on 11 October 1996.

SOUTH AFRICA. 1997. White Paper for Social Welfare. August 1997. Pretoria: Government Printer.

SOUTH AFRICA. 2001. South African Human Rights Commission (SAHRC) 2000/01. Pretoria.

SOUTH AFRICA. 2004. Social Assistance Act 14 of 2004. Pretoria: Government Printer.

SOUTH AFRICA. 2005. South Africa. Government–Wide Monitoring and Evaluation System. Pretoria: The Presidency.

SOUTH AFRICA. 2006. Services Agreement entered into by and between The National Minister of Social Development, 23 March 2006.

SOUTH AFRICA. 2007a. National Treasury. Social Security and retirement reform. Second Discussion Paper. Pretoria: National Treasury.

SOUTH AFRICA. 2007b. National Treasury. Estimates of national expenditure. Pretoria: National Treasury.

SOUTH AFRICA. 2008. National Treasury. Estimates of national expenditure. Pretoria: National Treasury.

SOUTH AFRICA. 2009a. South African Social Security Agency (SASSA).Vision, Mission, Values. http://www.sassa.gov.za/ABOUT-SASSA/VISION-MISSION-AND-VALUES-637.aspx [19/05/2009]. Date of access: 20 February 2012.

SOUTH AFRICA. 2009b. South African Social Security Agency (SASSA). Mandate, Objectives and Strategy of SASSA. http://www.sassa.gov.za/ABOUT-SASSA-MANDATE-OBJECTIVES-AND-STRATEGY-638.aspx[19/05/2009.   Date of access: 20 February 2012.

SOUTH AFRICA. 2009c. South African Social Security Agency (SASSA). Information and Grants Brochure 2009.   http://www.sassa.gov.za. Date of access: 20 February 2012.

SOUTH AFRICA. 2009d. South African Social Security Agency. South African Social Security Agency Annual Statistical Report, Financial Year 2008/2009. Pretoria.

SOUTH AFRICA. 2009e. South African Revenue Services (SARS). SARS about e Filing, http://www.sarsefiling.co.za. Date accessed: 20 February 2012.

SOUTH AFRICA. 2010. South African Social Security Agency (SASSA). Annual Report, Financial Year. 2010/11.

SOUTH AFRICA. 2010. Social Assistance Amendment Act 5, of 2010. Government Gazette, 16 September 2010. Pretoria: Government Printer.

SOUTH AFRICA. 2010. National Treasury. Budget Review. Pretoria: National Treasury.

SOUTH AFRICA. 2010. Statistics South Africa (STATSSA). Quarterly Labour Force Survey, Quarter 1 of 2010. Pretoria.

SOUTH AFRICA. 2013. Auditor General of South Africa. Final Management Report South African Social Security Agency (SASSA). 31 March 2013.

SOUTH AFRICA. 2014. Auditor General of South Africa. Interim Management Report Department of Social Development: Social Assistance.31 March 2014.

SOUTH AFRICA. 2013. National Development Plan 2030 Our Future-make it work. The Presidency of South Africa. Pretoria: Sherino Printers.

SOUTH AFRICA. 2013. Statistics South Africa (STATSSA). General Household Survey.

SOUTH AFRICA. 2014. South African Social Security Agency (SASSA) Strategic Plan 2011/12- 2013/14.

SOUTH AFRICA. 2014. South African Social Security Agency (SASSA). 3rd Quarter Strategic Monitoring Social Grants Status Report. 2013/14.

SOUTH AFRICA. 2014. South African Social Security Agency (SASSA). Annual Report, Financial Year. 2013/14.

SOUTH AFRICAN COUNTRY REPORT, BTI. 2010.
http://www.africaneconomicoutlook.org/en/countries/southern-africa/south-africa/
Date of accessed: 20 February 2012.

SOUTH AFRICA: Economy Review. *SAinfo. Reviewed 28 February 2013.*
 http://www.southafrica.info/business/economy/econoverview.htm#.VGzAdNgaIb4.
Date accessed 30 March 2013.

