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Challenges of Implementing Breaking New Ground Policy in the North West Province

By

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A thesis submitted to the Faculty of Management at the University of the Witwatersrand, Johannesburg, in partial fulfillment of the requirements for the degree of Masterôs Management in Public Policy.

Supervisor: Mr. Motswaledi

2013

DECLARATION

I declare that, **challenges of implementing Breaking New Ground Policy in the North West Province** is my own work and that all sources quoted are acknowledged by means of complete references.

I further declare that the report has not been submitted before for any degree or examination at another university.

Student No: 595120

DEDICATION

This research report is dedicated to my late parents, my Father, Ntshebele Philemon, and my Mother, Manyake Lucy Moraba, for their love and the sacrifices they made for me.

ACKNOWLEDGEMENTS

Great are your purposes, mighty are your deeds and nothing is too hard for YOU,
THANK YOU LORD.

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ABSTRACT

Implementation of the BNG policy was announced by the President, Jacob Zuma, in his state of the nation address on 3 June 2009. The amount of R787 billion in infrastructure expenditure was announced to accomplish cohesive, caring and sustainable communities through construction of school building programmes, parks; playgrounds; sports fields; crèches; community halls; taxi ranks; municipal clinics and informal trading facilities by 2014.

The objectives of the study were to identify the challenges impeding the implementation of the Breaking New Ground (BNG) policy in the North West Province and to provide valuable recommendations for effective implementation. Hogwood and Gunnôs (1984:199) ten preconditions of perfect implementation were used to analyse the approaches and actions proposed to implement the BNG policy intents.

Through the in-depth interview and document analysis, the study investigated the challenges of implementing the BNG policy in the North West Province. Findings from the interview data and document analysis yielded ample information obstructing effective implementation of the BNG policy in the North West Province.

The study found that implementation of the BNG policy seemed to have never been implemented. A major reason identified was insufficient political will to influence strategic actions meant for implementation and the concomitant need to take severe actions against non-compliance.

Strong political power, communication and coordination by a lead department to win the support of partner institutions seemed to be insufficient. As a result, allocation of resources and agreement of objectives were never reached. Other cited impeding factors were operational constraints of the Department of Human Settlements (DHS) executive officials to pro-actively pursue the political mandate through the initiation of implementation plan documents, programmes and projects.

The study recommends that the Members of Executive Council (MEC), Head of Departments (HODs), and senior managers utilise Executive Committees (EXCO) to negotiate agreement of objectives to win the support of institutions involved. The study recommends that senior managers should consider accumulating knowledge on policy implementation matters.

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ABBREVIATIONS

APP	Annual Performance Plan
BNG	Breaking New Ground
DEDET	Department of Economic Development, Environment and Tourism
GCIS	Government Communication and Information Systems
DHS	Department of Human Settlements
DoH	Department of Housing
DSAC	Department of Sport, Arts and Culture
EXCO	Executive Committee
HOD	Head of Department
HS	Human Settlement
IDP	Integrated Development Plan
LED	Local Economic Development
MEC	Member of Executive Council
MOU	Memorandum of Understandings
MTEF	Medium Term Expenditure Framework
MTSF	Medium Term Strategic Framework
NHC	National Housing Code
NPM	New Public Management
NW	North West
OOP	Office of the Premier
PD	Provincial Department
PDs	Provincial Departments
RDP	Reconstruction and Development Programme
RSA	Republic of South Africa
SDIBP	Service Delivery Improvement Budget Plan
SONA	State of the Nation Address
SOPA	State of the Province Address
UN	United Nations

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CHAPTER ONE

1 INTRODUCTION

This chapter gives an overview of the problem statement, the general aims and objectives of the study, as well as the significance of the study. The key research question and supplementary questions, as well as the unit of analysis and delimitations of the research are discussed in this chapter. The structure of the rest of the study and key concepts are defined. This study is set to outline the challenges that impede the implementation of the BNG policy in the NW Province.

Ten years after the introduction of the housing programme, a comprehensive review was undertaken of the outcomes of the programme and the changes in the socio-economic context in the country (NHC, II, 2009:7). This led to the approval of the Comprehensive Plan for Sustainable Human Settlement, commonly referred to as ñBreaking New Groundò (BNG) by Cabinet in September 2004.

The BNG is an incremental policy guiding the Department of Human Settlements to enhance its housing delivery through the provision of socio-economic services. The policy is aimed at realising the right to adequate housing, as well as creating quality and sustainable communities.

1.1 BACKGROUND

Government has, in terms of the Housing Act, 1997 (Act No 107 of 1997) introduced a variety of programmes aimed at providing poor households with access to adequate housing (NHC, III, 2009:9).

Adequate housing is measured by certain factors such as legal security of tenure; the availability of services; materials; facilities and infrastructure; affordability; habitability; accessibility; location and cultural adequacy (DoH, 2005:4).

Adequate measures considered to complement housing programmes were parks; playgrounds; sports fields; crèches; community halls; taxi ranks; municipal clinics and informal trading facilities (NHC, III, 2009:17).

It is therefore at the heart of this initiative for the Department of Human Settlements to move beyond the provision of basic shelter towards achieving the broader vision of sustainable human settlements and more efficient cities, towns and regions. Though the policy was highly supported by politicians and prioritized into programme of actions and budgeted for execution, housing programmes are still seen being delivered as stand-alone structures with no social amenities concurrently delivered.

It is apparent that the status quo of the problems that need to be addressed by the BNG interventions are still not up to expectations. With regard to the policy gaps observed by the researcher, the study seeks to examine in detail the setbacks encountered by officials in the implementation of the BNG policy and aims to provide measures that can be considered to enhance policy implementation processes in future.

1.2 PROBLEM STATEMENT

Despite the prioritization of the BNG policy on the political programme of actions (SONA, SOPA, MEC budget speeches) and Medium Term Strategic Frameworks, the NW Provincial government seems not to have been able to provide socio-economic services as intended.

The implementation process is generally slow and seems to be unable to produce intended expectations by 2014 as visualized in the policy. It was observed that the NW Province continues to be plagued by problems of providing the integrated and sustainable socio-economic services where upgrading of low cost housing programmes are developed.

Low cost housing beneficiaries are still confronted with insufficient access to basic services; sewerage; amenities and infrastructure which represent a very low standard of living. The effects of the unsuccessful implementation of the BNG policy also came to light when the public expressed their dissatisfaction through protests for lack of access to quality basic services and socio-economic infrastructure.

These protests, according to the Department of Human Settlements Annual Report (2010/11:16), are attributed to the apparent inability of municipalities to deliver basic services, and also, to the housing backlog in the Province. This study outlined and analysed the problems and challenges facing the successful implementation of the BNG policy in the NW Province.

1.3 RESEARCH QUESTIONS

The proposed study addressed the following research questions raised on the basis of the problem statement in paragraph 1.2. above. The primary research question for the study was:

1.3.1. What were the major challenges impeding implementation of BNG policy in the NW Province?

Supplementary research questions are:

1.3.2. What approaches and actions were taken to implement the policy in the NW Province?

1.3.3. What mechanisms should have been considered to improve the policy implementation process?

1.4 RESEARCH OBJECTIVES

The objectives of the study were:

1.4.1. To identify challenges impeding the effective implementation of the BNG policy in the NW Province.

1.4.2. To analyze the approaches and actions taken to implement the BNG policy in the NW Province.

1.4.3. To outline what mechanisms should be considered to improve the policy implementation process.

1.5 RESEARCH METHODS

The study employed qualitative research and used in-depth interviews to collect data from the subjects in their organizational settings in an attempt to identify challenges of implementing the BNG policy in the NW Province.

These research methods have been discussed in great detail in chapter three under paragraph 3.2. to 3.4. The study population was drawn from two Provincial Government Departments, namely, Department of Human Settlements and Department of Sport, Arts and Culture, NW Provincial Legislature and two municipalities which are Mahikeng Local Municipality and Ngaka Modiri Molema District Municipality.

In terms of the sample size, nine participants were from Provincial departments, six from Municipalities and the remaining three were from NW Provincial Legislature, totalling-18 research subjects. The participants were chosen based on their responsibilities towards housing issues and others were recommended during the interviews.

1.6 UNIT OF ANALYSIS AND DELIMITATIONS OF THE STUDY

The study focused on the challenges impeding effective implementation of the BNG policy in the NW Province and provided measures to enhance the implementation process of the policy.

The study was limited to officials working in the NW Provincial government, in particular, officials from Department of Human Settlements (DHS), Municipalities, Department of Sport, Arts and Culture (DSAC) and the NW Provincial Legislature.

Participating officials were Directors and Deputy Directors, Portfolio Committee Members and managers responsible for departmental planning, oversight, research and policy, whose duties were seen to be relevant to the research topic.

1.7 SIGNIFICANCE OF THE STUDY

The study contributed to the documentation of the challenges faced by various stakeholders in the implementation of the BNG policy. The study is expected to add to existing knowledge on how to devise effective policy implementation process strategies.

The study is expected to assist decision makers with the understanding, expertise and knowledge in the policy implementation process. The study suggested interventions that can be embarked upon to ameliorate challenges identified in the implementation of the BNG policy in the NW Province.

1.8 DEFINITION OF CONCEPTS

Under this heading, a conceptual framework is provided for the study. Conceptual framework is where the writer unpacks the key concepts used in the research and identifies the relationship between the concepts (Badenhorst, 2007:21). It is a process of forming coherent

theoretical definitions as one struggles to make sense or organize the data and oneôs preliminary ideas about it (Neuman, 2011:186). The study defines the following concepts that were mainly used in the study:

1.8.1. BNG Policy

The BNG policy, also called a ñComprehensive Plan for the Development of Sustainable Human Settlementsò, is a new plan that is aimed at redirecting and enhancing existing mechanisms to move towards more responsive and effective housing delivery (DoH, 2004: 7). It provides programmes that promote the development of the entire economic and social development.

These include development of low-cost housing, social infrastructure, creation of employment and amenities. The plan aims to change spatial settlement patterns by building spatially, economically and socially integrated human settlements by 2014 (GCIS, 2009/10:308).

1.8.2. Public policy

Baker, cited in Cloete, Wissink and De Coning (2000:14), defines policy as a mechanism employed to realize societal goals and to allocate resources. It refers to the actions of government in response to societal problems.

Gerston (2004:7) defines public policy as the combination of basic decisions, commitments and actions made by those who hold or affect government positions of authority. The main objective of public policies is to solve problems affecting people in society (Smith, 2005:1).

Hogwood and Gunn (1984:18) explore different ways in which the word ñpolicyò is used. They describe a policy as specific proposals; decisions of government; formal authorization; programme; output; outcome; theory or model and policy as a process. BNG is a public policy that aimed at realising societal goals through the allocation of socio-economic services.

1.8.3. Implementation

Webster's Dictionary (1971), cited in (Lane,1983:17), states that "implementation" means the act of implementing or the state of being implemented, and it presents the following key words for "implement": "to carry out: accomplish, fulfil; to give practical effect to and ensure

actual fulfilment by concrete measures; to provide instruments or means of practical expression for . . .". Implementation means the process of realising BNG policy objectives.

1.8.4. Implementation analysis

Implementation analysis refers to the process of examining the operation of a public policy and its consequences. According to Lane (1983:18), the analysis includes ócclarification of the objectives involved (the goal function), statement of the relationship between outputs and outcomes in terms of causal effectiveness (the causal function) and clarification of the relation between objectives and outcomes in order to affirm the extent of goal achievement (the accomplishment function)ô

Each of the three tasks of implementation analysis present their own peculiar difficulties, together they imply that it is difficult to judge the effectiveness of implementation and thus arrive at recommendations about what measures are conducive to successful implementation (Lane, 1983:18).

It also involves an understanding of the decision-making process and the interpretation of the outcomes, and the practical policy lessons to be learned (Lane, 1983:38). In this study, BNG policy was analysed in terms of its interventions, implementation mechanisms and actions employed for execution.

1.8.5. Policy implementation process

The implementation process refers to the bringing about of outcomes that are congruent with the original intentions of the policy by means of outputs (Lane, 1983:17). It refers to the process of translating the policy objectives into practice.

Two ideas are fundamental to the concept of implementation: that the policy programme is the output that brings about the outcomes (the causal function) in such a way that the outcomes accomplish the objectives of the policy (the accomplishment function) (Lane, 1983:18).

1.8.6. Policy implementation measures

Implementation measures refer to resources conducive to successful policy implementation. A resource is described as a source of aid or support; something resorted to in time of need or a means of doing something. They include assets, financial, human and information (Du Toit,

Van der Waldt, Bayat, and Cheminais, 1998:18). It is one problem to analyse, what must obtain in order to apply implementation and another problem is to state how successful implementation comes about (Lane, 1983:30).

1.8.7. Successful policy implementation

Successful implementation implies that the means employed-bring about the ends desired, that is, the causal function is the second important restriction that has to be met (Lane, 1983:23).

1.8.8. Policy implementation challenges

An implementation challenge refers to the possible difficulties that are encountered during policy implementation, hindering achievements of the policy objectives. It is simply not clear what non-implementation stands for: programme malfunctioning, causal ineffectiveness, failure to achieve goals, the bringing about of unintended outcomes or the accomplishment of dysfunctional goals (Lane, 1983:18).

Challenges to policy implementation occur when the relationship between policy and action processes have a number of properties that are not conducive to the occurrence of successful implementation (Lane, 1983:26).

1.9 STRUCTURE OF THE REST OF THE RESEARCH REPORT

Chapter two provided background to the legislative framework and relevant literature regarding the development and implementation of the BNG policy as well as the challenges and issues involved in implementation. The chapter also described the theoretical framework guiding the study.

Chapter three detailed the methodology used to conduct this study. These include methods used to collect data, analysis, ethical considerations and issues regarding reliability and validity of data. The research site and limitations of the study were discussed.

Chapter four presented findings on the challenges of implementing the BNG policy in the North West Province and provided background information of the respondents. Each precondition of perfect implementation proposed by Hogwood and Gunn (1984) was used to analyse the findings and to guide the study. Chapter five provided detailed interpretations of

the research findings from the interview data and document analysis. In chapter six, conclusions were drawn and recommendations to improve implementation of policies were provided.

1.10 SUMMARY OF CHAPTER ONE

This chapter presented the background, research objectives as well as clarification of concepts used in the study. Some of the concepts clarified in this chapter were key to the study-as they addressed the crux of the study namely, challenges that affect the BNG policy in the NW Province.

These concepts defined in this chapter have laid solid foundation on which discussions of the various elements of this study have been based. The next chapter reviews literature on the development and implementation of the BNG policy, policy implementation issues and perspectives of different authors as well as the studyós theoretical framework.

CHAPTER TWO

2. LITERATURE REVIEW

This chapter provides an overview of the legislative framework informing the development and implementation of the BNG policy. Detailed description of the BNG policy development and implementation mechanisms, as well as the policy challenges, are also discussed in this chapter.

The study described the stages of policy making process proposed by Anderson (2006) to connect and position the focal area of the study which is the policy implementation stage. Policy implementation perspectives and approaches from different authors, as well as a theoretical framework proposed by Hogwood and Gunn (1984), are discussed in this chapter.

2.1. LEGISLATIVE FRAMEWORK

The legislative frameworks discussed under this section set the context for the development and implementation of the BNG policy. Consistent with the United Nations (UN) Habitat Agenda, access to adequate housing emanates from the Constitution and mandates the Department of Human Settlements to work progressively towards ensuring that all South Africans have access to secure tenure; housing; basic services; materials; facilities and infrastructure on a progressive basis (NHC, II, 2009:16).

Key legislative frameworks mandating the DHS to provide adequate housing and which provide the context for the development of the BNG policy include the Constitution of the Republic of South Africa Act (No.108 of 1996), the Housing Act (No. 107 of 1997), National Housing Code (of 2009) and the Freedom Charter (of 1955).

2.1.1. The Constitution of the Republic of South Africa Act, No. 108 of 1996

The right to adequate housing is established in the Bill of Rights (s26) (1) of Chapter 2 of the Constitution which stipulates that ôEveryone has the right to have access to adequate housing and (s27) requires that government put in place reasonable programmes, subject to available resources, to see to it that everyone has access to adequate housing and social securityô. This means that before a policy is established and communicated, it is crucial that the availability of resources and mechanisms are evaluated and determined.

