



**UNIVERSITY of the
WESTERN CAPE**

**AN EXAMINATION OF THE IMPLEMENTATION OF SELECTED BATHO PELE
PRINCIPLES: A CASE STUDY OF THE WESTERN CAPE DEPARTMENT OF
AGRICULTURE, FORESTRY AND FISHERIES (DAFF) AND ITS SELECTED
CLIENTS**



BY

NICO VENTER
UNIVERSITY of the
WESTERN CAPE

A mini-thesis submitted in partial fulfilment of the requirements for the

Master's Degree of Public Administration (MPA)

School of Government (SOG)

Faculty of the Economic and Management Sciences (EMS)

University of the Western Cape (UWC)

Supervisor: Professor M.V. Esau

30 January 2018



UNIVERSITY *of the*
WESTERN CAPE

Declaration

I declare that an examination of the implementation of selected Batho Pele principles: a case study of the Western Cape Department of Agriculture, Forestry and Fisheries (DAFF) and its selected clients my own work, and that it has not been submitted for any degree or examination at any other university, and that all the sources used or quoted have been indicated and acknowledged by complete references.

NICO VENTER

SIGNED: 

DATE: 30 January 2018



Acknowledgements

I want to thank God through His son Jesus Christ who strengthened me and gave me hope even during the difficult times.

A special thank you to all the people who contributed to this study. I thank my supervisor Professor Michelle Esau for the guidance and encouragement and for allowing me to conduct this research.

To the School of Government lecturers and administrative staff, I appreciate their support and words of encouragement even when I thought it would not be possible.



Key words

Batho Pele principles

Department of Agriculture, Forestry and Fisheries

Western Cape

Public participation

Implementation

Transformation

Effectiveness

Public sector

Transforming Public Service Delivery

New Public Management



List of Acronyms and Abbreviations

ANC	: African National Congress
ARDA	: Agricultural Development Research Authority
DAFF	: Department of Agriculture, Forestry and Fisheries
NPM	: New Public Management
OPM	: Old Public Management
PPPs	: Public Private Partnerships



Abstract

The Batho Pele principles can be seen as a tool to help transform the South African public sector by making it more responsive to the needs of its citizens. The White Paper on the Transformation of the Public Service strives to enhance service delivery to all South Africans (Taylor,2007).The role of the Batho Pele principles is to improve service delivery within the public sector and to assist with the transformation of a public sector that is more effective and people centred. However, if these principles are ignored, it will lead to a public sector that only caters to the needs of the middle class and higher-income groups, thus leaving the lower-income citizens with a substandard of service delivery. Batho Pele means to put the people first; however, that can only take place if these principles are implemented correctly and continuously and their successes and challenges monitored and addressed (RSA, 1997b). If the people are not valued, it will lead to a scenario where citizens lose trust in government. This in turn, could lead to a decrease in active public participation. By not engaging and consulting with the people, government will not adhere to the very first of the Batho Pele principles. Service delivery to all citizens and a responsive public sector are yet to be achieved (Taylor, 2007. Matas argues that the South African public sector lacks effectiveness and efficiency and as a result of this, unequal service delivery is experienced by millions of South Africans (Matas, 1994. The main research objective of this study is to examine the implementation process of the Batho Pele principles through the case of the Western Cape Department of Agriculture, Forestry and Fisheries (DAFF) and how it influences its interactions with relevant clients/citizens. The reason why this department was selected was due to the fact that this department within the Western Cape was solely responsible for assisting wine farm owners across the country with the necessary submissions of wine samples and scientific laboratory reports. This process facilitates the testing, approval and marketing of the wines produced.

The research design that was selected is better known as the evaluation research approach. The reason why this research approach was selected was because this approach analyses the impact of a policy that seeks to address a specific societal or organisational problem. The evaluation research approach facilitated the process of analysing the quality of the Batho Pele principles being implemented within the DAFF. Primary and secondary data sources were used to explore the research question and sub-questions. Primary sources included face-to-face interviews, using a semi-structured interview schedule. Secondary sources included

government documents and reports, books and.

vi

The qualitative technique was employed to make sense of the data gathered. Qualitative data can be defined as a measurement expressed not in terms of numbers, but rather by means of a natural language description (Taylor, 2007).

Qualitative data provided the researcher with better insights into how the participants felt about the services provided by the DAFF and whether or not the eleven Batho Pele principles are upheld and implemented. The qualitative approach allowed for a more in-depth analysis of the opinions, experiences and views of each individual participating in the study.