SCHUBERT. B & R. SLATER.2006.Social Cash Transfers in Low-Income African Countries: Conditional or Unconditional? *Development Policy Review*. 24(5):571–578.
http://onlinelibrary.wiley.com. Date accessed 30 March 2013.
SCHURINK, E.M. 1998. Deciding to use a Qualitative Research Approach. In De Vos, A.S. (Ed). Research at Grassroots: A Primer for the Caring Professions. Pretoria: Van Schaik.

SCHURINK, E. 2010. Participatory action research as tool for sustainable public governance. *Journal of public administration,* 45(3):489-513.

SMYTH, T. 1998. Policy Development Guidelines. Department of Health. Pretoria: NSW.

STARLING, G. 1979. The politics and economics of public policy: An introductory analysis with cases. Homewood: The Dorsey Press.

STONE, D. 1996.Capturing the political imagination. Think- tanks and the policy process. London: Frank Cass.

STONE, D. 1997. Policy Paradox: The Art of Political Decision-Making. New York: W.W. Norton.

STREAK, J. 2005. Government's social development response to children made vulnerable HIV/AIDS: Identifying gaps in policy and budgeting. IDASA. 9 September 2005.

STRUWIG, F.W. & STEAD, G.B. 2001. Planning, Designing and Reporting Research. Cape Town: Maskew Miller Longman.

STRYDOM, E.M.L., LE ROUX, P., LANDMAN, A.A., CHRISTAINSON, M.A., DUPPER, O.C., MYBURGH, P., BARKER, F.S., GARBES, C.J. & BASSON, A.C. 2001. Essential Social Security Law. Cape Town: Juta Law.

STRYDOM, H. 2005. Sampling and Sampling Methods. In De Vos, A.S., Strydom, H., Fouche, C.B. & Delport, C.S.L. (Eds.) Research at Grassroots: for the Social Sciences and Human Service Professions. 3rd Ed. Pretoria: Van Schaik.

THOMPSON, D. 1995. The Concise Oxford Dictionary of Current English. 9th Ed. Oxford: Claredon.

TOWNSEND, P. 2007. The right to social security and national development lessons from OECD experience for low-income countries. Issues In Social Protection Discussion Paper No 18. Geneva: International Labour Organisation.

TRIEGAARDT, J. 2005. The Child Support Grant in South Africa: a social policy for poverty alleviation. *International Journal of Social Welfare*, 14(1): 249-255.

TAYLOR, V. 2002. Transforming the Present - Protecting the Future. Report of the Committee of Inquiry into Comprehensive System of Social Security for South Africa.

TERREBLANCHE, W. & DURRHEIM, M. 1999. Research in Practice: Applied methods for Social Sciences. Cape Town: UCT Press.

THORNHILL, C. 2007. Globalisation: Administrative Effects for Africa. *African Journal of Internal Affairs*, 1(1): 14-20.

YIN, R.K., (1984). *Case Study Research: Design and Methods*. Beverly Hills, Calif: Sage Publications.

UNITED NATIONS. 2011. Population Division. World Population prospects. NEW YORK.

UNITED NATIONS DEVELOPMENT PROGRAMME.2004. Annual Report 2004-2005: Mobilizing Global Partnerships, New York, United Nations Development Programme, Bruxelles, De Boeck.

UNITED NATIONS DEVELOPMENT PROGRAMME. 2010. Successful Social Protection Floor Experience. Sharing Innovative Experiences: South Africa Child Support Grants.18: 363- 381.

UNITED NATIONS DEVELOPMENT PROGRAMME**.** 2010. Poverty Report. hdr.undp.org/en/content/multidimensional-poverty. Date accessed 30 March 2013.

VAN DER BERG, S. 1997. South African Social Security under Apartheid and Beyond. *Development Southern Africa*, 14(4): 481-501.

VAN DER BERG, S. 2001. Social policy to address poverty. In Bhorat, H., Leibbrandt, M., Maziya, S., Van der Berg, S. & Woolard, I. (Eds.) Fighting poverty: labour markets and inequality in South Africa. Cape Town: UCT Press: 58:171-204.

VAN DER BERG, S., SIEBRITS, K. & LEKEZWA, G. 2010. Efficiency and equity effects of social grants in South Africa. Stellenbosch Economic Working Papers: 15/10.

VAN NIEKERK, D., VAN DER WALDT, G. & JONKER, A. 2000. Governance, politics and policy in South Africa. Johannesburg: Oxford University Press.