2.1.2. The Housing Act, No. 107 of 1997

The Housing Act (1997:4) stipulates without any alteration that housing development means ôthe establishment and maintenance of habitable, stable and sustainable public and private residential environments to ensure viable households and communities in areas allowing convenient access to economic opportunities, and to health, educational and social amenities in which all citizens and permanent residents of the Republic, will, on a progressive basis, have access to permanent residential structures with secure tenure, ensuring internal and external privacy and providing adequate protection against the elements, and potable water, adequate sanitary facilities and domestic energy supplyõ.

2.1.3. The National Housing Code 2009

The National Housing Code, 2009, sets the underlying policy principles, guidelines and norms and standards which apply to the Governmentõs various housing assistance programmes, introduced since 1994 and updated regularly.

This Housing Code, 2009, is aimed at simplifying the implementation of housing projects by being less prescriptive while providing clear guidelines and outlining an easy to understand overview of the various housing subsidy instruments available to assist low income households to access adequate housing (NHC,1,2009:10).

2.1.4. The Freedom Charter adopted on the 26th June 1955

Its housing clause states, ôThere shall be houses, security and comfort for all. All people shall have the right to live where they choose, to be decently housed, and to bring up their families in comfort and security. Slums shall be demolished and new suburbs built where all shall have transport, roads, lighting, playing fields, crèches and social centresõ.

2.2. BACKGROUND TO THE DEVELOPMENT OF THE BNG POLICY

The purpose of this study was to assess the BNG policy, in particular, the implementation process. BNG policy reinforces the vision of the Department of Human Settlements, to promote the achievement of an integrated society through the development of sustainable human settlements and quality housing.

Five institutions were selected to explain how the BNG policy was translated into action in the NW Province, which were, DHS; DSAC; NW Legislature; Mahikeng Local Municipality and Ngaka Modiri Molema District Municipality. The right to adequate housing has been recognized by international conventions.

In 1976, Canada hosted the first United Nations Conference on Human Settlement called Habitat I (UN-Habitat) in Vancouver. Conference participants signed two documents: The Vancouver Declaration on Human Settlements and the Vancouver Action Plan.

As a result of this Vancouver conference, the United Nations General Assembly adopted a resolution on the creation of a Commission on Human Settlements. The UN-Habitat was established in 1978 as a consequence of this event (Terminski, 2011: 228).

In 1996, the UN held another conference on human settlement and urbanization called Habitat II. Its objective was to assess the results of the follow-up conference in Vancouver and set UN-habitat targets for the new millennium (Terminski, 2011:228).

The purpose of the second United Nations Conference on Human Settlements (Habitat II) was to address two themes, namely, adequate shelter for all and sustainable human settlements development in an urbanizing world (UN, 1996:1).

The first theme was concerned with access to safe and healthy shelter, as well as basic services, as essentials to a person's physical, psychological, social and economic well-being. The second theme was concerned with issues of sustainable development of human settlements such as economic, social development and environmental protection, with full respect for all human rights and fundamental freedoms (UN, 1996:1).

In line with these two themes above, the UN compels governments to take appropriate actions in order to promote, protect and ensure full and progressive realization of the right to adequate housing (UN, 1996:23).

These actions include adopting policies aimed at making housing habitable, affordable and accessible, including for those who are unable to secure adequate housing through their own means, by promoting sustainable spatial development patterns and transportation systems that improve accessibility of goods; services; amenities and work.

In that spirit and commitment, the Minister of Housing, Lindiwe Sizulu, unveiled the Comprehensive Plan on Sustainable Human Settlements in September 2004, and in her ministerial budget vote speech (May 2005) said:

> *'Since we sought to reconfirm our commitment to providing a life of dignity, our people asked of us fifty years ago when they crafted the Freedom Charter, understanding that decent houses were a prerequisite for comfort and security'.*

The initiatives were furthered by the President, Jacob Zuma, in his State of the Nation Address (2009:4) as said:

> *'We will introduce a massive programme to build economic and social infrastructure, will build cohesive, caring and sustainable communities. We make a commitment that working together we will speed up economic growth and transform the economy to create decent work and sustainable livelihoods'. The ten priorities that we have identified, and the plans that we placed before the electorate, remain at the core of the programme of this government'.*

2.3. PROGRAMME FOR THE PROVISION OF SOCIAL AND ECONOMIC FACILITIES

As a result of the BNG policy launch in 2004, government issued a programme for provision of Social and Economic Facilities documented in the Simplified National Housing Code which serves as a directive to implement the BNG policy programmes (NHC, III, 2009:16).

Social and economic facilities are defined as facilities that provide basic amenities to communities which cannot be supplied directly to the individual dwelling unit and are therefore, supplied to communities in a collective fashion within the public environment (NHC, III, 2009:16).

The purpose of the programme is to provide socio-infrastructural services to existing and new low cost housing programmes. The objectives of the initiatives are to have a community in an integrated and sustainable human settlement.

The Housing Code set three socio-economic programmes, discussed below and included concrete procedural actions to achieve the programme objectives (NHC, III, 2009:13). These are:

2.3.1. Social development and capital

Social services planned to enhance existing and low cost housing programmes are the development of primary social amenities and community facilities such as parks; playgrounds; sports fields; crèches; community halls; taxi ranks and municipal clinics.

2.3.2. Economic development

To sustain the living conditions of the low cost housing beneficiaries with sustainable incomes, the programme aimed to develop trading areas and informal markets for small businesses, and to provide basic economic infrastructure such as transportation hubs. The Programme will fund the construction of approximately 10 to 12 hawker stalls with access to water and electricity on a pre-paid basis.

2.3.3. Job creation

The Programme supports job creation by promoting community based labour-intensive construction methodologies, which is an economic development strategy with its foundations in the Expanded Public Works Programme. Table 1 below summarised the BNG policy programmes and mechanisms aimed to fulfil the objectives of the BNG policy which are documented in the NHC (III, 2009:15).

Table 1: BNG Policy Intents

BNG socio-economic service interventions	**Implementation measures considered during the policy Development stages.**	**Proposed approaches and actions required to implement the BNG policy**
Social development through provision of social amenities and community facilities such as - Parks - Playgrounds - Sports fields - Crèches - Community halls - Taxi ranks and - Municipal clinics.	**PROJECT FUNDING:** - Project planning and management fees up to an amount not exceeding 14% of the project cost. - Funding will be secured by PDs from the annual allocation from the Integrated Housing and Human Settlement Development Grant by the Minister.	**GUIDELINES TO INITIATE FACILITIES:** - Phase one entails needs assessment of the community. - Phase two entails applying to the MEC for principle approval of, and funding reservation for the project. - Phase three is the final phase and entails final submission of a business plan and approval to the MEC
Economic development through provision of basic economic infrastructure such as: - Transportation hubs - Trading areas and - Informal markets.	**INSTITUTIONAL ARRANGEMENTS** - Municipalities act as developers. - In cases where a municipality is not able to take on the role as a developer, the PD may decide to	**MEMORANDUM OF UNDERSTANDING.** - Municipality should enter into a written agreement with the PD

	take over the developer role and execute the project on behalf of the municipality.	**MEASURING PROJECT PERFORMANCE** - Measure performance against the work plan and expenditure targets contained in the approved final business plan
Job Creation through Expanded Public Works Programme.	-	-

2.4. BNG POLICY IMPLEMENTATION MECHANISMS

The following are organizational mechanisms set to translate the BNG policy into practice in accordance with the NHC (III, 2009:15).

2.4.1. INSTITUTIONAL ARRANGEMENT/ ROLES AND RESPONSIBILITIES

The roles and functions of National, Provincial and Local Government are based on the principles of cooperative governance and subsidiary and the creation of partnerships between the different spheres of government. This implies that a role or a function should be performed at the level most suitable for the circumstances.

Responsibilities of Municipalities

Municipalities act as developers. It will be the responsibility of a municipality to consider whether the availability of, and need for, social and economic facilities in a community merits the submission of an application for assistance under the programme. If so, the relevant municipality should initiate, plan and formulate applications for projects related to the provision of social and economic infrastructure.

Responsibilities of Provincial Departments

Provincial Departments (PDs) are responsible for funding and the implementation of this programme in partnership with municipalities. PDs must do everything in their power to assist municipalities to achieve their obligations under this programme and assume the development responsibility of the municipality in cases where the municipality is clearly not able to fulfil its obligations under the Programme.

The policy states that the municipalities act as developers, but in cases where a municipality is unable to take on the role as developer due to insufficient capacity and expertise, the PD may decide to take over the developer role and execute the project on behalf of the municipality and should assist and augment the abilities of the municipality. The projects are undertaken on the basis of partnership and cooperative governance between the relevant municipality and the PD (NHC, III, 2009:20).

Responsibilities of National Departments

The National Department is responsible for maintaining the policy, programmes and assisting with the interpretation thereof, negotiating the allocation of funding for the programme and monitoring programme implementation.

2.4.2. FUNDING ALLOCATIONS

Funding for the implementation of National Housing Programmes is allocated to provincial governments by the Minister on an annual basis. Such funds are transferred to provinces in terms of the provisions of the prevailing Division of Revenue Act.

Project or specific programme funding will be prioritized and reserved by provincial governments from their annual funding allocation of the Integrated Housing and Human Settlement Redevelopment Grant by the Minister. Once a project has been approved, a grant will be made available to a municipality by a PD to undertake Phases 1 to 3.

2.4.3. MEMORANDUM OF UNDERSTANDING

Once a project has been approved and the PD has allocated the necessary funds, there must be a structured agreement, which among others, must address the matter of the municipality taking ownership and responsibility for the developed facilities. The municipality should enter into a written agreement with the PD.

Each agreement between a PD and a municipality should incorporate the approved final business plan as an annexure. The agreement should be signed on behalf of the PD by the Head of the Department and the Municipal Manager or other duly authorized representative.

2.4.4. MEASURING PROJECT PERFORMANCE

The approved business plan should be evaluated on the impact of projects for the provision of social and economic facilities: performance against the work plan and expenditure targets contained in the approved final business plan, should be measured through health indicators; economic activity; social capital and a decline in crime.

The sustainability of upgrading projects should be measured through the willingness and ability of residents to pay for the use of the social and economic facilities and the willingness and ability of government agencies to maintain and operate public infrastructure.

2.5. BNG POLICY IMPLEMENTATION APPROACH AND ACTIVITIES

It is suggested that projects for the provision of social and economic facilities and amenities be undertaken in phases. Phase one entails needs assessment of the community followed by a decision by the municipality on whether financial assistance will be required.

If the municipality decides that funding will be required, the municipality should move into phase two, which involves applying to the MEC for approval of, and funding reservation for the project.

The application is made by submitting an interim business plan. Phase three is the final phase and begins with the application for final approval of the project by means of submission of a final business plan.

Once a project has been finally approved by the MEC, the municipality will receive funding to implement the project, subject to the terms and conditions of this programme and any other terms which the MEC may see fit to impose.

2.6. BNG POLICY IMPLEMENTATION CHALLENGES AND ISSUES

It has been observed that policy outcomes are not always congruent with the original intention of the policy. It seems that the concept of implementation belongs to a set of concepts which are characterized by a surface clarity, but at the same time comprises a problematic deep structure (Lane, 1983:17).

Tshikotshi (2009:94) conducted a study on the challenges of eradicating informal settlements through relocation by 2014 at Seraleng Sustainable Human Settlements. Eradication of informal settlements is a key objective of the BNG policy. Tshikotshi revealed that upgrading of informal settlements programme failed to improve the living conditions of residents.

According to Tshikotshi (2009:94), reasons for this underperformance include lack of land; lack of basic infrastructure and services; unlawful occupation; lack of municipal capacity and planning; lack of understanding and interpretation of the housing policies leading to incorrect implementation of projects.

Tshikotshiôs literature review was drawn from the neo-liberal macroeconomic planning policies, self-help housing, site-and-services and settlement upgrading theories.

A survey type of research conducted by Smeddle-Thompson (2005: 74) on implementing sustainable human settlements revealed that the Department Human Settlements had not achieved their overall objectives of implementing integrated and sustainable human settlements.

Five major challenges identified by Smeddle-Thompson (2005: 74) were: lack of collaboration; integration and fragmentation; lack of available and affordable inner city land; the non-use of existing and new housing instruments and fiscal constraints.

Smeddle-Thompsonôs study explores housing and settlement delivery in the context of subsidized and low-income housing for the urban poor in South Africa, and analyses performance against objectives enshrined in the South African policy environment.

The literature review was drawn from sustainable cities and settlements theories. Though the studies reveal implementation challenges of some key objectives of the BNG policy, they do not address the root causes of the sub-standard policy implementation process, as basic requirements for effective policy implementation were not theoretically addressed.

2.7. POLICY IMPLEMENTATION ISSUES AND PERSPECTIVES FROM DIFFERENT AUTHORS

Prior knowledge for effective policy implementation is key for successful implementation. The main objectives of the study is to investigate the challenges of implementing the BNG policy, in an attempt to answer why it is not always possible to obtain perfect implementation, as well as to provide inputs, both theoretically and empirically, to be considered when implementing a joint policy like a BNG policy.

The study conducted by Khosa (2003:47) on bridging the gap between policy and implementation in South Africa, highlighted several key challenges of implementing socio-economic policies. Those who make decisions may lack capacity to implement them, efficacy of translating decisions into actions have been uneven overtime, capacity constraints and logistical issues as well as unrealistic optimistic policies play a part in policy failures (Khosa, 2003:47).

Colebatch (2002:53) found a number of issues weakening implementation of policies, for example, that the original decision was ambiguous; the policy directive conflicted with other policies; it was not seen as high priority; there were insufficient resources to carry it out; it proved in conflict with other significant players; the target group proved hard to reach; the things that were done did not have the expected impact; and circumstances change and attention shifts to other problems which made the original goals less important.

Wu, Ramesh, Howlett, and Fritzen (2010:2) explain a number of policy problems caused by the existence of fragmented policy world that ópolicy evaluation is rarely used for most policy decisions and when it is conducted, it is motivated by procedural requirements or narrow political considerations and therefore fails to contribute to continuous policy learningô Policies are formulated in order to secure the support of politically powerful groups at the expense of long-term public interests that are under-represented in the political system (Wu-*et al*, 2010:2).

Disagreements between different levels of government lead to contradictory agendas and finally, policies implemented by street level bureaucrats deviate considerably from what was envisaged at the policy formulation stage (Wu-*et al*, 2010:2).

Khoza (2003:8) suggests that understanding the relationship between policy and implementation requires an understanding of the policy-making. The public policy making process explains the phases of policy development and implementation actions. The intentions of policies are formulated and enacted by various kinds of actors in the political process.

What is an end or a means is an intentional object to some actor, which means that any complete implementation proposition must specify the actors involved in the process. These actors may be divided into two sets, the formulators and the implementers (Lane, 1983:20).

These phases embrace processes regarding how issues get on the agenda, followed by initiation or deciding to decide, then information assembly, followed by more precise formulation. After this, the phases include application and the implementation process. The last phase is policy assessment feedback which informs the decision makers on the effects of the policy and whether to terminate or maintain the policy (Hill & Hupe, 2002: 6).

2.8. PUBLIC POLICY MAKING PROCESS

Public policy is expressed in terms of legislations, plans, strategies and statements to address public issues. It is defined as a mechanism employed to allocate resources and realize societal goals (Cloete-*et a*l, 2000:14).

Smith (2005:1) notes that ópublic policy making is a problem solving activity that has three basic components: the problem; policy and players; and points out that a problem is something perceived to be wrong in a society; a policy is a goal with a plan of action to solve the problem and lastly, a player is an influential participant in the process.

Problems, policies and players function within political systems and public discourses to give those components their real meaning in particular contexts and situationsô. Various authors analyse policy process through a number of connected steps through which a policy process may pass.

Colebatch (2002:5) describes four successive stages of the policy process: determining goals; choosing courses of action; implementing these courses of action and evaluating the results. Colebatch (2002:5) reasons that authorised leaders determine the objectives they wish to achieve and then they select the courses of action which will realise these goals.

Other workers carry out the courses of action chosen and the outcomes of the decisions being implemented are then evaluated, and if necessary, the policy may be modified in light of the evaluation findings and recommendations.

Dubnick and Romzec, cited in Cloete-*et al* (2006:106) , define the ten stages in the process of policy making which consist of problem identification; problem articulation; agenda setting; policy formulation; policy legitimization; program design and development; programme implementation; programme evaluation; policy assessment and policy change.

All the models mentioned have stages through which the policy making process may pass. Anderson (2006:3) provides five stages of policy making which consist of problem identification and agenda formation; formulation; adoption; implementation and evaluation.

The study adopted Andersonôs five stages of policy making to describe the process of policy making in South Africa. Table 2 below summarised the five stages through which a policy making process has to go.