Self-selection sampling was used during the fieldwork phase. Purposive sampling was used to collect data within the Western Cape's Department of Agriculture, Forestry and Fisheries (DAFF). That was a useful tool for the researcher, who wanted people to participate as part of a study, of their own accord. That allowed for every second wine farm to be selected for research purposes allowing the researcher to interview participants from a larger geographical area and to collect data that would represent a larger community and its views. The five wine farms that were selected for interviews were based on a list of wine farms in the area provided by the Department of Agriculture, Forestry and Fisheries (DAFF). Every second wine farm was selected within a 20km radius from the DAFF office in Stellenbosch. The results of the data that was gathered during the interviews with the five wine farm owners and ten labourers indicated that the Batho Pele principles were not being implemented effectively. Essentially, the responses suggest that service delivery could be improved if the Batho Pele principles were taken seriously by DAFF, and not simply applied in a perfunctory manner. From the data that was gathered from the management of the DAFF it seems as if there are too many policies to comply with. In theory the Batho Pele principles could work. However, it requires official's buy-in where implementation is part of the everyday activities of employees. The wider implications for not implementing these principles correctly will result in a public sector that is not as responsive and people centred.

Some of the key findings of this research indicate that the budgetary constraints affect the implementation of the Batho Pele principles; thus, effective implementation was compromised by this. Secondly, it emerged from the interviews that the Batho Pele principles were unfamiliar to many of the respondents. Thirdly, the management officials who took part in this study all indicated that there was no disciplinary action taken against DAFF officials who failed to adhere to these principles. Lastly, the official language of the DAFF is English, but the clientele of the DAFF is predominantly Afrikaans-speaking people. There is therefore a lack of effective communication due to language barriers that are present.



Table of Contents

Title Page.....	i
Declaration.....	ii
Acknowledgements.....	iii
Key words.....	iv
List of abbreviations.....	v
Abstract.....	vi-viii
CHAPTER ONE: Introduction and Backgrounds	
1. Introduction.....	1
1.1 Background.....	1,2
1.2 Problem statement.....	2-4
1.3 Main and secondary objectives of the study.....	4,5
1.4 Guiding Assumptions.....	5
1.5 Research questions.....	6
1.6 Research design, research strategy and research method.....	6,7
1.7 Data collection instruments.....	7
1.8 Population and sampling framework.....	7,8
1.9 Summary of the Batho Pele principles.....	8,9
1.10 Significance of the New Public Management (NPM).....	10-13
1.11 The NPM and the Regulatory Framework towards improved service delivery in South Africa.....	13,14
1.12 Legislative mandate towards improved service delivery.....	14
1.13 Significance of the study.....	15
1.14 Limitations of the study.....	15
1.15 Concept Clarification.....	15-17
1.16 Framework and chapter outline.....	17,18
CHAPTER TWO: Literature Review	
2.1 Introduction.....	19
2.2 A review of relevant discourse theories.....	19-26

2.3 Legislative mandate improved service delivery.....	26-28
2.4 Parallels between the NPM and the Batho Pele principles.....	27,28
2.5 Chapter summary.....	29,30
CHAPTER THREE: Research Methodology	
3.1 Introduction.....	31
3.2 Research design.....	31
3.3 Case study.....	31,32
3.4 Research approach.....	33,34
3.5 Sampling Strategy.....	34
3.6 Data collection.....	34-36
3.7 Data analysis.....	37
3.8 Validity and reliability	37,38
3.9 Ethical considerations.....	38
3.10 Significance of the research.....	39
3.11 Analysing data collection strategy	39, 40
3.12 Chapter summary	40
CHAPTER FOUR: Background of the DAFF and the DAFF profile	
4.1 Introduction.....	41
4.2 Background and profile of Department of the Agriculture Forestry and Fisheries (DAFF).....	41, 42
4.3 Role, functions and responsibilities of the DAFF	42-44
4.4 Interaction between the DAFF, the wine farm owners and its labourers.....	45-48
4.5 Chapter summary	49



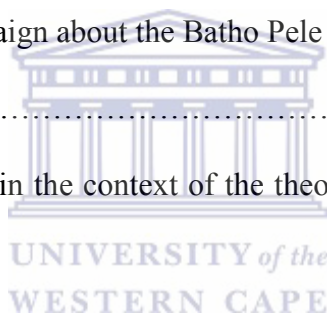
CHAPTER FIVE: Research Findings

5.1 Introduction.....	50
5.2 Demography of the Respondents.....	50
5.3 Face-to-face interviews with the six DAFF officials and Participants face-to-face interviews.....	50
5.4.1 Access to information.....	51
5.4.2 Service standards.....	51,52
5.4.3 Consultation.....	52,53
5.4.4 Redress.....	53,54
5.4.5 Openness and transparency.....	55,56
5.5 Interviews with the five wine owners and ten farm labourers.....	57
5.5.1 Service standards.....	57
5.5.2 Consultation.....	58,59
5.5.3 Redress.....	59,60
5.5.4 Openness and transparency.....	60,61
5.5.5 Information.....	61
5.6 Chapter summary.....	61, 62