VAN DER WALDT, G. & KNIPE, A.1998. Project management for strategic change and upliftment. Johannesburg: Thomson International.

VAN DER WALDT, G. & DU TOIT, D.F.P. 1998. Managing for excellence in the public sector. Cape Town: Juta & Co.Ltd.

VAN DER WALDT, G. 2001. IN VAN NIEKERK D., JONKER, A. & VAN DER WALDT, G. Governance, politics and policy in South Africa. Johannesburg: Oxford University Press.

VAN GINNEKEN. W. 2007. Social Security and the Global Socio-Economic Floor: Towards A Human Rights-Based Approach. Conference on Social Policy in a Globalizing World: Developing a North-South Dialogue, Florence. 6-8 September 2007. www.onlinelibrary.wiley.com. Date of accessed: 30 March 2013.

VENTER, A. 1998. Government and Politics in the New South Africa: An Introductory to its Institutions, Processes and Policies. Pretoria: Van Schaik.

XABA, A. J. 2006. An evaluation of the administration of social grants as poverty alleviation strategy at the Sedibeng District Municipality. Mini-dissertation submitted in fulfilment of the requirements for the degree Magister Artium in Development and Management North-West University (Vaal Triangle Faculty). http//dspace.nwu.ac.za. Date of accessed: 30 March 2013.

WEAVER, K., & OLSON, J. K. (2006). Un-derstanding paradigms used for nursing research. *Journal of Advanced Nursing, 53*(4): 459-469.

WORLD BANK. 1997. The state in a changing world. World Development Report 1997. Washington, DC: World Bank. https://openknowledge.worldbank.org. Date accessed: 20 February 2012.

ANNEXURE 1: QUESTIONNAIRES

Questionnaire for Gauteng (Regional and District Office Managers)

The purpose of this questionnaire is to assessment and analyse policy- making process between the Department of Social Development (DSD) and the South African Social Security Agency (SASSA) and how it affects the effective and efficient implementation of the social assistance programme.

The questions are aimed at covering matters pertaining to challenges and possible solutions to the question of "how the policy-making process between DSD and SASSA could be improved".

Respondents are kindly requested to complete all questions below, if the space provided is not enough you are welcome to write on a separate paper. All information will be treated as confidential. Please do not write your name or other detail on this questionnaire.

Section A: Biographical Information

* Indicate with an "X" in the appropriate block

1) Please indicate your managerial position

	DSD	SASSA
Executive Manager		
General Manager		
Director		
Manager		
Local office manager		

Number of years in the employment between DSD and SASSA

1. How long have you been employed in both DSD and SASSA
   1-5 years ☐   6-10years ☐   11-16years ☐   17-24years ☐

   25+years ☐

Question1: **Do you agree that more often than not changes on policy and regulations are because of pressure from the political mandate and/or interest groups counteracting as opposed to initiation by the Department after conducting policy analysis?**

Agree ☐　　Not agree ☐

　Comments --

Question 2: **Do you consider current policy processes to be reactionary in nature?**

Agree ☐　　Not agree ☐

Comments---

Question 3: **Is the agenda-setting process between DSD and SASSA done through extensive consultation and agreements on institutional arrangements?**

Agree ☐　　Not agree ☐

Comments---

Question 4: **Do you think that there is adequate prioritisation of objectives to consider options and cost effectiveness alternatives before policy changes are affected?**

Agree ☐　　Not agree ☐

Comments---

Question 5: **Do you agree that any decision-making on any policy initiation or policy change should undergo an extensive consultative process to obtain buy-in?**

Agree ☐　　Not agree ☐

　Comments--

Question 6: **What according to you are the main reasons for failures in policy implementation?**

Agree ☐　　Not agree ☐

　Comments--

Question 7: **Does participation in policy development impact on policy implementation**

and ultimately affects service delivery at regional level?