Table 2: The Policy Making Process

Policy terminology	Stage 1: Agenda Setting	Stage 2: Policy Formulation	Stage 3: Policy Adoption	Stage 4: Policy Implementation	Stage 5: Policy Evaluation
Definition	Those problems among many that receive the serious attention of public officials	Development of and pertinent acceptable proposed courses of action for dealing with a public problem	Development of purpose for a specific proposal so that a policy can be legitimized or authorized	Application of the policy by the governmentôs administrative machinery	Efforts by the government to determine whether the policy was effective and why or why not
Common sense	Getting the government to consider action on the problem	What is proposed to be done about the problem	Getting the government to accept a particular solution to the problem	Applying the governmentô ós policy to the problem	Did the policy work?

Source: Anderson, J.E, 2006:4

2.8.1. AGENDA SETTING

Agenda setting is the first and essential step in the policy formulation process. It involves identification of societal issues and defines a clear problem statement for consideration by policy makers.

Fischer, Miller, and Sidney (2007:63) define an agenda as ña collection of problems; understandings of causes; symbols; solutions; and other elements of public problems that come to the attention of members of the public and their governmental officialsò.

The overall goal is to identify policy issues and interventions perceived by citizens. Kingdonôs problem stream model emphasises that problems are defined by indicators which then establish the magnitude of the condition, and how these conditions are framed, can catch the decision makerôs attention (Kingdon, 2003:91).

Policy ideas are important because they identify alternatives for selection among competing issues and provide explanations about the expected effects of each alternative which provides decision makers with a comprehensive understanding of a problem. An insufficient explanation of a problemôs cause and effect lead to poor policy development and implementation.

Policy agenda setting is defined as a process of narrowing the set of subjects that could conceivably occupy government attention to the list on which they actually do focus (Kingdon, 2003:196).

Gerston (2004:7) argues that ñsociety benefits or suffers because of government activities and further recommends that it is vital for policy makers and policy receivers to understand the meaning and power of public policyò. The relationship between the community problems and government interventions is the key element of an agenda setting process.

Identification of policy issues

ñImbizoò is one of the most preferred mechanisms by government leaders to identify and collect policy issues in South Africa. It is a Zulu concept meaning gathering. Gumede, cited in Venter and Landsberg (2011:167), reasons that ñgovernment officials visit communities in their social context to understand the status of service delivery and to identify other pressing

issues concerning public servicesô. These direct interactions assist government officials to obtain facts about the policy being implemented which later can be used to inform decision making to enhance the policy, end it, or to introduce other related issues on the agenda.

Another useful method of identifying gaps or maintaining the existing policies is policy evaluation which aims to assess whether the policyôs interventions impact positively on the wellbeing of targeted citizens

Problems definition

Problem definition is the way in which the policy problem has been structured (as a need; opportunity; challenge or a threat). The problem structuring approach has a significant influence on the contents and processes of policy programmes designed to solve the problem (Cloete-*et al*, 2006:107).

Along these lines, Fischer-*et al* (2007: 71), further clarifies this problem structuring as óways in which a society and the various contending interests within it, structure and tell the stories about how problems come to be the way they are. This is done by defining problems and selling to a broad populationô.

Kingdon (2003:115) argues that in this stream, ideas are provided that are often important in the generation of proposals by policy specialists. The heart of the policy stream is to capture the attention of important people. The key players, according to Kingdon, are researchers; academics; planning and budget officers.

Their role is to articulate facts while pondering the issues and to arrive at one mutual solution of a problem (Kingdon, 2003:115). In South Africa, this process of analysing policy issues for consideration is driven by a number of Executive Committee Clusters:

Technical cluster discussion

Government officials and policy managers play a critical role in deciding which subjects or problems are to receive more detailed consideration. Once a department has prepared a policy proposal, it then tables the proposal, in the form of a draft memorandum, to the relevant Technical Cluster. The cluster consists of the head of departments; chief directors or individuals appointed on discretion of the HOD.

At this stage, the originating department gets a chance to engage other departments on the matter, prior to it being considered by Members of the Executive Council (MEC). HODs and other senior government officials then interrogate the matter thoroughly and all its implications to ensure that by the time it is considered by the MECôs, it is well deliberated upon (OOP, 2009:12).

Executive Council Clusters

Executive Council (EXCO) Clusters consist of MEC responsible for developing government policies, plans and determining government priorities. The EXCO Cluster provides a forum for more detailed consideration and discussion of issues before referral to the Council. Matters for decision by the EXCO are considered first by one or more Executive Council Clusters (OOP, 2009:13).

A memorandum plays a pivotal role in the decision-making process of the EXCO. It constitutes the key tool and mechanism of bringing written information, knowledge and policy advice to the attention of the Executive Council and obtaining the support of the Premier and Members of the Executive Council for a proposed course of action.

According to Gumede, cited in Venter and Landsberg (2011:173), when a change in policy is proposed, the government often first puts forward its proposals in a Green Paper, which is a discussion document on policy options and published for public comments.

2.8.2. POLICY FORMULATION

Policy formulation is a process of selecting a course of action among a set of alternatives identified at the policy definition stage. It means deciding on what is and is not a problem, choosing which problems to solve and deciding how to solve them to benefit society (Smith, 2005:1).

After a discussion document (a Green Paper) is examined by technical (HODôs) and Executive Council (MECôs) clusters and has received inputs from various stakeholders, MEC and officials within the department concerned may draft a refined discussion document called a White Paper. Again inputs will be invited from various interested parties. Once the policy proposal has gone through the stages referred above, it is brought to the Council, for a

decision to be made. At the Council stage, the matter is presented by the Chairperson of the relevant Executive Council Cluster. The Council assesses the policy, looking at the benefits the policy will yield and then takes a decision on the matter, which then becomes a Bill.

2.8.3. POLICY ADOPTION

The decision taken concerning the formulated policy will then culminate in the development of a Government Programme of Action and the Medium Term Strategic Framework (MTSF). According to Gumede (2008:5), these have contributed to the identification and promotion of developmental goals in a more coherent manner.

MTSF is the key output of a broader planning framework and is intended to direct planning; budgeting; implementation and resource allocation across all spheres of Government (Gumede, 2008:16).

MTSF and the programme of action denote the agenda setting event. The President Speech agenda is based on a set of prioritized policies and programmes which aim to meet the future needs of the citizens and to provide a sense of direction for the current administration.

The purpose of this speech is to broadcast developmental frameworks to the nation and government officials through television and radio on which later the government departments then base their planning and strategic plans on the determined priorities and programmes of action. These key policy priorities are translated into policies and programmes which are implemented by the various departments and agencies (Gumede, 2008: 16).

2.8.4. POLICY IMPLEMENTATION

Implementation is considered one of the most critical and difficult stages in the policy process. Implementation is the vital stage in the policy process in which public policy decisions are translated into action by organized institutions. John (2011:4) defines bureaucracy as ótthe public organization that implements decisions made by politicians and otherwise acts on behalf of the citizens living in jurisdictionô. Policy involves ends and means and implementation is the employment of the means to achieve the ends (Lane, 1983:19). The core of this study is based on this phase.

To speak of interventions is therefore, to bring to mind what already exists, and into which the policy will intervene. The minute a solution is invented, the policy problems become how to pay for and regulate it (Considine, 2005:21). The budget exemplifies these regular workaday processes.

Smith (2005: 6) argues that the budget is not the policy itself, but rather an intentionally persuasive document composed by directors that argue for objectives based on the priorities, and proposes funding allocations to accomplish the set priorities. Mazmanian and Sabatier (1989:21) define implementation as the:

> ócarrying out of a basic policy decision usually incorporated in a statute but which can also take the form of important executive orders or court decisions. Ideally, that decision identifies the problems to be addressed, stipulates the objectives to be pursued and in a variety of ways ñstructuresò the implementation process. The process normally runs through a number of stages beginning with passage of the basic statute, followed by the policy outputs (decisions) of the implementing agencies, the compliance of target groups with those decisions, the actual impacts both intended and unintended of those outputs, the perceived impacts of agency decisions and finally, important revisions (or attempted in the basic statute)ô

2.8.5. POLICY EVALUATIONS

Policy evaluation is defined as a process of measuring the impact of policies on society in relation to the problem being addressed (Sapru, 1994:115). Colebatch (2002:54) points out that in the policy cycle model, evaluation completes the cycle. It enables policy makers to know to what extent they are achieving their objectives and to act accordingly.

2.9. ANALYTICAL APPROACHES TO POLICY IMPLEMENTATION PROCESS

Christopher Hood, cited in Hill and Hupe (2002:50), advises that óone way of analyzing implementation problems is to begin by thinking about what perfect administration would be like, comparable to the way in which economists employ the model of perfect competitionô

He further defines perfect administration as a condition in which external elements of resource availability and political acceptability are combined with administration to produce perfect policy implementation. Colebatch (2002:73) assert that ópolicy is about organizationô

The secret to the effective use of the bureaucracy tool is the management of organizational capacity which is how bureaucracies are structured and coordinated so as to work effectively. John (2011:64) agrees that ôbureaucracy is the means whereby society seeks to achieve its objectives through control, organization and central directionõ.

2.9.1. The top-down policy implementation approach

Colebatch (2002:8) described the three core assumptions in which the role of the top down approach should emerge based on the social order of a policy: hierarchy; organisation as an instrument; and lastly, coherence as an order.

Hierarchy as a first assumption assumes that ôgoverning flows from people at the top giving instructionsõ. What the organization does is explained by the choices of these leaders. In this perspective, public organizations exist to achieve objectives in particular areas to improve the welfare of the people.

Policy, therefore, is seen as an authoritative determination of what will be done in some particular area, so that the various participants do not go their own way. ôAll the bids of the action fit together and form part of an organized whole of, a single system, policy in this context, has to do with how this system is steeredõ (Colebatch, 2002:9).

In addition, Howlett and Ramesh (2003:189), argue that the ôtop down approach was quite useful in setting out a variety of managerial and organisational design principles of administration, which were expected to generate an optimal match between political intent and administrative actionõ. Peters and Pierre (2007: 132) observe that the ôpredominant top-down approach focuses on specific political decisions against the backdrop of its official purposeõ.

However, the model is criticized for being too idealistic as it does not take into consideration the roles of policy implementers assuming that clear instructions, roles and law enforcement from top officials will lead to effective implementation of a policy or program. Mazmanian and Sabatier argue that ômuch of bureaucratic behaviour may be explained by the legal structure, or lack of such structure, imposed by . . . relevant statutesõ.

The underlying value of this approach is that ósinsofar as possible, policy decisions in a democracy ought to be made by elected representatives rather than by civil servantsô (Mazmanian and Sabatier, 1989: 43).

2.9.2. The bottom-up model approach

The bottom-up approach begins at the other end of the implementation chain of command and urges that the activities of the so called street level implementers be fully taken into account (Howlett and Ramesh, 2003:190).

The bottom up approach offers a participatory methodology that can help implementing officials and policy makers to develop programme systems that can meet both accountability and learning needs. This approach recognises that officials at lower levels play an active part in implementation and have some discretion to set objectives of the policy and restructure the way it should be implemented.

Sabatier, cited in Howlett and Ramesh (2003:190), argue that óthese two approaches are not contradictory but are complementary and moreover, the two approaches provide better insights into policy implementation than either does on its ownô.

Winter, cited in Hill and Hupe (2002:58), argue that the top-down and bottom-up perspectives were useful in drawing attention to the fact that both top-down and bottom-up approach play important roles in the implementation process, but in the long run the battle between the two approaches was not fruitful.

2.9.3. New Public Management implementation approach

Public management approach is defined by Pollitt and Bouchaert (2011:2) as ódeliberate changes to the structures and processes of public sector organizations with the objective of getting them to run betterô.

In essence, NPM means a top management is introduced; performance targets are set up; management appraisals are geared to the achievement of these targets; new working methods are introduced; staff is reassigned; new training is conducted and measured performance improves (Pollitt and Bouchaert, 2011:17). The model is predominantly a top down approach

as it tends to begin at upper, rather than the lower reaches of governance but which allows for a measure of choice as to the specific instruments and techniques which are chosen. John (2011: 72) points out a number of negative claims concerning the NPM model and that it means:

> órushed reforms that lose the acquired wisdom of bureaucracies, disrupting stable and effective systems of management and putting in place something untried and untested, it gives too much power to overambitious managers, new public management removes the mechanisms that ensure probity and the following of procedures, which at best leads to incoherence but at worst, can encourage corruption, a loss of control such as through contracting services to the private sector, organizational capacity such as the breakup of the public sector, the loss of morale and the undermining of the public service ethos- the values that draw people into public service and motivate them to work much harder than one would expect for the rewards they getô

The question remains whether the reform of the public sector, targeted against traditional hierarchical structures, has benefits for the wider society (John, 2011:74). Pollitt, cited in John (2011:74), argues that ót would require complicated before and after studies, with all the costs identified as well as the benefitsô

2.10. THEORETICAL FRAMEWORK

Hogwood and Gunn (1984)ôs theoretical framework of perfect implementation was applied to analyse the challenges of implementing BNG policy in the NW Province. The purpose of a theoretical framework is to analyse the empirical reality to existing theories in order to identify and formulate central propositions as well as to sort and direct data, which then facilitates interpretation and analysis (Versluis, Van Keulen and Stephen, 2010:24).

The conceptual framework (Hogwood and Gunn, 1984:199) provides ten preconditions which should be considered when examining policy for perfect implementation. Table 3 below summarized the ten preconditions of the theoretical framework.

Table 3: Hogwood and Gunn's theoretical framework

Hogwood and Gunnôs 10 preconditions for implementation

Preconditions	**Descriptions**
External constraints	Circumstances external to the implementing agency do not impose crippling constraints
Time and resources	Adequate time and sufficient resources are made available to the programme
Resource combination	The required combination of resources is available

Hogwood and Gunnôs 10 preconditions for implementation

Preconditions	Descriptions
Theory-based policy	The policy to be implemented is based on a valid theory of cause and effect
Cause/effect relations	The relationship between cause and effect is direct and that there are few, if any, intervening links
Dependency relationships	The dependency relationships are minimal
Agreements of objectives	There is agreement of, and understanding on, objectives
Events sequencing	The tasks are fully specified in correct sequence
Communication/coordination	There is perfect communication and coordination
Total compliance	Those in authority can demand and obtain perfect compliance

This perfect implementation framework suggests that the external circumstances beyond the implementing agency should be analysed to minimize crippling constraints. That in the implementation plan of the policy, the combination of resources as well as adequate time and sufficient resources is made available based on a valid theory of cause and effect that links understanding of the agreement and the objectives to the various elements of the policy programme.

The framework further emphasises that in the development and implementation of the policy, intervening stakeholders be identified and possibly specifies in complete detail and perfect sequence, the tasks to be performed by each participant, as well as perfect communication and coordination among them. And lastly, those in authority can demand and obtain perfect compliance.

2.11. SUMMARY OF CHAPTER TWO

This chapter elaborated on key legislative frameworks which informed development of the BNG policy and explained in detail the context and contents of the BNG policy. Literature from different authors was reviewed in order to have a thorough understanding of the challenges and issues that can impede implementation of the BNG policy. Literature regarding policy making process and issues involved in policy implementation as well as approaches to policy implementation were reviewed. An attempt was also made to describe the theoretical framework of perfect implementation guiding this study. The next chapter sets down the processes and methods used to collect and analyse data and explains the research sites and participants.

CHAPTER THREE

3. RESEARCH METHODOLOGY

3.1. INTRODUCTION

Chapter one and two laid some fundamental grounds for the study. Chapter three deals with methodology used for the study. The purpose of this chapter is to describe how the study was carried out.

Research methodology is a process of collecting; analysing and interpreting the collected data. It specifies who, and, what the events are to be studied, settings and processes considered in the study as well as the outcomes of the study (Sarantakos, 1998:106).

This chapter explains the data collection methods; research site of the study; ethical considerations and research quality as well as the limitations that were faced during data collection.

3.2. RESEARCH APPROACH

Based on the research question for this study, ówhat are the challenges impeding effective implementation of the BNG policy in the North West Provinceô, the study pursued an explanatory type of research. It means the research in question is intended to explain, rather than to explore or describe the unit of analysis studied.

According to Yin (2009:9), an explanatory type of research deals with operational links needing to be traced overtime. Consequently, a qualitative research method was adopted to understand the challenges and issues involved in the implementation of the BNG policy.