CHAPTER SIX: Main findings, recommendations and conclusions

6.1 Introduction.....	63
6.2 Guiding assumptions and research questions.....	63, 64

6.3 Re-emphasising the main and secondary objectives of the study	64,
65	
6.4 Analysing data collection strategy.....	65
6.5 Prioritise consultation with the clients of the DAFF and promote more community participation amongst the clients of the DAFF.....	66, 67
6.6 Adjusting the office hours of DAFF.....	67, 68
6.7 Upgrade and proper maintenance of office equipment of the DAFF.....	67,
68	
6.8 Regular software training for the staff of the DAFF and its clients	69, 70
6.9 Incorporate more workshops into the DAFF to increase awareness and importance of the Batho Pele principles.....	70
6.10 Develop an awareness campaign about the Batho Pele principles.....	71, 72
6.11 Future research.....	72
6.12 Main findings of this study in the context of the theory	72-
75	
6.13 Conclusion.....	75,76
Reference list.....	77-82
Annexure A: Research questionnaire for the DAFF employees.....	83-86
Annexure B: Research questionnaire for the DAFF clients.....	87-89
Annexure C: Afrikaans Research questionnaire for the DAFF clients.....	90-92





UNIVERSITY *of the*
WESTERN CAPE

CHAPTER 1

INTRODUCTION

1.1 Introduction and background

The study explores the effectiveness of the White Paper on Transforming Public Service Delivery (RSA, 1997b) and focuses on selected *Batho Pele* principles that are in line with the research topic. The term *Batho Pele* means “people first” in Sotho, meaning to place the needs of the people first and to serve the people (RSA, 1997b:1).

The term *Apartheid* can be defined as “the state of being apart” (Matas, 1994:85). Racial segregation in South Africa can be traced back to the early colonial times when the Dutch East India Company ruled over South Africa as a colony. The Apartheid government divided South Africans according to four main racial classes: white people, coloured people, Indian people, and black people (Matas, 1994:86). During the early 1960s, the Apartheid government started to remove all black citizens forcefully from their homes and placed them into segregated neighbourhoods. Black people were not allowed to travel freely between the various segregated areas. Only white citizens benefited during the Apartheid era. For example, white people enjoyed the right to vote in provincial and national elections. This means that white people were treated as superior citizens over other racial groups. Secondly, white people had the right to free basic education while non-white people were deprived of this right (Matas, 1994). Black people were treated as the lowest class of humans during the Apartheid regime and sub-standard public services were provided to them in comparison to what the white citizens received. The Apartheid government regarded the geographical areas that were populated by white people as being superior to the non-white areas. The public sector therefore catered primarily for the needs of the white minority population.

After many decades of separatist development, the African National Congress (ANC) won the first democratic elections and assumed power in 1994. The transition to democracy started a process of reform and transformation that entailed the introduction of the Constitution of the Republic of South Africa (RSA, 1996) and a variety of legislation and policies towards equal rights and access for all citizens of the country.

Reform took place in the development of new policies, including a policy that specifically focused on transforming and improving public service delivery, namely, the White Paper on Transforming Public Service Delivery (RSA, 1997b). The popular Batho Pele principles were created so that the public sector could become more responsive to the needs of citizens post-apartheid. The Batho Pele principles consist of 11 key characteristics, all focusing on customer impact and redress of the policies being made so that the previously disadvantaged communities could benefit from them. The policy's main goals were to transform the public sector so that all South Africans could have equal access to service delivery and that the communities were given the opportunity to form part of the policies being formulated so that the actual needs and demands within the communities could be highlighted and delivered on. However, more than twenty years later, equal service delivery and access to public service entitlements of all citizens are yet to be achieved. Arguably, the lack of effective implementation of the Batho Pele principles have resulted in a policy that is not responding adequately to the demands of all citizens.

Against this background, the study examines the effectiveness of the implementation of the White Paper on Transforming Public Service Delivery (RSA, 1997b) with a specific focus on selected Batho Pele principles within the Western Cape Department of Agriculture, Forestry and Fisheries (DAFF) and its relations with selected clients. This research focuses on the implementation of the selected Batho Pele principles with specific reference to the first principle tabled as “Consultation”, principle number two, “Service Standards” and principle number five, “Information”.