Agree ☐   Not agree ☐

       Comments--

Question 8: **Do you agree that there is little evidence of any policy analysis conducted in the design and initiation of new policies?**

Agree ☐   Not agree ☐

       Comments--

Question 9: **Is enough attention given to policy reviews before policy initiation and design?**

Agree ☐   Not agree ☐

       Comments--

*Question 10***: Had all the administrative issues, operational procedures and resources required taken into consideration, and was there an analysis of available resources to successfully implement policy changes?**

Agree ☐   Not agree ☐

       Comments--

Question 11: **Do you agree that some changes and conditions on policy regulations have led to unintended consequences?**

Agree ☐   Not agree ☐

       Comments--

   If so how? --

Question 12: **Does SASSA have strong and visionary leadership to guide the implementation process of SASSA?**

Agree ☐   Not agree ☐

If not why? --

Question 13: **Do you think that SASSA has recruited the right people with the right skills to achieve its mandate?**

Agree ☐   Not agree ☐

Comments--

Question 14: **Do you agree that the process of policy-making from introduction to implementation should follow a phased process?**

Agree ☐   Not agree ☐

Comments--

Question 15: **Does the Department and SASSA adequately and consistently formulate a detailed communication strategy and/or plan in conjunction with all affected partners and stakeholders, upon the introduction of a new policy?**

Agree ☐   Not agree ☐

Comments--

Question 16: **To what extend does participation in policy development impact on policy implementation and ultimately affects service delivery at regional level?**

Agree ☐   Not agree ☐

Comments--

Question 17: **Does SASSA have an effective performance management system for staff?**

Agree ☐   Not agree ☐

Comments--

Question 18: **Is enough attention given to Monitoring & Evaluating relating to current policies of the Department and SASSA?**

Agree ☐   Not agree ☐

Comments--

THANK YOU FOR YOUR PARTICIPATION

Questionnaire for Local Office Managers

This questionnaire focuses on an evaluation of the relationship between DSD and SASSA in terms of the Social Assistance Statutory and Regulatory guidelines that define their relationship. The questions are aimed at assessing application of social assistance in ensuring effective, efficient and economic grant implementation of policies and assessing implementation challenges, success and failures.

<u>**Section A: Biographical Information**</u>

<u>* Indicate with an "X" in the appropriate block</u>

2) Please indicate your managerial position

	DSD	SASSA
Executive Manager		
General Manager		
Director		
Manager		
Local office manager		

Number of years in the employment between DSD and SASSA

2. How long have you been employed in both DSD and SASSA
   1-5 years ☐   6-10years ☐   11-16years ☐   17-24years ☐

                                                        25+years   ☐

Question 1: **Are you of the opinion that all policy changes are supported by clear standard operational procedures (SOP), norms, and standards for implementation?**

Agree ☐   Not agree ☐

Comments ---

Question 2: **Does implementation of all policy changes provide adequate opportunity for all stakeholders to orientate themselves regarding these changes?**

Agree ☐   Not agree ☐

Comments ---

Question 3: **Does SASSA formulate a detailed communication strategy or plan in consultation with all the affected stakeholders and implementers in the implementation of policy changes?**

Agree ☐   Not agree ☐

Comments ---

Question 4: **In your opinion, should stakeholders participate in the development of a communication plan?**

Agree ☐   Not agree ☐

Comments ---

Question 5: **Do you agree or disagree that policy design is a top-down approach rather than a being a bottoms-up approach?**

Agree ☐   Not agree ☐

Comments ---

Question 6: **Do you agree or disagree that SASSA policy implementation is adequately supported by institutional structures at all levels within the institution?**

Agree ☐   Not agree ☐

Comments ---

Question 7: **Do staff at your local office adheres and comply with the prescribed procedures and guidelines in the grants applications processes?**

Agree ☐   Not agree ☐

Comments ---

Question 8: **In your opinion, are there adequate internal control measures in place in the application process to ensure compliance?**

Agree ☐   Not agree ☐

Comments ---

Question 9: **Are standard operational procedures (SOP), norms, and standards made clear to all staff before implementation?**

Agree ☐   Not agree ☐

Comments ---

Question 10: **Are SOP adequately aligned with staff's performance management contracts**?