Qualitative methods help the researcher to understand more about peopleôs experiences or institutions, why things are the way they are. Leedy and Ormrod, (2010:136), point out that with qualitative research methods, the researcher may gain new insights into particular phenomena, develop new theoretical perspectives and discover the problems that exist within the phenomena.

3.3. DATA COLLECTION METHODS

Data collection methods are used to source data from units of analysis with the aim of responding to the research questions. Data is sourced through instruments like questionnaires, observations and interview schedules (Mouton, 2001:100).

The study used in-depth interviews and analysed secondary data to gain a comprehensive understanding of the problem being studied, which is to identify the challenges of implementing the BNG policy in the North West Province. Each method is explained in detail below.

3.3.1. In-depth interviews

Interviews are verbal interaction between the researcher and respondents. Goddard and Melville (2001:49) argue that ótthe advantage of interviews over questionnaires is that, a researcher can ask the respondent to clarify unclear answers and can follow up on interesting answersô.

An in-depth interview guide attached in the annexures was utilized to fulfil the three objectives of the research study which were to find out the challenges of implementing the BNG policy in the NW Province, to analyse the approaches and actions taken to implement the BNG policy and to outline mechanisms to improve the policy implementation process.

3.3.2. Use of documentation

BNG policy documents, programme of action speeches, strategic planning documents and acts were reviewed. According to Yin (2009:103), documents are useful to validate data sourced through interviews and to give a picture about relationships between social institutions. Programme of action speeches, planning documents and interview data were compared and conclusions were drawn.

3.4. RESEARCH SITE AND SAMPLING

The research site is a specific analytical unit where the research study can be conducted. Berg (2007:283) defines a case study as a ómethod used to conduct an in-depth investigation of an issue at a specific location involving systematically gathering enough information about a

particular person, social setting, event, or group to permit the researcher to effectively understand how the subject operates or functionsô. In the same way, the study was conducted in Mahikeng, the capital of the North West Province, where provincial government departments are based. The five institutions selected were Department of Human Settlements, DSAC, North West Provincial Legislature, Mahikeng Local Municipality and Ngaka Modiri Molema District Municipality.

The study employed judgemental sampling to identify interview participants. Judgemental also called purposeful sampling is described by Kumar (2011:207) as a method in which a researcher selects a predetermined number of people who are best positioned to provide the needed information for the study.

The primary consideration in purposive sampling is ñjudgementò as to who can provide the best information to achieve the objectives of the study (Kumar, 2011:207). The researcher selected Directors and Deputy Directors working at the institutions named above to explain the challenges of implementing the BNG policy in the province and to suggest mechanisms to consider when implementing a joint policy for future reference.

The roles of the officials are listed on Table 4 below. The table presents the data collection sites and the number of participants who took part in the in-depth interview.

Table 4: Data Collection Sites

INSTITUTIONS	PARTICIPANTS
Department of Human Settlements.	- Director : MECôs Office - Director : Planning, Policy and Research - Directors from districts : Housing Development
DSAC	- Director : Planning - Director : Research - Director : Infrastructure
Ngaka Modiri Molema District Municipality	- Manager : LED - Manager : IDP - Manager: Project Implementation
Mahikeng Local Municipality	- Manager : LED - Manager : IDP - Manager : Development and Planning
NW Provincial Legislature	- Portfolio Committee Members for DHS
Total number of participants	18 Participants

The following paragraphs provide an explanation of each of the responsibilities of the participants and their relevance to the study.

3.4.1. Officials from the MEC Office

The office provides political mandate, leadership and strategic direction to the DHS. The office ensures that the national housing programmes stipulated in the Housing Act and other national programmes of actions are implemented.

It is therefore their duty to direct and influence actions to housing programmes, motivate, demand performance and provide punitive measures when programmes are not implemented as directed.

The study investigates the challenges faced by the Department of Human Settlements in delivering integrated socio-economic services where low cost housing programmes are implemented. Based on their legitimized political role, the office is relevant to explain the challenges of implementing the BNG policy in the Province.

3.4.2. Planning, Policy, Research and Technical Services Unit

The objective of this unit is to provide strategic direction and support on issues pertaining to housing policies, planning and research. It ensures that policies are translated into programmes and projects by informing the Housing Development Unit on the number of houses needed in the province and also on the housing gaps in the province. Officials in this unit are better positioned to highlight issues pertaining to planning of the BNG policy in the department.

3.4.3. Officials from Housing Development Unit

The Housing Development unit is responsible for housing provisions and for supporting the department's various community projects. The unit provides habitable and sustainable human settlements housing through upgrading of informal settlements, construction of low cost houses, basic services, rectification of existing houses and provision of social, rental and rural housing programmes. It consists of four directors responsible for managing housing projects for four districts in the province.

3.4.4. Officials from the Municipalities

The study selected three officials from each of the two selected municipalities who form part of the IDP Technical Committee (LED, IDP, infrastructure, development and planning) within these municipalities. The officials are responsible for the preparation of project proposals, the integration of projects and for submission to the municipal council for approval.

The officials therefore ensure the validity and technical correctness of the information of the IDP policies; objectives; strategies and projects into the daily functioning and planning of the municipality. The IDP is a principle strategic document, which guides and informs all planning; management; investment; development and implementation decisions within a municipality.

3.4.5. Officials from the NW Provincial Legislature

In terms of the Constitution of the Republic of South Africa of 1996 and Parliamentary Rules, the Portfolio Committee on Human Settlements has a responsibility to conduct oversight over programmes and projects of the Department of Human Settlements.

The Committee also monitors progress made on housing programmes, identifies challenges in the implementation processes and provides corrective actions. Officials are vital to the study based on their legitimate oversight responsibility.

3.4.6. Officials from DSAC

Playgrounds and sports fields are among the social services recommended at the NHC of 2009 which falls within the ambit of DSAC. Directors and deputy directors responsible for planning and infrastructure were selected to shed light on their activities pertaining to implementation of the BNG policy.

3.5. METHODS OF DATA ANALYSIS

Data analysis is a process of ôbreaking down the data into manageable themes to understand relationships between concepts, constructs and to see whether there are any patterns that can be identified to establish themes in the dataô (Mouton, 2001:108). Data collected from the

interviews and documents were analyzed using the content analysis method. It is a passport to listening to the words of the text and understanding better the perspectives of the producer of these words (Berg, 2007: 308). It is based on the premise that the many words from interviews can be reduced to categories in which words share the same meaning or connotation.

First, the purpose of analysing data was to examine the interview results at the level of the research objectives of this study. Data collection and analysis were done concurrently. At the beginning, the research interview guide was developed with probing ideas and themes coded under each category with the aim of assisting the researcher to easily collect and analyse data simultaneously.

Second, all data interviews were read and reread to identify trends and patterns that keep on recurring within one category of the interview guide and among various categories of interview guides in the study.

All data relevant to each category were identified, scrutinized and triangulated with the rest of the data to establish findings. Triangulation means using more than one method to open up several perspectives for promoting quality in qualitative research compared to a single method (Flick, 2007:54).

The value of triangulation lies in providing evidence, whether convergent, consistent, or contradictory, such that the researcher can construct good explanations of the social phenomena from which they arise (Mathison, 1988: 15). Third, findings from interviews and documents analysis where then compared to identify variances of each method (Sarantakos, 1998:169).

Lastly, findings from the DHS were contradictory, in particular, the issue of communication. DHS participants argued that partner institutions are aware of their implementation roles, as expectations were clearly communicated to them through EXCO meetings, but at the same time, they acknowledged inadequate communication from their side to win the commitment of their stakeholders.

Planning documents of the DHS, DSAC and the municipalities were inconsistent, the roles and responsibilities were misinterpreted by the two leading institutions, DHS and Mahikeng Local Municipality.

3.6. ETHICAL CONSIDERATIONS

The study maintained ethical concerns during and after data collection. In social research, ethical issues mean ógeneral agreements shared by the researcher about what is proper or improper, in the conduct of scientific inquiryô (Babbie, 1998:438).

Participants were informed about the aim of the investigation, why they were selected and were also asked if they are interested in participating in the study. In addition, the respondents were told they had a right not to participate in the study.

The respondents were protected from physical and emotional harm. Anonymity and confidentiality were maintained (Babbie, 1998:438). Approval for participation in this study by respondents was granted by administrative heads of the selected institutions.

3.7. RELIABILITY AND VALIDITY OF DATA

Reliability aims at making the production of data more transparent, so that readers can check what is still a statement of the interviewee as well as what is already an interpretation by the researcher (Flick, 2007:16).

As far as validating is concerned, the analysed results were taken back to the interview participants, to reconfirm and ensure completeness of the research findings. A triangulation method was applied to multiple sources as well as site visits. This was conducted to ensure trustworthiness and credibility of the information collected.

Data collections were limited to two provincial institutions, two municipalities as well as the NW Provincial Legislature. While these selected institutions may not have represented the whole provincesô experiences, policy implementation challenges and administrative issues are a concern to other departments and provinces.

Interviewed participants provided invaluable information on the major challenges facing the province on implementation of the BNG policy. The results of the study are transferable to other provinces for policy implementation reference.

3.8. LIMITATIONS OF THE STUDY

Key limitations were access to the municipal officials. Despite receiving the letter of support from the Municipal Manager, it remained difficult to get appointments due to their strategic meetings of planning makgotlas at the time of data collection.

One of the weaknesses of the qualitative research, according to Chadwick, Bahr and Albrecht, cited in Sarantakos (1998:53), is the risk of collecting meaningless and useless information.

The limitation was conquered by conducting pre-study interviews with two deputy directors at DHS. The exercise provided invaluable feedback for the development of suitable questions for main interviews.

Another limitation was the tape recorder used to tape the respondents. Recorded responses could not be uploaded on the laptop, as such a lot of time was consumed in listening and writing down the responses.

3.9.SUMMARY OF CHAPTER THREE

This chapter highlighted the methodology that guided this study. In order to explain the meanings behind the institutionôs activities, qualitative research was chosen. This chapter also gave an in-depth rationale for the selection of the case studies and reasons were provided to justify the relevance of the institutions identified in the study.

Data was analysed using content analysis and triangulation. All these efforts were geared towards identifying the challenges impeding the implementation of the BNG policy in the NW Province.

The chapter also discussed how ethical considerations were maintained and how research findings were validated as well as the limitations of the study. In the next chapter, findings of the data collected through interviews and document analysis are presented.

CHAPTER FOUR

4. PRESENTATION OF RESEARCH FINDINGS

4.1. INTRODUCTION

In chapter one, section 1.5 and chapter three, sections 3.2 to 3.4, the methods used for collection of data were described. Furthermore, the methods for data analysis were discussed under section 3.5 in chapter three. All these methods have been conveyed in chapter four and five to discuss and analyse research results.

Chapter four presents findings to answer the research questions set for the study. Data was collected through in-depth interview and secondary data was examined to extract the major challenges of implementing the BNG policy in the North West Province. The theoretical framework of Hogwood and Gunn (1984) was applied in this study and includes ten preconditions of perfect implementation.

The findings of the study are categorized into two phases, which are, factors impeding perfect implementation of the BNG policy, as well as approaches and actual actions taken to implement the policy. Hogwood and Gunnôs (1984:199) theoretical framework is explained in each precondition. There were several recurring gaps and major challenges identified during the course of the interviews.

The chapter starts by explaining the background information of the respondents and ends with an analysis of the approaches and actual actions taken to implement the BNG policy in the NW Province.

4.2. BACKGROUND INFORMATION OF THE RESPONDENTS

In total, 18 respondents participated in the in-depth interviews and they were from DHS; DSAC; NW Provincial Legislature; Mahikeng Local Municipality and Ngaka Modiri Molema District Municipality. Six officials were from Department of Human Settlements, four are district managers responsible for housing development and are representing the four districts in the province, namely, Dr. Kenneth Kaunda, Dr. Ruth Mompati, Ngaka Modiri

Molema and Bojanala District, one is a director in the office of the MEC and the last one is a deputy director responsible for Housing needs, research, planning and technical services.

Three respondents were from Ngaka Modiri Molema District Municipality, representing Local Government and responsible for development and implementation of the IDP. Three more officials were from Mahikeng Local Municipality, representing communities in Ngaka Modiri Molema District. The officials are responsible for Local Economic Development, development and implementation of the IDP.

The last group were three Portfolio Committee members from NW Provincial Legislature, responsible for conducting oversight responsibility over the functions of the DHS. Respondents were selected based on their experience in policy making; oversight function; planning; programme and project implementation; as well as their cross-cutting responsibilities contained in the BNG policy. All the respondents were based at the Head Office in Mahikeng, the capital of the NW Province. Table 5 below summarised the background information of respondents.

Table 5: Background Information of Respondents

The people's categories	Nature of work	Position	YRS of service	Gender		Total
Officials from DHS	The MEC Office provide political mandate, leadership and strategic direction.	Director	- 8 Yrs	M		1
	Housing development programmes and project implementation	Directors	- 15 Yrs - 8 Yrs - 6 Yrs - 6 Yrs	M		4
	Identify housing needs, research, planning and technical services	Deputy Director	- 7 Yrs		F	1
NW Legislature	Conduct oversight over DHS	Portfolio Committee on Human Settlements	- 22 Yrs - 19 Yrs - 20 Yrs	M		3
Officials from Ngaka Modiri Molema District Municipality	Develop and implement IDP decisions within the municipality	Managers	- 10 Yrs - 7 Yrs - 3 Yrs	M		3
Officials from Mahikeng local Municipality	Develop and implement IDP decisions within the Municipality	Managers	- Yrs - 7 Yrs - 3 Yrs	M		3
Officials from DSAC	Develop strategic plan documents and monitor implementation of programmes and projects.	Director and Deputy directors.	- 12 Yrs - 17Yrs - 6 Yrs	M		3
Total				17	1	18

All respondents were contacted beforehand by telephone. An appointment for the in-depth interview together with the consent letter was e-mailed. Formal consent was made with all respondents before conducting the in-depth interviews. Interviewed respondents were informed that the interview would be audio recorded, and that their names would remain confidential.

The interviews took place in the offices of the officials and the average duration of the interviews was 45 minutes. Interviews were coded manually, drawing on specific themes, ideas and expressions. A semi-structured interview guide was used as a tool to aid the researcher during interviews. The interview guide focused on the context of BNG policy; actors and their responsibilities; implementation mechanisms; successes of the BNG policy implementation; major challenges experienced, and recommendations.

4.3. RESEARCH FINDINGS

Several questions were asked to elicit and capture the major challenges impeding implementation of the BNG policy in the NW Province. The results were analysed using Hogwood and Gunnôs (1984:199) perfect preconditions of successful policy implementation displayed in Table 6 below. The table summarised the findings according to which the implementation of the BNG policy met the preconditions of perfect implementation. Each precondition and finding is thoroughly discussed below.

Table 6: Summarized findings of the BNG Policy

Hogwood and Gunn's preconditions.	**BNG policy implementation challenges.**
- External constraints.	Insufficient political will to influence policy implementation actions.
- Adequate time and resources.	Inadequate time to conduct pre-planning of the implementation of the BNG policy and non-allocation of resources.
- Required combination of resources.	Combined resources such as strategic plans, personnel, technical expertise and new systems were insufficient.
- Policy based on a valid theory.	Gaps coming from the RDP, ten-year government review and old provision of housing legislations constituted development of the BNG policy.
- Clear cause and effect relationship.	Operational activities to effect implementation were misinterpreted by the DHS and municipal officials.
- Minimal dependency relationships.	BNG policy is a joint programme that cuts across many departments such as DSAC and Health,

	therefore failed to meet the precondition.
Understanding and agreement of objectives.	Policy objectives were not agreed by all stakeholders involved in implementation. The roles and responsibilities were misinterpreted.
Sequencing of events.	Policy objectives were not agreed as a result, the roles and schedule of works were not planned.
Communication and coordination.	Inadequate communication and coordination by the DHS distanced participation of partner institutions in planning, implementation and awareness of the objectives of the BNG policy.
Total compliance.	The element of policy enforcement and compliance was not documented in the BNG policy and National Housing Code, this needs attention.

It emerged from the study that the BNG policy was never implemented in the provincial departments and municipalities in the NW Province. This statement was pointed out by respondents when they were asked to mention the delivered infrastructural socio-economic services to newly low cost housing programmes, which were developed after the announcement of the BNG policy in 2005.