1.2 Problem statement

The White Paper on Transforming Public Service Delivery (RSA, 1997b) emphasizes the effective and efficient delivery of basic services to all South African citizens. It provides a framework that guides the implementation of public services according to specific standards and criteria. In addition, it sets out how government departments should interact and engage with citizens in the course of delivering public services. More specifically, the Batho Pele approach comprises eleven principles that refer to, inter alia, consultation, redress, effective leadership, and value for money. Essentially, the Batho Pele principles can be seen as a tool to help transform the South African public sector by making it more responsive to the needs of its citizens.

However, any process of transformation comes with challenges. Firstly, and in the case of a country such as South Africa, the transition from an Apartheid political regime to a democratic one, entails transforming organisational structures, cultures, processes and institutions.

This process is influenced by numerous legislative and policy frameworks. In the case of the DAFF, which is the department under investigation, there are currently 45 policies that are being implemented. There are two programmes within each policy. Naturally, this heavy workload may affect the way in which policies and laws are being implemented by the department. In this context, anecdotal evidence suggests that officials are more focused on compliance than on the actual merits and intended outcomes of policies and laws. Secondly, albeit that the Batho Pele principles focus on equal standards of service for all, evidence suggests that the experience of service delivery is still influenced by social standing and class. In the case of the wine farm owners, owners of well-established wine farms and those who are considered emerging farmers seem to have different experiences when interacting with the DAFF. Farm owners interact with the DAFF on a regular basis on a range of different services. For example, wine farm owners must submit a scientific report on the wines and two wine bottles as a sample that the wine owner would like to sell locally or internationally to the DAFF. The DAFF must analyse and study the scientific report and the two bottles of wine. If the product meets the regulations and standards of the DAFF only then can the wine be sold by awarding the farm owner the licensing certificate so that this product can be sold locally or internationally. Evidence suggests that well-established wine farm owners receive special treatment in the form of a grace period in cases where wine samples are submitted late, due to the well-established wine farm owners being the DAFF's biggest clients and the contribution that they make to the economy. Smaller wine farm owners, on the other hand, will not be granted this special treatment because their wines are not as widely known and the assumption that they make a smaller contribution to the economy of South Africa.

Thirdly, the vision and mission statement of the DAFF highlights the importance of providing previously disadvantaged communities with the opportunity to become farmers and to own land, thus assisting with the transformation within the agricultural sector (DAFF, 2017c). DAFF's vision is aligned to the National Development Plan (NDP), which emphasizes working towards common goals such as creating potential job opportunities to fight unemployment within South Africa and to create food security for South Africa (RSA, 2013).

However, progress towards creating opportunities to disadvantaged communities is stifled due to, amongst other things, poor communication.

Farm labourers only interact with the DAFF in the form of consultation meetings where the focus is on improving service delivery that the DAFF delivers to the farm labourers.

These meetings are normally conducted on a weekend so that the majority of farm labourers could attend the consultation meeting. DAFF uses its departmental website to communicate with its clientele and to share information with its clients. However, not all its clients have access to the internet or a smartphone to access and engage with the shared information. The farm labourers therefore struggle to gain access to such information due to their low salaries. Communication between the wine farm labourers and the DAFF is resultantly stifled. The majority of wine farm labourers do not have access to a personal computer or internet services on these farms, as compared to the wine farm owners who have access to a computer or smartphone. The interaction between the farm labourers and the DAFF primarily takes place through workshops hosted by the department. The DAFF teaches the farm labourers skills and techniques with regards to farming. The department also assists these labourers to apply for land so that they can farm and apply the skills and techniques that they have learned by attending the workshops held by the DAFF (DAFF, 2017b). The aforementioned elucidation of the problem highlights the different experiences of clients of the DAFF. It appears that the perceived economic contribution that wine farm owners make and access to technology and communication resources are amongst the key factors that contribute to these varied experiences.

1.3 Main and secondary objectives of the study

The main purpose of the study is to examine the implementation of selected Batho Pele principles by the DAFF with the view to identify the challenges that confront relevant stakeholders as they pursue their right to quality public service entitlements.

More specific objectives include:

- To examine relevant literature on public service reform to facilitate the development of a conceptual framework through which to explore and understand the problem of poor policy implementation in general, and Batho Pele in particular.

- To present and examine the legislation and policies associated with improving public service delivery, with specific attention to the Batho Pele principles.
- To explore how effectively the selected Batho Pele principles are being implemented within the DAFF.
- To assess whether selected clients are happy with the services provided by the DAFF.
- To identify and discuss the challenges that the DAFF and its relevant stakeholders are experiencing with regards to the implementation experiences of these principles.
- To highlight the main findings of the study, provide recommendations to improve the implementation of the Batho Pele principles by the DAFF and conclude the study.