Agree ☐   Not agree ☐

Comments ---

Question 11: **Are readiness assessments conducted to determine resource availability and institutional capacity?**

Agree ☐   Not agree ☐

Comments ---

Question 12: **Are pilot- studies undertaken before full rollout of policy changes?**

Agree ☐   Not agree ☐

Comments ---

Question 13: **Do you agree or disagree that the implementation of the 4- step model is effective? Substantiate your response.**

Agree ☐   Not agree ☐

Comments ---

Question 14: **In the last year, did you ever observed an official approving a grant outside his delegated authority?**

Agree ☐   Not agree ☐

Comments ---

Question 15: **In the last year, did you observe an official processing an application without all the required documents?**

Agree ☐   Not agree ☐

Comments ---

Question 16: **Do people usually bring all necessary documents when applying for grants.**

Agree ☐   Not agree ☐

Comments ---

Question 17: **Do you agree or disagree that current internal control measures and the 4-step model assist in preventing fraud**

Agree ☐   Not agree ☐

Comments ---

THANK YOU FOR YOUR PARTICIPATION

ANNEXURE 2

MEMO

To:	**COCEKO PAKADE** **DIRECTOR-GENERAL:DEPARTMENT OF SOCIAL DEVELOPMENT**
From:	**TSEBELETSO MAKHETHA**
Date:	**2014/02/5**
Cc:	**Thokozani Magwaza** **Deputy Director- General: Comprehensive Social Security**
Subject**:**	**REQUEST FOR CONSENT TO CONDUCT INTERVIEWS FOR MY RESEARCH STUDY.**

I am currently studying for a Masters in Public Administration (MPA) degree at North West University (NWU) – Potchefstroom Campus. As part of completing the degree, I am required to do a research dissertation and conduct a study, which involves a survey. Permission is hereby requested to conduct interviews within your Department for completion of the research. Respondents identified are within the Comprehensive Social Security branch responsible for Policy development. Their selection will be based on their involvement in policy-related matters for social assistance as well as interaction between Department of Social Development and the South African Social Security Agency.

The primary objective of the study is to evaluate and develop a policy-making framework for effective implementation of Social Assistance for the Department of Social Development and the South African Social Security Agency. The completion of

the attached questionnaire will contribute in ensuring the validity of the results of the study.

 RESEARCH TOPIC: A policy-making framework for Social Assistance in South Africa: The case of the Department of Social Development and the South African Social Security Agency

The information obtained for the survey will be kept confidential and used only for the purpose of the study. The results of the study will be used in an aggregate form and therefore the anonymity of your responses will be maintained. Study also complies with the Ethical Clearance Procedures of North-West University.

MT MAKHETHA

Date:

Approval for the study granted and supported/ not approved

COCEKO PAKADE
DIRECTOR-GENERAL: DEPARTMENT OF SOCIAL DEVELOPMENT
Date:

ANNEXURE 3

RESEARCH PARTICIPATION CONSENT FORM
TOPIC: A policy-making framework for Social Assistance in South Africa: The case of the Department of Social Development and the South African Social Security Agency

Dear Respondent,

My name is Tsebeletso Makhetha currently studying for a Masters in Public Administration (MPA) degree at North West University (NWU) – Potchefstroom Campus. As part of completing the degree, I am required to do a research dissertation and conduct a study, which involves a survey. You are been selected to participate in the survey. Your selection is based on your involvement in policy-related matters for social assistance as well as your interaction between Department of Social Development and the South African Social Security Agency.

The primary objective of the study is to evaluate and develop a policy-making framework for effective implementation of Social Assistance for the Department of Social Development and the South African Social Security Agency. The completion of the attached questionnaire will contribute in ensuring the validity of the results of the study.

Once completed please return the questionnaire to the following email address tsebeletsom@sassa.gov.za. You may contact me on 082 324 8110 or 011 241 8435 during office hours should any additional information be required.
The information obtained for the survey will be kept confidential and used only for the purpose of the study. The results of the study will be used in an aggregate form and therefore the anonymity of your responses will be maintained. Approval for the study was obtained from Senior Management of SASSA dated 3 February 2014, and the study also complies with the Ethical Clearance Procedures of North-West University.
We value your input.

PARTICIPATION DECLARATION

I_____ hereby voluntarily grant permission for participation in the study. I understand my right and to choose whether to participate in the study and that the information furnished will be treated confidential.

ANNEXURE 4

Source: "NJALO" newsletter, 20 of 2012. SASSA's ICROP vehicle used for taking down of applications off-sites.