All the respondents cited that services like taxi ranks; clinics; sport facilities; parks and job creations; as recommended by NHC were not delivered in new low cost housing developments. A senior official from DHS said:

> *'The department continues to deliver housing programmes with no integrated services because the function of provisioning of socio-economic services lies with municipalities and with the great number of housing backlogs facing the province , we are pressured to deliver houses without those services'.*

At this juncture, the study will give attention to discussing the 10 preconditions to the findings of the implementation of the BNG policy.

4.3.1. EXTERNAL CONSTRAINTS

The precondition of external constraints suggests that an implementing agency must first analyse the external circumstances of the policy being implemented, to ensure that crippling constraints are borne in mind during the policy making stage. For example, the policy may be unacceptable to various interests, which have the power to veto them (Hogwood and Gunn, 1984:199). It was clear from the study that implementation analysis of the policy in terms of

what is required to implement the policy was never conducted. All respondents were aware that the BNG policy consists of numerous objectives that cut across multiple organizations. This means communication was the first precondition which needed to be assessed if perfect implementation was to be achieved. In all the questions relating to policy implementation mechanisms, it emerged that tactics to implement the policy were absolutely insufficient, which proved the unwillingness and non-commitment by stakeholders.

Based on the socio-economic services documented in the NHC of 2009 (parks; playgrounds; sports fields; crèches; community halls; taxi ranks and trading areas), DHS, DSAC, Municipalities, Department of Economic, Development Environment and Tourism (DEDET) and Health are the implementing institutions of the BNG policy. Due to inadequate communication, it is not clear whether these institutions were subject to veto implementation of the BNG policy.

In probing major factors constraining the implementation of the BNG policy, all respondents complained about inadequate communication among themselves. In particular, the blame was pointed to the MECs and HODs of the institutions involved. Officials from DHS said:

> *'We pursue a mandate that totally depends on other institutions' budget and operations, in our capacity as managers, we cannot solicit buy-in from those institutions involved, only the MECs and the HODs can do that'.*

This quotes highlights that the DHS is not administratively responsible to initiate projects, but it relies on other departments to initiate projects, which denotes communication as the first tool to move the implementation of BNG off the ground. The respondents from municipalities cited the same challenge as they were noted saying:

> ó*Our main challenge that holds back service delivery is non-participation of partner institutions in the IDP planning makgotlas and even those who participate, offer empty promises'. We seek interventions in a form of recommendations to the Municipal Manager and the Mayor, nothing happens'.*

It emerged from the respondents that perfect communication was not achieved. These show that political will, combined with the proficient administration required to effectively implement the BNG, was lacking at the institutional setting. This was confirmed by members of Human Settlements Portfolio Committee when they attest that ó*major challenges blocking implementation is insufficient knowledge by both top officials down to executing officials'.*

This statement was further echoed by another Portfolio Committee Member when he said ó*we experience cut and paste of targets in planning documents, this tells you that there are no meaningful inputs into planning documents- hence it is rare to find policy outcomes'*.

These statements attest that the political will to direct the implementation of the BNG policy was inadequate, and also, the knowledge of officials to initiate execution plans and engage top executives to have their support on matters not workable to them, was insufficient.

Wu-*et al* (2010:76) emphasize that ócoordination must overcome several common obstacles, the perceived threat that agencies may feel to their autonomy from working together; the confusion or conflict over the nature of the task that stems from the inherently complicated multi-sectoral nature of goal settingô.

4.3.2. ADEQUATE TIME AND REQUIRED COMBINATION OF RESOURCES

According to Hogwood and Gunn (1984:200), the preconditions suggest that the timeframe and sufficient resources should be made available at the right time in the process of implementation.

> óHowever, policies which are physically or politically feasible may still fail to achieve stated intentions. A common reason is that politicians sometimes will the policy ñendò but not the ñmeansò, so that expenditure restrictions may starve a statutory programme of adequate resources. This follows on the previous statement that at each stage in the implementation process, the appropriate combination of resources must actually be made available. In practise, bottlenecks often occur when a combination of money, manpower and equipment has to come together for execution, but one or more of these is delayed and as a result the project as a whole is set back by several monthsô.

The precondition is centred on the means to achieve the end. The BNG policy states that óthe National and Provincial housing departments are to develop transformation plans including the projected costs that are to be reflected in the MTEF beginning of 2005/06 financial years. And that implementation will commence on 1 April 2005ô (BNG, 2004:22).

Based on the above statement of developing transformation plans aligned to MTEF, respondents were asked to explain the mechanisms deployed to implement the policy as announced by the President; Minister; Premier and the MEC through their budget speeches. All the respondents said resources were not allocated, giving various reasons for this barrier. DSAC respondents said:

> *'Due to lack of proper coordination by the lead department, we were unable to structure implementation plan in terms of what resources (people, operational systems, equipments, activities and the costs) are required to execute the objectives of the BNG policy'. As a result, they cannot be budgeted for if they are not in the department's APP'.*

DHS respondents argued ó*there are no resources allocated for implementation of this policy, because the function is with municipalities'*. As for Portfolio Committee Members, unstable departmental leadership was cited as a great challenge hindering effective implementation of the policy. The Committee was concerned about the number of HODs acting in their positions, that they have different agendas and also weaken the accountability process.

The Portfolio Committee also commented on insufficient expertise such as analytical thinking; knowledge; planning; project and financial management impeding implementation. Based on these remarks uttered by respondents, it is apparent that the policy was not implemented as resources were not allocated.

The preconditions suggest that if a policy is to be effectively implemented, plans; funds; communication and equipment ought to reinforce one another in meeting the objectives, in that manner, synergy can be achieved between required combinations of resources vital for successful implementation.

4.3.3. POLICY IS BASED ON A VALID THEORY OF CAUSE AND EFFECT

This precondition suggests that development of policies should be informed by a thorough understanding of a problem being addressed. Hogwood and Gunn (201:1984) argue that

> ôPolicies are sometimes ineffective not because they are badly implemented, but because they are bad policies. That is, the policy may be based upon an inadequate understanding of a problem to be solved, its causes and cureõ Bardach, cited in Hogwood and Gunn (201:1984), advises that óproblem of implementation can only be tackled by better analysis at the issue definition and options analysis stages of the policy making process. The difficulties of such analysis should not be underestimated, given the limits of our ability to understand and solve complex socio-economic problems, especially that the government tends to get landed with the most difficult problems with which no one else has been able to copeõ

Responding to the factors that initiated the establishment and enactment of the BNG policy, all respondents agreed that the BNG policy is a good policy that aims to uproot the facets of poverty. The context and objectives of the BNG policy was clear to all the respondents. A

senior government official from DHS who was involved in the policy development process shed some light on it, saying,

> *'BNG policy deals with issues of integration and sustainability'. 'It mainly ensures that there are no longer single housing units that will be built without services, it must be a comprehensive development'.*

Portfolio Committee Members added:

> *'The main reason why BNG policy was initiated, was to address the gaps coming from the old provision of housing legislations as RDP were stand- alone housing structures built far from communities and social services'.*

Though the cause and effects of the BNG policy were clear to the majority of respondents, the BNG policy failed to yield intended results as planned.

4.3.4. CLEAR CAUSE AND EFFECT RELATIONSHIP

This precondition requires that the relationship between the means and ends be direct and few to accomplish the policy objectives. Pressman and Wildavsky, cited in Hogwood and Gunn (1984:202), argue that:

> ôPolicies which depend upon a long sequence of cause and effect relationships have a particular tendency to break down, since the longer the chain of causality, the more numerous the reciprocal relationships among the links and the more complex implementation becomesô. In other words, the more links in the chain, the greater the risk that some of them will prove to be poorly conceived or badly executedô.

It emerged from the study that implementation of the BNG policy involves multiple organisations. This means that more links in the chain of implementation were bound to occur. Links such as allocation and distribution of resources, agreement of objectives and roles were not understood by stakeholders.

4.3.5. MINIMAL DEPENDENCY RELATIONSHIPS

The study revealed that the BNG policy is a joint programme that involves multi-organisations. As such, the dependency relationships from DHSôs side were high both in number and importance. Hogwood and Gunn (1984:202) postulate that:

> õThis condition of perfect implementation requires that there is a single implementing agency which need not depend on other agencies for success, or if other agencies are involved that the dependency relationships are minimal both in number and importance. But if implementation requires not only a complex series of events and linkages, but also agreement at each event among a large number of participants, the probability of a successful or even a predictable outcome must be further reducedô

DHS respondents were asked to name the institutions involved in the implementation of the BNG policy, two senior officials said:

> *'Departments like health, DSAC, DEDET and municipalities are involved in implementation. The point here is that houses should not be stand-alone structures with no services, hence the need for other relevant departments to provide services'.*

The other official further clarified the statement as noted saying:

> *'DHS does not provide social amenities but it must ensure that those responsible institutions like DSAC, Health, provide amenities such as parks, sports ground, clinics and so on, where housing programmes are developed, and in that way the objectives of the BNG policy can be achieved'.*

These statements made by DHS officials, highlight that the DHS depends largely on the support of the institutions identified if integrated sustainable human settlements are to be achieved. The responses reveal that the key role players in implementation are partner institutions than the DHS as a leading department.

Therefore, allocation of resources, managerial and technical skill lies with these identified institutions. It emerged from the study that the support and commitment of these identified institutions was not achieved as a result of inadequate communication.

4.3.6. UNDERSTANDING AND AGREEMENT OF OBJECTIVES

Hogwood and Gunn (1984:204) warn that:

> õIn real life, the objectives of organisations and programmes are often difficult to identify or are couched in vague and evasive terms. Official objectives, where they exist, may not be compatible with one another and the possibility of conflict or confusion is increased when professional or other groups proliferate their own unofficial goals within a programme. Official objectives are often poorly understood, perhaps because communications downwards and outwards from headquarters are inadequate. The requirement of this precondition is that there should be complete understanding of and agreement on, the objectives to be achieved and that these conditions should persist throughout the implementation processô

On one hand, in respond to the question of institutions understanding their roles in terms of the implementation of the BNG policy, DHS respondents said:

> *'Departments involved knows about the policy and were informed about the policy expectations at EXCO makgotlas, however, they exclude the BNG policy mandate in their planning and budgeting processes.*

On the other hand, officials from DSAC reverse this failure to DHS as noted saying:

> *'We heard about the intended objectives of the BNG policy by politicians, but we were never invited to a formal discussion like planning Makgotlas to take notice of our contributions and we never heard anything from our executives relating to implementation of the BNG policy, as a result, we pursue the targets which were set in our five year strategic plan only'.*

The Annual Performance Plans (APPs) reviewed show that the programmes and socio-economic infrastructure projects; outcomes; targets; budget and performance indicators to implement the objectives of the BNG policy were not set.

Inconsistency of planned targets emerged from the DHS and DSACô APPs, as well as municipalitiesô service delivery improvement budget plan (SDIBP). This seems to confirm that the objectives of the BNG policy were not agreed between the DHS and the institutions identified, due to insufficient communication and coordination.

DHS respondents took ownership of one major gap which contributed to policy failure, when asked to mention the institutions that have entered into service level agreements with the department. One of the senior officials explained:

> *'That was a gap on our side because there is no MOU's entered into with other institutions identified for implementation'. 'This gap could perhaps be the reason why the partner institutions could not commit themselves on implementation of the BNG policy. However, going forward as in 2014, a cluster committee would be appointed to assess alignment of plans'.*

Colebatch (2002:117) advises that ótheobjectives of communication between the departments is to discover what their perspective is with regard to the policy being implemented, and to identify where the positions of the participants are in conflict and to seek paths to agreementô

4.3.7. TASKS ARE FULLY SPECIFIED IN CORRECT SEQUENCE

This precondition suggests that in moving towards agreed objectives, it is possible to specify, in complete detail and perfect sequence, the tasks to be performed by each participant (Hogwood and Gunn, 1984:205). The research results reveal that respondents were aware of the intended objectives of the BNG policy but agreements of objectives were not reached.

And since objectives were not agreed, implementation, sequencing of activities such as estimations of the projects duration, and costs of activities, as well as resources needed for each project activity, were not defined due to the escalated gaps arising from inadequate communication and non-allocation of combined resources in the initial announcement of the BNG policy.

An implementation strategy that clearly specifies the tasks and objectives regarding the intent of the objectives of the BNG policy, should provide a logical foundation for the actions that partner departments are expected to display during the policy implementation processes.

4.3.8. PERFECT COMMUNICATION AND COORDINATION

Hogwood and Gunn (1984:205), warn that:

> "Even if management information systems can assist in matching information flow to needs, they cannot ensure that the resulting data, advice, and instructions are understood as intended by the senders, or indeed, understood at all. The precondition here is that there would have to be a perfect communication among and coordination of the various elements or agencies involved in the programme. Communication has an important contribution to make to coordination and to implementation. Coordination is not simply a matter of communicating information or setting up suitable administrative structures, but involves the exercise of power".

Communication between the DHS and its partners (departments and municipalities) is essential to articulate the integrated objectives of the BNG policy. DHS respondents were asked to explain how the BNG policy was communicated and coordinated to partner departments. One senior official from DHS explained that:

> *'The policy was communicated at EXCO makgotlas where MECs, HODs and other senior managers of cluster departments meet to discuss departmental issues as well as solutions'.*

The official further placed blame on top management as noted saying:

> *'Agreement of objectives can only be facilitated by the MEC and the HOD at these meetings. This can be followed by clear instructions handed down to staff for implementation'.*

One other official from the DHS said:

> *'I think lack of proper consultation by the department to invite relevant stakeholders to participate in the development of the multi-year housing development plan and business plans, was the main challenge in the implementation of the BNG policy'.*

The statement concurs with what officials from DSAC uttered:

> *'We have never attended a formal meeting with the DHS and even our executives did not bring the BNG policy to our attention'.*

The interviews show that there was insufficient communication and coordination at the top. Lack of consultation with key partner departments consequently seemed to have derailed implementation efforts.

Respondents argue that agreement of policy objectives and implementation can only be achieved if top executives are involved in administrative leadership on the implementation of the BNG policy.

4.3.9. TOTAL COMPLIANCE

According to this precondition, top management should demand total compliance from the staff. Hogwood and Gunn (1984:206) observe that:

> ôThe final and perhaps least attainable condition of perfect implementation is that those in authority are also those ñin powerò and that they are able to secure total and immediate compliance from others (both internal and external to the agency) whose consent and cooperation are required for the success of the programme. In practice, there may be compartmentalism, between agencies there may be conflicts of interest and status disputes, and those with the formal authority to demand co-operation may lack the power to back up these demands or the will to exercise itõ

With regard to compliance issues, respondents were asked to explain the rules adopted to fulfil the objectives of the BNG policy. A senior public official from DHS accepts a gap as noted saying:

'Those are the gaps because enforcement and control measures were not put in place, as a result there was no stringent command compelling execution of policy tasks and reporting, but going forward, cluster approach of government is creating obligations and commitments to support cluster outcomes not as individual departments. So there is resemblance of coordination and cooperation'.

The Portfolio Committee Member added:

'The BNG policy is a good policy that is clear and direct of what it wanted to achieve. However, this can be possible only if there was a strength of mind between the stakeholders involved and a push from the top management, the policy would have been successfully implemented'.

This means top management should demand feedback from staff tasked with implementation on the achievements of the stated objectives of the BNG policy. The study reveals that there were no control measures put forward by top management to aid the direction for the implementation of the BNG policy from the onset.

As a result, officials point fingers at top management for non- implementation of the policy and also failing to clearly articulate the mission of the policy to bind partner institutions into implementation.

4.4. FINDINGS ON APPROACHES UNDERTAKEN TO IMPLEMENT THE BNG POLICY

Under this section, the researcher triangulated plans and initiatives documented in the National Housing Code (III, 2009) against the information obtained from the in-depth interviews conducted for the study. Table 7 below organised the information into three columns providing the basis on which analysis was made.