1.4 Guiding assumptions

The Batho Pele principles are in place as a policy document to try and improve service delivery to ordinary citizens by setting standards that guide the actions and behaviour of public officials so that all citizens have access to equal treatment and services. However, anecdotal evidence suggests that this is not the case in certain Departments. Therefore, the study is guided by the following two broad assumptions: Owners of well-established wine farms and those who are considered emerging farmers seem to have different experiences when interacting with the DAFF.

- Service experiences are influenced by the status of the wine farm. For example, established wine farm owners receive more leniencies from the department with regards to certain deadlines as compared to those of emerging wine farms. Therefore, emerging wine farm owners may not acquire the necessary certification to sell their produce in the event that they do not adhere to the DAFF's timeframes. On the other hand, concessions are made for owners of established wine farms.
- The service delivery experience of relevant stakeholders is partially influenced by their access to technology in the form of cell phones or personal computers. Since the primary form of communication that the DAFF uses is via email or their website, stakeholders who do not have access to smartphones or personal computers will not be abreast of developments in the DAFF or opportunities that they may benefit from. This stifles potential economic opportunities that may arise and benefit the wine farm labourers.

1.5 Research questions

Pursuant to the above, the investigation undertaken was guided by the following research questions:

- 1) How are the Batho Pele principles perceived by all stakeholders?
- 2) What are the clients' perceptions of the DAFF and the service that they deliver to their clients?
- 3) What are the successes and failures of the Batho Pele principles within the DAFF.
- 4) What measures could be introduced to improve the implementation and effectiveness of the Batho Pele principles within the DAFF?
- 5) How effectively are Batho Pele principles being implemented in the DAFF?

1.6 Research design, research strategy and research method

This study chose to use the qualitative research design, because this approach allows for the exploration of a specific research problem through a process that facilitates face-to-face engagement with all relevant stakeholders towards an understanding of their experiences and challenges.

There are five types of qualitative methods, with ethnography being among the most popular. This method does not rely on only doing surveys and interviews to gain information but it allows researchers to experience the environment first-hand and observe their participants (Ritchie et al, 2013). Secondly, the narrative approach requires the researcher to conduct an in-depth interview with one or two participants and to read additional documents on how the general themes are illustrated in the participants' lives and highlights the specific challenges and opportunities throughout the study (Ritchie et al, 2013). Thirdly, the phenomenological method is used when a researcher wants to describe an event or phenomenon. It requires the researcher to use interviews, read additional documents and visit places (Ritchie et al, 2013). This method relies on the participants' perspectives to provide insight into their motivations. Fourthly, grounded theory seeks to study the essence of an activity or event and to provide an explanation or theory to help explain the event or activity (Ritchie et al, 2013). The sample size for such a method is between 20 and 60 participants. Lastly, the case study approach

involves an in-depth understanding of an origination by making use of interviews and other related documents and information to understand the organisation better (Ritchie et al, 2013).

The qualitative research design allows the researcher to explore the problem of the implementation of selected Batho Pele principles by the DAFF to understand whether it is contributing towards service delivery effectiveness and efficiency.

This study used primary and secondary data. Primary data is the collection of data from first-hand experience (Menke, 2016). Secondary data is the data previously collected by other researchers and academics that is still relevant for exploring the research questions and objectives (Menke, 2016). This study used primary data sources that included interviews. It also used secondary data sources that included annual reports of the DAFF, academic journals and other related academic publications.

1.7 Data collection instruments

The researcher compiled an interview schedule, which allowed for the collection of primary data that is in line with the research questions and the research objectives. Primary data collected consisted of a combination of open-ended and closed-ended questions where staff members of the DAFF and its selected clients were required to answer 'yes' or 'no' to the questions. The answers to certain questions determined if the participants needed to elaborate more on why they said 'yes' or 'no' to the previous question. That allowed the participants to explain their answers in more detail, leading to a better insight and understanding for the researcher, on how the participants felt and argued. The inclusion of three open-ended questions at the end of the interview schedule, served as a short interview that allowed for a better understanding of how the various parties felt about the quality of the implementation of the selected Batho Pele principles, thus maintaining a balance between 'yes' and 'no' answers and open-ended questions. This study used an interview schedule consisting of mostly closed-ended questions as well as a few open-ended questions. More detail of the nature of the interview schedule is presented in Chapter 3 of this study.