Table 7: Summarised findings on approaches undertaken to implement BNG policy

Implementation measures considered during the policy development stages	Proposed approaches and actions required to implement the BNG policy	Actual approaches /actions initiated and implemented.
Programme Planning Requirements - PD annually develops and maintains a multi-year housing development plan. - Plans are compiled on the basis of the	- Phase one entails the community needs assessment. - Identification of social facilities by municipalities and development of comprehensive plan.	- Social facilities aligned to DHS housing programmes were not identified.

approved Housing Chapters of municipal IDPs. - Priorities agreed to between the MEC and the municipalities.		
Project Funding - Project planning and management fees up to an amount not exceeding 14% of the project cost. - Funding will be secured by PDs from the annual allocation from the Integrated Housing and Human Settlement Development Grant by the Minister.	- Phase two applying to the MEC for principle approval of, and funding reservation for the project. - Allocation of 50% funding of projects implemented by district councils. - Allocation of 100% funding of projects implemented by local municipalities.	- Funds were not allocated as socio-economic facilities were not identified.
Project approval Procedure	- Phase three entails final submission of a business plan and approval to the MEC. - Once a project has been finally approved by the MEC, the municipality will receive funding to implement the project, subject to the terms and conditions of this Programme and which the MEC may see fit to impose.	- No submissions made for approval of socio-economic business plans.
Institutional Arrangements: - **Municipalities** - **National and Provincial Departments**	- Municipalities act as developers. - The National and Provincial housing departments are to develop transformation plans including the projected costs that are to be reflected in the MTEF beginning of 2005/06 financial years.	- Municipalities were affirmed inadequate to act as a developer to provide basic services. - Transformation plans to be budgeted in the MTEF were not developed. - Lack of clear provincial strategic and operational plans guiding the implementation of the BNG policy.
- **Inter-governmental relations**	- Promoting inter- and intra-governmental co-ordination and alignment. - The projects are undertaken on the basis of a partnership of cooperative governance between the relevant municipality and the PD.	- No projects were undertaken. No service level agreements were entered into between the Provincial Departments and Municipalities.
- **Communication strategy**	- Develop a comprehensive mobilization and communication strategy to clarify the intentions of the policy	- A comprehensive mobilization and communication strategy were not developed. - Non development of communication strategy and

		inappropriate time for dissemination of policy intents led to non- implementation of the BNG policy.
Measuring Project Performance	- Performance against the work plan and expenditure targets contained in the approved final business plan	- No projects were implemented due to business plans not developed.

Sources: interviews and documents analysis.

From the Table 7 above, it is clear that the right implementation mechanisms were considered in the development stages of the BNG policy as documented in the simplified National Housing Code and the BNG policy document.

The NHC provides essentially, broad guidelines for concrete actions specifying policy interventions and activities to be undertaken for execution. These included a detailed action plan and procedures which identify projects; approvals; request for funds; service level agreements; roles and responsibilities as well as performance measures and monitoring and evaluation.

The only measure not documented was legal authority that explains punitive and rewards incentives. The absence of a legal element seems to place the entire provisions of the BNG policy in jeopardy.

The interview results and document analysis show that most of the approaches and actions required to implement the BNG policy were not undertaken as shown in Table 7 above. The assessment shows inter-related challenges that impeded each other on the attainment of BNG objectives.

Institutional arrangements and responsibilities were misinterpreted by the lead institutions, DHS and municipalities. Management and procedural actions to transform the policy into programmes and projects seemed to be lacking. Additionally, technical planning documents to direct the implementation of the BNG policy were not developed.

Funds allocation, service level agreements and monitoring of performance information can only happen when a plan is developed and approved. As highlighted in the ten preconditions of perfect implementation versus the interview and documents findings, administrative capacity to execute the interventions of the BNG policy was inadequate.

Drawing from the study ôClosing the gap between policy making and implementationõ, Khosa (2003:5) quotes President Thabo Mbeki addressing journalists after a cabinet Lekgotla as noted saying, óthe policy is there, the institutions are there, the critical matter to address is: are they functioningô?.

This question relates to the weaknesses in which the wider public service organisations suffer in performing routine functions critical to policy and strategy formulation and implementation.

Khosa (2003:5) argues that ógovernment policies that have been adopted since 1994 are appropriate and sound and the apparent gaps between policy and implementation are related to the manner in which policies are being implementedõ.

Deficiencies in the implementation of the BNG policy seem to be pointing at technical incapacity, unclear roles and responsibilities, inadequate communication and coordination between the lead department, partner institutions and municipalities.

4.5. SUMMARY OF CHAPTER FOUR

The findings show that the nine of the preconditions of perfect implementation suggested by Hogwood and Gunn (1984) were not considered in the implementation of the BNG policy. Also, the proposed approaches and actions documented in the BNG policy and the NHC 2009 were not considered to execute the intended objectives of the policy.

These objectives were to deliver integrated development through the provision of parks; transport hubs; job creation; sport facilities in order to promote society through sustainable human settlements and quality housing by 2014 as visualized by the Department of Human Settlements.

Documents analysis confirmed that the programmes and projects to realize the objectives of the BNG policy were not committed in the APPs and SDBIPs of municipalities. According to Smith (2005:6), these are the last of many documents that move the process of policy implementation along.

Other than inadequate communication cited as a major challenge to implementation of the BNG policy, incapability was mentioned as a root problem underlying failure in the implementation of the BNG policy.

Through knowledge, all implementation factors would have been measured and many obstacles and challenges would have been conquered. The findings shed light on the challenges of implementing the BNG policy in the NW Province and achieved the objectives of the study as the challenges hindering effective implementation of the BNG Policy were identified. The next chapter intends to analyse and interpret in detail the findings of the study.

CHAPTER FIVE

5. ANALYSIS AND INTERPRETATION OF FINDINGS

5.1. INTRODUCTION

This chapter primarily interprets the major challenges of implementing the BNG policy in the NW Province, categorised according to Hogwood and Gunnôs preconditions of perfect implementation. Relationships among the findings from the empirical and theoretical evidence are synthesised, compared and contrasted. The main objective of this chapter is to provide a detailed overview of the research findings of the research study.

5.2. ANALYSIS AND INTERPRETATION OF RESEARCH FINDINGS

This section analyses and interprets the research findings categorised into the ten preconditions of perfect implementation put forward by Hogwood and Gunn. Literature from other theorists was employed to interpret the preconditions and the findings of the study.

5.2.1. EXTERNAL CONSTRAINTS

Though the study shows that the policy was highly supported by top politicians at national and international conventions, it can be argued that, it was indirectly vetoed at the provincial level. The political power and influence was the only technique to negotiate agreement of objectives and to lift the implementation off the ground as commented by the respondents.

The researcher observed that perfect communication was the first precondition which needed to be acquired in order for operational coordination to follow. It emerged from the study that this precondition of perfect communication was inadequate. Other major reasons explaining this disappointing result were insufficient political will to institute actions for successfully accomplishing the tasks required for implementation and to take major actions against non-compliance.

The delivery outcomes of the BNG policy are dependent on the effective working relationships between the DHS and partner institutions. The study shows that an effective working relationship between the implementing departments was never reached.

Jones (1984:110) suggests that ólegitimization must begin with a large measure of agreement about the means that involves authority; consent; obligation; support-indeed; the spectrum of governmental relationships with people and their problemsô.

The DHS as a lead department, seemed to have failed to take into account external constraints involved in implementing joint programmes. These included constraints such as win-lose negotiations; frustrations; conflicts and behaviours of the institutions intended to implement the objectives of the BNG policy.

These constraints can only be tackled by political power, will and influence. Consequently, these obstacles could not be mitigated as they were not borne in mind or assessed before implementation. As Jones (1984:3) observed, óthe causes of policy failure are, at root, political. They spring less from the nature of business enterprise and the attitudes they hold about governmentô

5.2.2. ADEQUATE TIME AND REQUIRED COMBINATION OF RESOURCES

Resources include human; financial; institutional arrangements and procedures that underpin policies and ensure consistent delivery and even the social capacities that help determine how social groupings will respond to implementation initiatives (Wu-*et al*, 2010:76). The process of resource allocation is directly connected to planned targets.

Planned targets are stated in terms of performance outputs, budget and time frames in order to achieve a given objective in an efficient and effective manner. It emerged from the study that there was a challenge of committing objectives of the BNG policy into planning documents of the identified institutions in the study.

The reason for this challenge was insufficient communication by the lead DHS. As a result of these major deficiencies, there was no devotion of resources to implement the objectives of the BNG policy. Wu-*et al* (2010:76) observes that óthe multiple types of the capacity necessary to implement these plans often go ignored, or are optimistically subsumed under the heading of capacity building requirementsô.

Lane (1983:18) argues that ósuccessful implementation does not only require a state of affairs in which there is a policy objective and an outcome but these two entities (objectives and

outcomes) must satisfy the two different relationships: the causal function and the accomplishment function, what is implemented is an objective (intention) that exists before the outcome, and implementation is the process of effecting an outcome, that is the realization of the objectiveô

To realize the accomplishment function of a policy, combined means of available resources must be devoted to the intentions of the policy. It emerged from the study that BNG policy objectives were not agreed, which implies that there was no one to implement the policy. Institutions are also resources entrusted with managing policies for the betterment of communities.

A feasibility report to determine the resources needed for the implementation of the BNG policy such as the administrative readiness concerning institutional arrangements; human capital; roles; task schedules and budgets from the onset of policy announcement was lacking.

As a result, BNG policy plans, strategies and targets were not formulated to inform the allocation of resources for execution. Wu-*et al* (2010:42), suggest that, policies are more likely to be successfully implemented where adequate considerations of the various resources are incorporated into the implementation plan. It is of importance that adequate time and resources need to be devoted at the onset of the implementation of the BNG policy.

5.2.3. POLICY IS BASED ON A VALID THEORY OF CAUSE AND EFFECT RELATIONSHIPS

The precondition is useful to determine whether the policy failure results from poor implementation or from insufficient understanding of how the policy is assumed to work (Hogwood and Gunn, 201:1984). All the respondents were exceptionally aware of the policy in terms of its contextual issues and objectives.

The respondents mentioned practical past failures of the old housing policies and justified the benefits of the new BNG policy, as saying:

> *'Former RDP houses were built far from socio-economic services which resulted in the houses being unoccupied. Therefore the BNG policy aimed to restore the dignity of citizens in addressing the identified gaps by providing integrated social and economic services'.*

The interview results are consistent to the background content of the BNG policy document (Department of Housing, 2005:10):

> ôThe strategy aims to put South Africa firmly on the way to create sustainable human settlements, as opposed to merely providing houses. This will, in turn, result in integrated sustainable development, wealth creation, and poverty eradication with adequate access to: economic opportunities, a mix of safe and secure housing and tenure types, reliable basic services and educational, entertainment, cultural, health, welfare and police servicesõ.

Activities which were mentioned to validate the need for policy change include a comprehensive review of the outcomes of Governmentôs housing programmes from 1994 to 2004. The appointment of a reference group assisted in providing the cabinet with BNG policy alternatives and explanations about the expected effects of this policy.

The members of the Reference Group constitute a wide ranging group of experts in their respective fields associated with housing delivery (Department of Housing, 2005:7). The study proves that failure to implement the BNG policy was a result of poor implementation.

This precondition is built upon the premise that ôinformed by a better understanding of a policy processes, public managers can overcome many of the barriers that undermine their potential for contributing to the policy successõ (Wu-*et al*, 2010:1).

> ôThe lesson to be learned from this conceptual exercise is that when considering any reform or major political decision, it is essential to differentiate between the stated intentions and what was actually put into practice. It is one thing to derive articulate means-end chains from governmental policy sources and quite a different thing to pin down what actual means were employed to what effect. Implementation analysis covers dimensions, policy objectives and policy practices. Decision makers are never certain about the true relationships between the policy options available to them and the outcomes each will produce. An implementation of a policy provides concrete evidence about its effectsõ(Lane, 1983:20).

It emerged from the interviews that this was the only precondition which was met, but since it has been said that implementation is a difficult task, the policy could not be effectively implemented as a result of unclear roles and the unwillingness of the implementing institutions.

5.2.4. THE RELATIONSHIP BETWEEN THE CAUSE AND EFFECT IS DIRECT, AND FEW, IF ANY INTERVENING LINKS

Due to the number of implementing institutions involved in the execution of the BNG policy, proposed approaches and actions documented in the BNG policy were misinterpreted, resulting in confusion and negligence of policy execution. The rigid structures of these institutions in terms of planning and allocation of budget has made it difficult to adapt to the new planning of joint programmes.

Mazmanian and Sabatier (1989:39) propose that ócidentifying individually the many variables involved in implementation is a first vital step in understanding its complexity and in developing an appreciation of the enormity of the task of changing the status quo through governmental actionô.

Moreover, ógrouping variables by whether they are amenable to statutory manipulation helps distinguish between factors that can be manipulated (in short term) through formulation and design by policy makersô. Wu-*et al* (2010:42) furthered this advice that óconceiving smaller-scale initiatives as ñpolicy experimentsò can help facilitate adaptive implementation- the ability to learn what works, and how to fix what isnôt working, in the process of implementation itself.

The underlying principle is to ótest the degree to which policies are logically constructed so that invested inputs stand a realistic chance of being processed into project outputs, which themselves contribute reliability to the required outcomesô (Wu-*et al*,2010:42). It was revealed in the study that the BNG policy failed to pass the first precondition of perfect implementation, which was the assessment of external constraints.

Many obstacles pertaining to various functional links of the implementing institutions were not measured. Consequently, there was a breakdown of implementation as the long chain linking means to effect actions was long and indirect.

Elmore, cited in Williams (1982:28), suggests that policy implementation should óbegin with a concrete statement of the specific behaviour that creates the occasion for a policy intervention; describe a set of organizational operations that can be expected to affect that behaviour; describe the expected effect of those operations; and then describe for each level

of the implementation process what effect one would expect that level to have on the target behaviour and what resources are required for that effect to occurô.

5.2.5. DEPENDENCY RELATIONSHIPS ARE MINIMAL

It was pointed out in the study that implementation of the BNG policy involves multiple organizational approach which ties more casual chains and numbers of participating organisations and therefore fail the minimal dependency relationships. The study revealed that the DHS is not delivering the objectives of the BNG policy in its own administration, but it relies on the capacity of multiple departments to play a major role in implementation.

The nature of cross-cutting policies need significant negotiations between the parties involved in implementation, which hardly happened, hence policy implementation failure. Chapter three of the Constitution and the BNG policy encourage inter and intra-governmental relations.

The Constitution (1996:25) stipulates that óall spheres of government must cooperate with one another in mutual trust; informing one another of and consulting one another on matters of common interest and by assisting and supporting one another in mutual trust and adhering to agreed proceduresô.

Government has long recognized the usefulness of cooperative governance in addressing the complexity and inter-relationships between the factors that influence the quality of peopleôs lives, such as employment; social facilities and education. On responding to the question of ówhat were the factors that initiated the development of the BNG policyô, Portfolio Committee Member explained that:

> ó*Poverty is in many ways and affects various factors of social life, that a house only cannot address the quality of life of citizens. if poor people are not working they can commit crime, so barriers to access to services, poverty, unemployment and education require a holistic inter-governmental response with solutions that go beyond the boundaries of one public sector department'.*

Though the process aimed to enhance coordination interms of planning and implementation among the stakeholders, the initiative proved to be inadequate. All the respondents

commented that the policy can only be achieved if there is a political power to influence actions and clear communication and coordination with parties involved.

5.2.6. UNDERSTANDING AND AGREEMENT OF OBJECTIVES

Formalizing and entering into service level agreements requires an understanding of shared ownership of policy objectives. Senior managers are the first to understand and to demonstrate commitment to the desired action at an implementation level and to ensure that the necessary steps outlining the expectations of implementers at each level of implementation are defined.

The study revealed that concrete commitments for action to implement the objectives of the BNG policy were not understood and agreed by partner departments. According to the NHC (III, 2009:30):

> *'Municipalities are developers, but in cases where a municipality is not able to take on the role as developer, the PD may decide to take over the developer role and execute the project on behalf of the municipality. In such cases there must be a structured agreement, which, amongst others, must address the matter of the municipality taking ownership and responsibility for the developed facilities'*

The quote clarifies the roles of the institutions involved in the implementation. It was revealed in the study that the BNG policy lacks ownership. This was highlighted when respondents were asked to explain the specific roles they play with regard to implementation of the BNG policy. Respondents from DHS said:

> *'DHS delivers housing programmes only, provision of socio-economic services lies with municipalities'*.

Municipalities were also noted saying:

> ó*We deliver basic services such as water and sanitation, infrastructure services are provided by provincial departments'*.

The statements shed a light that deliveries of BNG objectives were not agreed. It also emerged that the lead department was not prepared to set the implementation direction as meaningful consultations between the partner institutions were never initiated. This often leads to problems of policy ownerships and low motivation.

Implementation of the BNG policy necessitates new programs and operational guidelines that should be disseminated to, and understood by, partner departments responsible for implementation. ôIt begins at the top of the process, with a clear statement of the policy-makers intent, and proceeds through a sequence of increasingly more specific steps to define what is expected of implementers at each levelõ (Elmore, cited in Williams, 1982:19).That way, partner departments are likely to cooperate if they understand what is expected of them from the onset of the implementation announcement and if they perceive those expectations to be realistic.