1.8 Population and sampling framework

The population that formed part of this study were the staff members of the DAFF and the residents of the Winelands District. The sampling frame was gathered from the DAFF, who has a list of all the wine farms and contact details of the farmers and other stakeholders which the DAFF interacts with on a daily basis.

The type of sampling used is known as purposive sampling. Systematic sampling was used to collect the primary data, since every alternate wine farm from the Stellenbosch wine district was selected, to ensure that the questionnaires were completed. The sample size was 21 participants. Ten of the questionnaires were completed by the farm labourers (two per farm), five by the wine farm owners and six by DAFF officials at different managerial levels.

1.9 Summary of the Batho Pele principles

The term *Batho Pele* means “people first” in Sotho, meaning to place the needs of the people first and to serve the people (RSA, 1997b:1). There are eleven Batho Pele principles. The first principle of consultation strives to get greater public participation by having community meetings, doing surveys in the community or scheduling meetings with the community representatives (RSA, 2008:5). Thus, the inputs and views of the community are taken into account when policies are being drafted, ensuring that policies address the problems in the community more directly.

The second principle focuses on instilling service standards within the public sector. By having these standards in place, citizens are provided with an indication of the quality of service delivery they could expect. It is therefore intended to make it easier to hold the government accountable when these standards are not met. Performance benchmarks are there to evaluate the outputs against the pre-determined quality standards that were set.

The third Batho Pele principle places much emphasis on creating equal access to public services and information. By creating equal access, there would be an improvement in rural and urban communities’ access to the latest public sector policies, community meetings and the publication of annual reports.

The fourth Batho Pele principle is ensuring courtesy (RSA, 2008:5). This means that all public officials should treat the citizens with the utmost respect and should be professional at all times when engaging with citizens. The public servants are required to be honest, friendly and transparent in their work, at all times (RSA, 2008:5).

Principle five refers to the provision of information to the public. Information should be accessible to citizens to enable the evaluation of a service and to assess whether the performance criteria were met or not.

The sixth principle seeks to create a public sector that is open and transparent (RSA, 2008:5-6). This principle encourages the dissemination of information to the general public about what the functions and accountability responsibilities of the various spheres of government are and how their work is coordinated with one another.

Principle seven relates to the redress of services (RSA, 2008:6). Redress is done in the context of identifying where policies or service delivery have performed below the standard that was set. Thus, the service delivery standards need to be addressed towards the improvement of services. According to this principle, public officials are expected to provide citizens with information on time to ensure the improvement of services and also to provide criteria for evaluation after the problem has been addressed.

Principle eight focuses on value for money (RSA, 2008:6). This principle seeks to achieve minimal fruitless expenditure; the resources that are used should deliver the maximum outputs, as far as possible. Therefore, the money allocated to the provision of services must result in the stated outputs.

The ninth Batho Pele principle focuses on service excellence (RSA, 2008:6). Public leaders must strive to create an environment that facilitates service excellence and standards of quality service. A focus on service excellence can facilitate innovation in the public sector, contrary to the Weberian idea of the public sector.

The tenth principle focuses on customer impact. This means seeing people within the public sector as customers that pay for services. Hence, this principle wants to improve the frontline service experience by making it a more positive and friendly environment of interaction between the customer and the public official.

The eleventh principle seeks to improve leadership by developing support programmes for future leaders being groomed and it links the value of excellence that is created to promote and fast-track good quality leaders within the public sector. This principle is, however, influenced by the availability of quality leaders interested in employment in the public sector.

From the eleven principles listed above the researcher will focus on three key principles namely, consultation, service standards and lastly, information.

1.10 Significance of the New Public Management (NPM)

The White Paper on Transforming Public Service Delivery (The White Paper on Transforming Public Service Delivery, 1997b) is strongly aligned to the concept of the New Public Management (NPM). At the advent of democracy in 1994, there was a need for a public sector that is more responsive and that could be held accountable for its actions. NPM was labelled as a more effective and efficient approach through which outputs could be achieved. NPM was accepted as being the golden standard for administrative reform during the early 1990s (Ferlie, 1996).

It emphasizes a number of principles towards the improvement of service delivery in the public sector. Essentially, the focus of the NPM approach is to consult and engage with ordinary citizens towards improved service delivery (Denhardt & Denhardt, 2016).