The first step is to describe the intentions for what partner departments should know, understand, and be able to do to align their knowledge with the expectations of the implementation. The process forces partner institutions to understand thoroughly what is really meant by the intended policy outcomes.

Again, the disagreements of policy objectives also point to insufficient administrative leadership by top management of the lead DHS. According to the respondents, top executives are well positioned to express and win over the support of partner institutions in executing objectives of the policy.

5.2.7. TASKS ARE FULLY SPECIFIED IN CORRECT SEQUENCE

Brinkerhoff and Crosby, cited in Wu-*et al* (2010:69), explain that ôthe set of tasks practically associated with implementation is best understood as a ñcontinuumò of strategic and operational tasks functionsõ.

Tasks related to implementation must be integrated throughout the policy process, beginning with high level strategic design considerations such as constituency building to more operational level design, and capacity building tasks such as project management in later stages of the implementation process (Wu-*et al*, 2010:69).

The interview results and document analysis revealed that operational plans that support the DHSõs vision on guiding partner institutions on the processes related to implementation of the BNG programmes and projects was not set, as a result, there was confusion between the departments about the belonging and ownership of the policy.

It was not clear where implementation efforts should derive from which departments if BNG objectives were to be achieved. That was because there were no agreements of objectives between the leading department and partner institutions. The important point is that activities are planned to address every outcome in every area of the implementation process and that every strategies, activity, and procedure has a purpose. Wu-*et al* (2010:70) warn that ótailing this integration, large gaps are likely to loom between policy intentions and actual executionô.

The DHS, as a lead department, should have considered determining and defining major phases of work that would be undertaken to achieve the desired policy objectives and the associated deliverables before the commencement of implementation.

It is important that development of communication and coordination strategy from the onset of the implementation is developed; and a coherent approach is outlined; and processes through which the BNG service delivery in different departments will be coordinated, monitored and evaluated by the DHS.

5.2.8. PERFECT COMMUNICATION AND COORDINATION

BNG policy demand new programmes and new approaches across all partner institutions for implementation. It emerged from the study that the achievement of social and economic infrastructural projects depends on the commitment and cooperation of partner departments.

Wu-*et al* (2010:78), state that a hefty degree of negotiation with a range of actors (potential partners and government budget authorities) is required to identify a seed or a bridge that can enable integrated policy implementation to get off the ground and initial activities to begin. Hefty negotiations can be acquired through collaborations.

McGuire (2006:3), cited in OôFlynn (2009:113), defines collaboration as ótthe process of facilitating and operating in multi-organizational arrangements in order to remedy problems that cannot be solved or solved easily by single organizationsô.

The functional administrative commitments required for implementation between the departments were not reached. The underlying problem cited by respondents was inadequate communication by top management (MEC and HOD/ Mayor and Municipal Manager) and coordination by programme managers.

Elmore cited in Williams (1982:27), argues ólunless the initiators of a policy can galvanize the energy, attention and skills of those affected by it, thereby bringing these resources into a loosely structured bargaining area, the effects of a policy are unlikely to be anything but weak and diffuse. Once bargaining is recognized as a key element of implementation, certain other conditions followô.

Partner departments cited inadequate consultation and kick-off meetings, whereas the lead department complained about the rigid structures, planning and budget limitations. Himmelman, (2002:3) cited in OôFlynn (2009:114), distinguishes four core components of communication which must be adhered to when negotiating to implement a joint policy: networking, coordinating, cooperating and collaboration:

> ó[T]he least formal is networking where information is exchanged for mutual benefit. Often the choice of this strategy reflects limited time, low trust or a reluctance to concede turf. More formal linkages occur with coordination and here information is exchanged and activities altered so the parties can pursue mutual benefit and achievement of common purpose. Coordinating involves more time and higher trust than networking, but the parties do not concede any turf. Where the intensity of commitments increase and more formal agreements are introduced, cooperating emerges as a strategy for working together. This involves higher levels of trust and time in relation to networking and coordinating and each party will at least provide access to its turf. Finally, where the parties develop a willingness to enhance each otherôs capacity for mutual benefit and common purpose, collaboration occurs. Here the parties share risks, responsibilities and rewards, they have high levels of trust, large time commitments and they share turf. This means roles; tasks and required actions are put into practiceô.

It is apparent that the lead department overlooked these four key components of communication when negotiating and engaging stakeholders on the expectations of the BNG policy.

5.2.9. TOTAL COMPLIANCE

Total compliance refers to the total adherence of the agreed implementation process, tracking performance against predetermined objectives, providing feedback and adjustments in the process of implementation planning. The study reveals that objectives were not agreed, and as such there was nothing to base the performance on or to examine the actual performance of the partner departments.

Elmore (in the words of Kaufman), cited in Williams (1982:25), asserts that ―if leaders exert but little influence on the actions of subordinates, then one of the axioms of democratic government ceases to apply. The major contribution lies in the enhancement of leadersô capacities to neutralize tendencies toward non-complianceò

It was noted in the study that control measures as well as roles and responsibilities concerning the implementation of the BNG policy were not set. As a result, the lead department was unable to define internal control systems interms of performance management, information control and punitive actions.

Weimer and Vining (2011:289) express the view that ―clear legal authority is almost always a valuable resource for implementersò When objectives are understood and agreed upon, it is important that the rules of implementation are defined and adhered to by all the partner institutions involved in implementation.

This means that when service level agreements are entered into, they should be implemented as predetermined, but when agreements are not implemented as expected, partner institutions should be held accountable for under achievement or non compliance with the rules defined.

Weimer and Vining (2011:288) mention that ―the greater the legal authority the adopted policy gives to those who must implement it, the greater is their coercive capacity to compel required behaviourò

5.3. INTERPRETATION OF APPROACHES UNDERTAKEN TO IMPLEMENT THE BNG POLICY

The objectives of the study were also to analyse the approaches and actions taken to implement the BNG policy and to determine whether or not the right implementation measures were considered during the policy development stages.

The study shows that the right implementation measures were considered during the policy development stage and were simplified and documented in the National Housing Code 2009. It emerged that the institutions entrusted with the implementation and achievement of the BNG policy objectives, failed to convert the approaches documented in the NHC 2009 and the BNG policy into action.

The study shows that hindrance was caused by the inability of the lead department to pro-actively find factors conducive for successful implementation through scanning the internal and external strengths and constraints to their policy execution.

Lane (1983:30) explains that ósstating a definition of "implementation" should be a neutral task in relation to the problem of finding what factors are conducive to successful implementation.

It is one problem to analyse what must obtain in order to apply the concept of implementation, and another problem is to state hypotheses as to how implementation - in particular successful implementation - comes aboutô.

5.4. SUMMARY OF CHAPTER FIVE

The theoretical frameworks highlighted that, where dependency relationships are high in number and importance, perfect communication, political influence and compliance measures are key ingredients for successful implementation.

The study shows that the institutions mandated to implement the BNG policy failed to meet these key preconditions which, according to all the respondents, precede all implementation actions required to translate the policy into practice.

As a result of this failure, street level bureaucrats could not secure support and the commitment of partner institutions on implementation. Timely allocation of adequate resources; tasks; roles and responsibilities were not clearly defined. The BNG policy resulted not being implemented at all.

The next chapter focuses on the conclusions drawn from the study followed by the recommendations proposed by respondents and the researcher. Research questions set out in chapter one are answered.

CHAPTER SIX

6. CONCLUSIONS AND RECOMMENDATIONS

6.1. INTRODUCTION

The previous chapters laid grounds for the realisation of this chapter, which is the climax of the study. In this chapter, attempts have been made to answer the three research questions posed under paragraph 1.3 in chapter one. These answers provided to the research questions of the study, concurrently furnish evidence for the achievement of the research objectives listed in paragraph 1.4.

The rest of this chapter is dedicated to showing whether or not the research objectives that were set for the study were achieved, and at the same time, whether or not the research questions were answered successfully. This is done under section 6.2.

On the basis of the findings presented in chapter four, a number of conclusions have been drawn for the study as listed in section 6.3. Also, recommendations of the study have been formulated in relation to the conclusions in this chapter as outlined in section 6.4. Lastly, this chapter concludes the substantive proceedings of the study.

6.2. ANSWERING THE RESEARCH QUESTIONS OF THE STUDY

6.2.1. WHAT ARE THE MAJOR CHALLENGES IMPEDING IMPLEMENTATION OF THE BNG POLICY IN THE NW PROVINCE?

The primary research question for this study was to identify major challenges impeding implementation of BNG policy in the NW Province. The following findings explain why it was impossible for the BNG policy to be implemented successfully. First, the implementation of the BNG policy was largely dependent on commitment and cooperation of partner institutions which failed the minimal dependency relationships recommended by Hogwood and Gunn (1984)ôs framework.

BNG policy was designed as an integrated programme which should enable joint attribution in terms of planning and implementation by the partner institutions. This means that the

departments involved must work together through a common work plan to achieve reciprocal policy objectives. It emerged that policy failure occurred due to insufficient political will as well as a lack of clear communication and policy coordination which serve as the first prerequisites to negotiate policy agreement. Furthermore, this means that the basis and mechanisms for departments to collaborate on their different programmes, operational regulations, pool resources, reporting systems and timeframes were obstructed.

Due to lack of joint planning and implementation, the DHS failed to align the objectives of the BNG policy into planning documents of the partner institutions. For example, failure to engage DSAC to provide playing grounds, entertainment and cultural activities led to the BNG objectives not being planned in the DSACôs APP.

Consequently, DSAC does not consider those amenities in their delivery process, thereby contributing to BNG policy failure. Hogwood and Gunn (1984:202) argue that if dependency relationships are high, then the probability of a successful or even a predictable outcome must be further reduced.

The misinterpretation of the BNG policy document led to the DHS and municipalities disowning and neglecting policy implementation responsibilities. The confusion is believed to have greatly contributed to the lack of readiness of these institutions to actively prepare strategic working plans. Actions to point out the implementation initiatives by these institutions were not noticeable.

The research findings show that out of ten preconditions, only one precondition was met that ôthe policy was based upon a valid theory of cause and effectô. It was observed that all the respondents understood the root cause of the problem that the BNG policy seeks to address, which was to harmonize the low cost housing programmes with sustainable and integrated socio-economic services such as playing grounds, parks and health services.

Of the nine pre-conditions of implementation which were not met, it is perfect communication and coordination, which impeded and escalated failures into other preconditions of implementation such as allocation of time and adequate resources, understanding and agreements of objectives, tasks fully specified in correct sequence, and total compliance.

6.2.2. WHAT APPROACHES AND ACTIONS WERE TAKEN TO IMPLEMENT THE POLICY IN THE NW PROVINCE?

The second question was to analyse approaches and actions taken to implement the BNG policy in the NW Province. Implementation has been defined as a process of translating policy into operational tasks, carried out by agencies and actors to achieve policy objectives (Sapru, 1994:101).

This means policy does not implement itself, it needs people with implementation techniques to be used to translate the policy into reality (Sapru, 1994: 109). The study assessed the implementation mechanisms, approaches and actions required to implement the BNG policy, in terms of interventions, organisational arrangements, political as well as procedural and managerial approaches.

Implementation approaches, objectives, purposes as well as interventions of the BNG policy were clearly defined. Three policy interventions areas identified were firstly, social services, which specifically include community facilities such as parks; playgrounds; sports fields; crèches; community halls; taxi ranks and municipal clinics. The second area of intervention was to facilitate the development of basic economic infrastructure such as transportation hubs, trading areas and informal markets, and lastly, job creation through an Expanded Public Works Programme.

The policy also documented approaches and procedural activities to be undertaken when implementing the objectives of the BNG policy. Three approaches mentioned were phase one to three. Phase one involves assessment and identification of socio-economic needs by municipalities. The second phase pertains to the requisition of funds for project implementation and phase three is the final submission and approval of a project business plan to the MEC. Service level agreements are entered into between the provincial departments and the municipalities, and implementation commences.

Regardless of the right implementation mechanisms documented in the NHC, respondents mentioned that none of the BNG areas of interventions were delivered. Major reasons for these barriers were lack of understanding and interpretations of the policy document as observed by Tshikotshi (2009:94) and inadequate internal and external support which made it difficult to implement the strategies and projects according to the original plans.

It was noted during the interviews that the implementation of the BNG policy lies with municipalities, but according to the National Housing Code, provincial departments must initiate and implement projects where municipalities lack capacity. No initiatives were taken to implement the policy as roles and responsibilities were misinterpreted.

In terms of structural approaches, there was confusion as to which organisation (Provincial Department of Human Settlements and Municipalities) is responsible for projects implementation of the BNG policy in the North West Province.

Since institutional arrangements were not clear according to the respondents, procedural and managerial approaches were not strategised. Transformational plans to be reflected on MTEF; allocation of funds; projects identification; performance information management systems; were not developed and initiated.

The political will essential to influence the effect of policy into action and to change the attitudes and behaviours of officials suitable for implementation was insufficient. As a result of all these barriers, there was no action taken to operationalise the three interventions of the BNG policy into practice.

It is clear that the policy was not implemented as several preconditions of perfect implementation were not met and in addition, the DHS failed to implement the interventions and approaches documented in the BNG policy. This account implies that the actions taken towards implementation of the BNG policy in the NW province were negative, leading to a negative outcome for this research question.

6.2.3. WHAT MECHANISMS SHOULD BE CONSIDERED TO IMPROVE THE POLICY IMPLEMENTATION PROCESS?

The last question in this study was to come up with mechanisms which should be considered to improve the policy implementation process. Based on the research findings, the study identified four key lessons listed in section 6.4. below, that were lacking in implementing the BNG policy. These lessons should be taken into account in future, when implementing inter-governmental policies in order to enhance and strengthen the effectiveness of policy results.

6.3. CONCLUSIONS DRAWN

Against the answers provided to the research questions above, the following conclusions are hereby drawn:

6.3.1. BNG policy encompasses cooperative objectives which should be implemented jointly by relevant partner institutions. Perfect communication, supplemented by political will and power, is the ingredient for successful implementation of a cooperative policy. The researcher observed inadequate communication, power and will as a major impediment in the implementation of the BNG policy.

6.3.2. The researcher observed that lack of strict control measures in the BNG policy document, weaken commitments of partner institutions. The behaviours of both internal and external partner institutions were not enforced and directed to actions required to effectively implement the BNG policy.

6.3.3. The researcher observed that the contents of the BNG policy and NHC were clearly defined. However, the policy could not be effectively implemented because the guidelines were not understood as there was confusion of roles and responsibilities between the lead department and municipalities which were explicitly defined in the NHC.

The researcher observed that the abilities to structure practical implementation mechanisms, translated into actions, seemed to be insufficient. Knowledge on policy implementation becomes a vital requirement.

In general, the BNG policy seemed not to have been implemented at all. Hogwood and Gunn (1984:197) differentiate between the two types of policy failure: non-implementation and unsuccessful implementation of policies.

With non-implementation, ópolicy is not put into effect as intended, perhaps because those involved in its execution have been unco-operative and inefficient or because their best efforts could not overcome obstacles to effective implementation over which they had little or no controlô

Unsuccessful implementation óoccurs when a policy is carried in full and external circumstances are not unfavourable but, nonetheless, the policy fails to produce the intended results (or outcomes)ô

6.4. RECOMMENDATIONS

6.4.1. PERFECT COMMUNICATION AND COORDINATION

In order to win the support of partner institutions for successful implementation of the BNG policy, all respondents recommended that timely engagement of how the implementation will unfold be communicated to all stakeholders. The DHS as a lead department should design a communication strategy through which all features of the policy implementation process can be elaborated.

Implementation plans that include required resources, roles of stakeholders, assessments of internal and external constraints and a feasibility study should be communicated to all stakeholders in a clear manner and to ensure that orders are specific and understood.

It involves changing the mindset of stakeholders and gaining their support, enthusiasm and commitment towards effective BNG implementation. The following communication structures should be strengthened to serve its mandates as purposed which are to examine policy issues of the Province:

Effective utilisation of political EXCO Committees

All respondents recommended that policy objectives and agreements can only be initiated by the MEC and the HOD at the Executive Committees, as they have legitimised responsibility than programme managers.

The North West Executive Council has established three Executive Cluster Committees namely, Technical Cluster Committee on Social Development, Economic Development and Infrastructure, and Committee on Governance and Administration.

The key responsibilities of these legitimised Committees is to coordinate effective integrated delivery; develop and implement policies; scrutinise performance reports; monitor programmes and projects and to account to the legislature and the public.

Stoker, cited in Peters and Pierre (2002:230), argues that ópoliticians as ñfixersò have a vested stake in a policy by virtue of authorship of the policy and have the power to investigate and fix implementation problemsô. The role of oversight is to correct difficulties that occur in implementing policy (Bardach cited in Peters and Pierre, 2002:230).

Political and administrative Leadership

It has emerged during the study that issues of policy development, implementation and advocacy are to be driven from the top in order to make an impact. There is a need for clearer political and administrative leadership to be seen in the delivery of integrated and sustainable socio-economic services.

The implementation of BNG policy through executive decisions and funding priorities will be the correct move from the top management. It must further be demonstrated through the show of personal commitment to promoting BNG policy to stakeholders in other partner institutions by such senior management at the top of institutions.

All the respondents only learned about the BNG policy through the MEC and HODôs key-note addresses during departmental strategic planning meetings called ñmakgotlasò. As a result, it was not clear how the reforms would be articulated.

It is recommended that the MEC, HOD and senior managers demonstrate the ability to articulate the components of BNG policy vision and lead processes necessary to implement and support the vision.

Lack of strong leadership and support from these senior management resulted in stakeholdersô lacking the insights into critical goals that they are to achieve. Top management must ensure that all stakeholders involved in implementation understand how their positions contribute directly or indirectly to the BNG goals.

6.4.2. POLICY ENFORCEMENT AND COMPLIANCE

The study attests that the delivery of the BNG interventions as announced by the President, Minister and the Premier in their budget speeches were not matched by the real performance. The BNG policy was not enforced as it was not implemented at all.

It can be said that the NW Provincial government seemed to have failed to comply with the programme of actions presented by these top politicians. A deeper problem as already mentioned is non-definition of sticks, whips or dismissal sanctions to bind political heads of departments and their HODôs, as well as responsible senior managers, to enhance accountability and add force to responsibilities.

ôThe greater the legal authority the adopted policy gives to those who must implement it, the greater is their coercive capacity to compel required behaviourô (Weimer and Vining, 2011:288).

This means the Provincial Legislature as the political institution of the Province and its nature of oversight responsibility, holds accountable the MECs and HODs tasked to implement a policy for substandard results of policy outcomes.

When this practice is instituted, known and acted upon when deviated from, this will change the attitudes and behaviours of public servants. According to Matland (quoted in Hill and Hope, 2002:75), successful implementation requires ócompliance with statutes directives and

goals; achievement of specific success indicators; and improvement in the political climate around a programô. These control measures will enforce the administrative heads of departments to institute suitable actions which programme managers should adhere to in order to achieve the desired objectives as predetermined by the political heads.

For administrative heads to be able to achieve their policy objectives they should strengthen monitoring and evaluation regulation systems during policy implementation to assess performance, identify deviations and provide corrective actions early before the problems escalate to other vital stages of policy implementation.

It is the responsibility of the MEC and the HOD to see to it that their programme managers adhere to the regulations and are carried out as stipulated. Notwithstanding the foregoing, it needs to be mentioned that though the enforcement and compliance element of the BNG policy were not documented in the BNG policy and the NHC, it emerged from the discussion that this needs attention. On this basis, a recommendation is being made that the enforcement and compliance element of the BNG policy be given due attention.

6.4.3. POLICY IMPLEMENTATION COMPETENCIES

The reason all good polices are not achieving intended objectives is because of knowledge. Rose and Miller (2010:276) affirm that ôknowledge does not simply means ideas, but refers to the vast assemblage of persons; theories; projects; experiments and techniques that have become such a central component of government, that is to say, it is with the know-how that has promised to make government possibleô.

Lack of knowledge on policy development and implementation by senior officials in government departments put a stop to the countryôs economic growth and development. The incapacity of public service means the inability of departments and offices to get things done, to address challenges, follow through on commitments and ultimately achieve valued outcomes for the citizen. Many reasons for this institutional incapacity are offered.

The primary reason is deployment of officials to posts for which they are not qualified. When new policies are brought to the attention of many, there is still a feeling amongst the majority of employees that it is someone elseôs responsibility. Additionally, professional values in terms of a positive mindset by officials to begin to understand and appreciate that the

government is now implementing programmes for improving service delivery to the public and for the purpose of managing results is lacking.

Elmore observes ót is not the policy or the policy maker that solves the problem, but someone with immediate proximity and necessary skills and discretion. Wu-*et al* (2010:76) furthers the argument by mentioning that ócoperational capacity is the ñbedrockò of implementation. It consists of the accumulated knowledge and experience in the policy process, including understanding of the key players, their interests and their strategies and resourcesô.

This knowledge forms a basis for judgment about policy feasibility: what will work and what will not (Wu-*et al*, 2010:11). Failure to meet the preconditions of perfect implementation shows that the required analytical skills and capabilities are inadequate.

Skills and capabilities to initiate joint meetings, terms of reference, change management and strategic documents were not seen in the implementation of the BNG policy. Government will need to tackle these barriers in order for policy implementation approaches to be truly effective across all government institutions.

6.4.4. IMPLEMENTATION PLAN AND ALLOCATION OF RESOURCES

The consideration of all important factors relevant to implementation of a policy means an implementation plan and forecasting. The plan aims to ensure that institutional capacity is aligned to actions required to implement a policy.

Understanding of the approaches to policy implementation in particular, organizational arrangements; political; behavioural; procedures and management as well as project managementôs nine areas of knowledge (integration; scope; time; cost; quality procurement; resources; communication and risk) should be considered to accomplish policy specific tasks.

Lastly, the plan should take into account assessment of internal and external strengths as well as constraints in order for the implementing institution to think strategically and to act responsibly to unforeseen events. These constraints should be borne in mind and prove an alert of uncertainties ahead.

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ANNEXURE A

Interview Guide for Department of Human Settlements
Objective of the study: To identify the challenges of implementing BNG policy in the NW Province.

Name of respondent: **Date and place of interview:**

Position:	**Gender:**	**Yrs of Service:**
	Interview Guide	**Coding**
A	**Agenda setting and policy formulation**	
1.	In your opinion what were the factors that initiated the development of the BNG policy? Probe: - Problems the policy intends to address - Housing programmes evaluations - Policy interventions and objectives	Respondentôs knowledge on the context and the content of the BNG policy
2.	How did you participate in the policy formulation process? Probe: - Consultations - Workshops attendance	Participation of respondents on BNG policy formulation
3.	Were the right implementation mechanisms considered during formulation stage? Probe: - Implementation strategy - Approaches and operational procedures	Implementation plan incorporated in the initial development of the BNG policy
B	**Policy implementation**	
4.	In what ways did the MEC and HOD communicate the policy implementation to internal and external stakeholders? Probe: - Stakeholder consultations - Kick of meetings - Invitation to Planning Makgotlas - Political will and influence - Political and administrative leadership - Inadequate communications and coordination	Policy communication and coordination (Political and administrative leadership)
5.	What changes were made in planning and budgeting concerning BNG policy after Presidential, Premier and MECós programme of actions speeches of 2009? Probe: - Development of BNG policy programmes	BNG policy programmes and projects planning and budgeting

	- Projects identifications and approvals - Policy objectives translated into Annual Performance Plans and budgeted	
6.	What types of resources were deployed to effectively implement the BNG policy? Probe: - Service providers (Consultants), - Training attendance - Budget	Organizational and operational structure
7.	Who are the key stakeholders identified for implementation. Probe: - Partner institutions - Communities	Institutional arrangements responsible for delivery of BNG policy.
8.	Do the institutions identified understand their roles interms of implementation as well as the objectives of the BNG policy? Probe: - Clear definition of roles - Clear communication of policy objectives - Agreement of objectives	Understanding and agreement of objectives
9.	What rules of implementation were adopted by stakeholders identified? Probe: - MOUôs - Punitive measures - Incentives	Policy implementation control measures
10.	What specific role does the DHS play with regard to BNG policy implementation? Probe: - The key specific functions of the DHS - Specific housing programmes - Specific BNG programmes and project - Organising and decisions making - Strategic planning and programming skills - Resource mobilization and financing skills - Communication skills	Strategic and operational tasks functions
11.	Since the establishment of the DHS in 2009, what infrastructural socio economic services were delivered into low cost housing programme? Probe: - New BNG projects delivered - BNG policy achievements - Non achievement of policy objectives	BNG policy implementation status

	- Policy failure - Weak management	
12.	In your experience, what are the major challenges impeding the implementation of BNG policy? Probe: - Conflicts with partner institutions - Insufficient implementation knowledge - Key officials turnover - Insufficient resources - Insufficient political support	Major causes of policy implementation failure
13.	In your opinion what important factors should be considered for successful implementation of BNG policy in the Province?	Perfect preconditions considered for successful implementation
14.	Do you have anything more to add?	Participants opinion
15.	Researcherós own observation and comments.	Overall conclusions

Finally, thank you so much for giving your valuable time and inputs

ANNEXURE B

Interview Guide for Ngaka Modiri Molema District Municipality and Mahikeng Local Municipality
Objective of the study: To identify the challenges of implementing BNG policy in the NW Province

Name of respondent: **Date and place of interview:**

Position:	**Gender:**	**Yrs of service:**
	Interview Guide	**Coding**
A	**Agenda setting and policy formulation**	
1	In your opinion what were the factors that initiated the development of the BNG policy? Probe: - Problems the policy intents to address - Housing programmes evaluations - Policy interventions and objectives	Respondentôs knowledge on the context and the content of the BNG policy
2.	In what ways did you participate in the development of the BNG policy? Probe: - Consultations - Workshops attendance	Participation of respondents on BNG policy formulation
3	Were the right implementation mechanisms considered during formulation stage? Probe: - Implementation strategy - Approaches and operational procedures	Implementation plan incorporated in the initial development of the BNG policy
B	Policy implementation	
4.	In what ways did the DHS (MEC and HOD) communicated this policy to officials in the Municipality? Probe: - Stakeholder consultations - Kick-off meetings - Information management - Political will and influence	Policy communication and coordination
5.	In what ways did the Mayor and Municipal manager communicate the BNG policy implementation plan to internal officials and stakeholders? Probe: - Stakeholder consultations - Coordination and cooperation - Information management - Political and administrative support	Policy communication, coordination and commitment

6.	What changes were made in planning and budgeting concerning BNG policy after Presidential, Premier and MECós programme of actions speeches of 2009? Probe: - Development of BNG policy programmes - Projects identifications and approvals - Policy objectives translated into Annual Performance Plans and budgeted	BNG policy programmes and projects planning and budgeting
7.	What types of resources were deployed to effectively implement the BNG policy? Probe: - Service providers (Consultants) - Training attendance - Budget	Organizational and operational structure
8.	Who are the key stakeholders identified for implementation. Probe: - Partner institutions - Communities	Institutional arrangements responsible for delivery of BNG policy.
9.	Do the institutions identified understand their roles interms of implementation as well as the objectives of the BNG policy? Probe: - Clear definition of roles - Clear communication of policy objectives - Agreement of objectives	Understanding and agreement of objectives
10.	What rules of implementation were adopted by stakeholders identified? Probe: - MOUôs - Punitive measures - Incentives	Policy implementation control measures
11.	What specific role does the Municipality play with regard to BNG policy implementation? Probe: - Identification of community needs - Specific BNG programmes and projects - Organising and communication skills - Resource mobilization and financing skills	Strategic and core programmes and projects
12.	Since the announcement of the BNG policy in 2005, what infrastructural socio economic services were delivered to new housing development? Probe: - New BNG projects delivered	BNG policy implementation status

	- BNG policy achievements - Non achievement of policy objectives - Policy failure - Weak management	
13.	In your experience, what are the major challenges impeding the BNG implementation process? Probe: - Conflicts with partner institutions - Insufficient implementation knowledge - Key officials turnover - Insufficient resources - Insufficient political support	Major causes of policy implementation failure
14.	In your opinion what important factors should be considered for successful implementation of BNG policy in the Province?	Perfect preconditions considered for successful implementation
15.	Do you have anything more to add?	Participants opinion
16.	Researcherós own observation and comments.	Overall conclusions

Finally, thank you so much for giving your valuable time and inputs

ANNEXURE C

Interview Guide for DSAC
Objective of the study: To identify the challenges of implementing BNG policy in the NW Province

Name of respondent: **Date and place of interview:**

Position:	**Gender:**	**Yrs of service:**
	Interview Guide	**Coding**
A	**Policy formulation**	
1	In your opinion, what were the factors that initiated the development of the BNG policy? Probe: - Policy issues and interventions. - Problems the policy intents to address - Housing programmes evaluations - Policy interventions and objectives	Respondentôs knowledge on the context and the content of the BNG policy
B	**Policy implementation**	
2.	In what ways did the DHS (MEC and HOD) communicate the policy implementation plan to key officials in the Department? Probe: - Stakeholder consultations - Kick-off meetings - Information management - Political will and influence - Invitation to DHS Strategic planning Makgotlas	Policy communication and coordination
3.	In what ways did the DSAC (MEC and HOD) communicate the policy implementation plan to officials in the Department? Probe: - Coordination and cooperation - Information management - Political and administrative support - Agreement of objectives	Political will and influence
4.	In your observations, was the policy clearly publicized and communicated? Probe: - Clear articulation of policy objectives - Clear implementation expectations	Understanding the implementation expectations of the BNG objectives
5.	What types of resources were deployed to effectively implement the BNG policy? Probe: - Service providers (Consultants) - Training attendance - Budget	Organizational commitment and operational structure

6.	What rules of implementation were adopted by the department and DHS and municipalities? Probe: - MOUôs - Punitive measures - Incentives	Policy implementation control measures
7.	What specific role does the DSAC play with regard to BNG policy implementation? probe: - Specific BNG programmes and projects	Strategic and operational tasks related to BNG programmes
8.	Since the establishment of the BNG policy in 2005, what infrastructural socio economic services were delivered by the department to new housing development from 2009 to 2013)? Probe: - New projects delivered - Non achievement of policy objectives - Policy failure - Non commitment	BNG policy implementation status
9.	In your experience, what are the major challenges impeding the implementation of the BNG policy in the Province? Probe: - Existing service delivery backlogs - Insufficient political and administrative support - Insufficient explanations of policy expectations - Insufficient resources	Major causes of policy implementation failure
10.	In your opinion, what important factors should be considered for successful implementation of BNG policy in the Province?	Perfect preconditions considered for successful implementation
11.	Do you have anything more to add?	Participants opinion
12.	Researcherós own observation and comments.	Overall conclusions

Finally, thank you so much for giving your valuable time and inputs

ANNEXURE D

Annexure A: Interview Guide for Members of DHS Portfolio Committee (Legislature)
Objective of the study: To identify the challenges of implementing BNG policy in the NW Province

Name of respondent: **Date and place of interview:**

Position:	**Gender:**	**Yrs of Service:**
	Interview Guide	**Coding**
A	**Policy formulation**	
1	In your opinion Sir, what were the factors that initiated the development of the BNG policy? Probe: - Problems the policy intents to address - Housing programmes evaluations - Policy interventions and objectives	Respondentôs knowledge on the context and the content of the BNG policy
2.	What were the initiatives taken by political leaders to implement this policy? (list the activities) Probe: - Policy enforcement - Demand of implementation plans - Budget allocations - Disapproval of plans and budgets	Political will and support
3.	What changes were made in planning and budgeting concerning BNG policy after Presidential, Premier and MECós programme of actions speeches of 2009? Probe: - Strengthening of cooperative governance - New development of programmes and strategic planning	BNG policy programmes and projects, planning and budgeting
4.	Since the establishment of the DHS in 2009, what infrastructural socio economic services were delivered to new housing development? Probe: - New projects delivered - Non achievement of policy objectives - Policy failure - Weak management	BNG status implementation
5.	In your experience Sir, are the institutions (DHS and Municipalities) involved in the implementation ready and willing to implement the policy? Probe: - Willingness - Motivation - Readiness - Ability	The attitudes of implementing institutions

6.	In what ways did the committee contribute to the implementation of this policy? Probe: - Monitor - Investigate - Enquire into and make recommendations - Restructuring programmes	Attributes of the committee on implementation of the BNG policy.
7.	What were the major problems observed by the committee during implementation of the policy? Probe: - Official turnover - Corruption - Inability to plan - Inadequate cooperation - Insufficient resources	Major causes of policy implementation failure
8.	In your opinion Sir, what important factors should be considered for successful implementation of BNG policy in the Province?	Perfect preconditions considered for successful implementation
9.	Researcherós own observation and comments.	Overall conclusions

Finally, thank you so much for giving your valuable time and inputs