NPM can be regarded as decentralising decision-making within the public sector (Chipkin, 2012). By decentralising the decision-making process within the democratic South Africa, citizens at grassroots level are encouraged to participate in community meetings, vote and even protest so that the voices of the ordinary citizens are taken into account before a policy is introduced or a decision is finalised by the state. By allowing for greater public participation, decisions made by the state are supposed to benefit the greater good of South Africans and not only a minority elite group (Chipkin, 2012). Public participation also empowers the client groups to actively influence the quality of services from the state. This could be seen as being the most important characteristic of NPM as South Africa requires a public sector that is responsive and catering directly to the needs of the people. NPM thus strives to create a public sector that is managed equally and that caters to the needs of the people. It aims to make the public sector less bureaucratic and more flexible and responsive to the needs of the people. NPM allows for civil servants to exercise administrative discretion within the confines of legislative and policy frameworks, in the hope of improving efficiencies and effectiveness. Hence, public sector managers firstly possess the authority through the principle of decentralisation of power and secondly, the discretion to make decisions that will enhance and facilitate service delivery.

What makes NPM unique is the fact that public managers' performance is monitored and evaluated regularly. The NPM approach emphasizes the setting of performance standards within the public sector (Chipkin, 2012). By having the necessary service standards in place, it allows for greater clarity about what is expected from public officials and the quality of service delivery that should take place. NPM therefore speaks directly to Batho Pele principles two and four, namely, service standards and courtesy (RSA, 1997b). NPM thus supports these Batho Pele principles as both argue that all South Africans have the right to service delivery of the same quality irrespective of someone's social status. Thus, citizens' needs and demands are all seen as being equally important. To this end, the NPM's approach attempts to improve equal and equitable access to public services (Chipkin, 2012). Consequently, monitoring is conducted during the implementation of a policy and highlights whether any deviations took place during that stage, as well as the reasons for the deviations (Denhardt & Denhardt, 2016). Evaluation is conducted at the end of policy implementation and evaluates the output. One problem with the NPM paradigm is that evaluations focus largely on the outputs, at the expense of the outcomes and impacts of a policy (Denhardt & Denhardt, 2016).

Decentralisation is another principle embodied by the NPM's approach and within the Batho Pele principles (Denhardt & Denhardt, 2016). Decentralisation within the context of the NPM allows for transformation to take place through a collective management system that is more flexible and responsive to the needs of its customers and that is not limited in the management strategies which it uses. This method of management allows managers within the public sector to use their authority and discretion to discern within the context of the regulatory framework. The bottom-up approach was incorporated into the White Paper on Transforming Public Service Delivery (RSA, 1997b) because the bottom-up approach affords public officials the opportunity to exercise administrative discretion with the regulatory framework.

The decentralisation of decision-making also facilitates the participation of ordinary citizens (Christopher & Hossain, 2013). This can be linked to the first Batho Pele principle that addresses the issue of consultation with the public (RSA, 1997b). The bottom-up approach is people-oriented, in the sense that inputs from the citizens are seen as being very important to the policy-makers and implementers (Nuamah, 1996). Citizens are therefore mandated to participate in community meetings and voice their opinions so that the intentions of the White Paper on Transforming Public Service Delivery (RSA, 1997b) are achieved in a meaningful

way. Therefore, through adopting the principle of decentralisation in the context of decision-making, relations between citizens and civil servants are fostered towards the ends of responsive and meaningful public policies. It also allows communities and individuals the opportunity to deliver their inputs and to voice their concerns. This will allow for the formulation of more effective policies that address the problems more directly.

The improvement of service delivery within the South African public sector is the main aim of the Batho Pele principles. Chapter Ten of the South African Constitution (RSA, 1996) makes citizens aware of the set standards of service delivery that they can expect within the public sector. It also makes citizens aware of their rights to complain if those standards are not met by following the correct complaints procedures (RSA, 1996). Thus citizens can hold public official's directly accountable if the benchmark for service delivery is not obtained. In the ideal-type context, the power is ultimately in the hands of the citizen and allows for a public sector that is people centred by identifying the needs of the citizens such equal service delivery. These principles are thus not working in isolation but, are in line with the South African Constitution to ensure that fair and equal service delivery takes place.

The roots of NPM can be traced back to the Citizen's Charter of the United Kingdom (UK) that was first introduced in the early 1990's by John Major of the Conservative Government (Campo & McFerson, 2014). The charter would serve as a National Programme with the main focus to improve the quality of public services for the people of the United Kingdom so that these services respond to the needs of its users (Campo & McFerson, 2014). The main objectives of the Citizen's Charter was to empower the citizens of the UK in relation to public service delivery. This charter had six key objectives namely, quality of service delivery, providing a choice for citizens wherever possible, setting standards on what the citizens can expect and how citizens could report services that does not meet the standards (Campo & McFerson, 2014). The next objective was to provide value for money as the taxpayers wanted to see their money being used effectively (Campo & McFerson, 2014). Accountability also formed part of these objectives where the specific department within the state can be hold accountable for service delivery and lastly, increasing transparency within the UK public sector so that all could have access to information and reports. According to Parrado (2006) the Charter standards were often too vague to be meaningful and largely devised without consulting with the full range of stakeholders. Also there was little regard to the needs of those who do not use the services, such as ethnic minorities. A review of the Batho Pele document that applies to public servants in South Africa, is essentially a "copy

and paste” of the UK Charter. The principles of the Batho Pele, principles are consultation, setting service standards, increasing access, and ensuring courtesy, providing information, openness and transparency, redress and value for money (RSA, 1996). Thus it can be argued that the roots of the Batho Pele principles can be traced back to the UK Citizen’s Charter.

The UK charter focused on key issues such as improving services delivery within the UK public sector. Thus there was multiple similarities between the UK charter and the Mount Grace Initiative that took place as both want to improve the responsiveness of the public sector and to be more effective during service delivery. The Mount Grace Initiative took place in the year 1991 that served as the South African version of the Minnowbrook Conference (Mc Lennan & Fitzgerald, 1992). The Initiative called for a new dynamic approach to teaching and doing research within the Public administration (Mc Lennan & Fitzgerald, 1992).

1.11 The NPM and the Regulatory Framework towards improved service delivery in South Africa

From the above, the core principles of New Public Management (NPM) seem evident within the principles of Batho Pele. In particular, the focus on administrative/managerial discretion, allows for public managers to adopt a management style that is more innovative, consultative, open and transparent. By having a more hands-on approach allows for public officials to interact and engage with citizens at grassroots level thus eliminating the scenario of public officials losing touch with the ordinary citizen. Secondly, Batho Pele and NPM value the customer as being the most important role player (Christensen & Lægreid, 2016). By putting the needs of the people first, it allows for the customers to feel valued and creates the space for the customers to complain if service delivery is not meeting the performance standard, since they are paying for a service. Secondly, NPM and Batho Pele use a decentralised approach (Christensen & Lægreid, 2016). This means that decisions will no longer be made by a small elite group at the top but, rather through consulting and engaging with both public officials lower down the hierarchy and citizens at grassroots level and incorporating their inputs into policies before these are finalised.

Public participation allows for more responsive public policies and greater effectiveness and efficiency. The fourth similarity that can be drawn between NPM and Batho Pele is that both seek to implement service standards (Christensen & Lægreid, 2016). By having clear and

well-defined performance standards, it allows public officials to direct their competencies, experiences and knowledge towards the achievement of departmental goals and objectives. These performance standards are also shared with the public and allow the South African public to hold civil servants accountable if they do not do their jobs correctly.

Notwithstanding the similarities between the NPM approach and the principles of the Batho Pele, public sector departments are struggling to comply with the regulatory requirements. With regards to principle five, “Information” and principle three “Access”, the clients of the DAFF do not have equal access to the information that is being shared by the DAFF via its website or the emails that the department sends to its clients. In this regard, the majority of wine farm owners will be able to access the DAFF website for the latest information or check their emails. However, the majority of the farm labourers do not have access to internet or the luxury of buying additional data to access the DAFF website.

The case study of DAFF speaks directly to the quality of service delivery on the wine farms and also how the labourers on those farm experience poor service delivery. It is evident from this case study that there is a double standard of service delivery on wine farms. For example, the owner of the wine farm living in the manor house will experience a better quality of service delivery from the DAFF than the labourers working on the farm. Therefore, the primary aim of this research is to explore the implementation process and challenges experienced by the DAFF insofar as the Batho Pele principles are concerned.

1.12 Legislative mandate towards improved service delivery

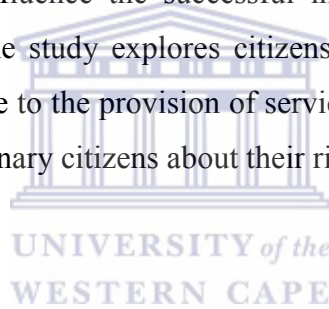
The focus of the South African government on improved service delivery is emphasized in various legislative and policy frameworks. A number of legislative and policy frameworks can be linked to the eleven Batho Pele principles. Firstly, the Public Service Act of 1994 (RSA, 1994) was formulated and implemented with the main goal of establishing norms and standards within the post-apartheid public sector of South Africa (RSA, 1997b).

This Act is aligned to the Batho Pele principles in relation to the transformation of the public sector, so that this sector is more open to all South Africans and not just a small elite. The public service should also improve its effectiveness, efficiency and overall service delivery to the public. Secondly, the Public Administration Management Act of 2014 (RSA, 2014) was formulated and implemented with the main objective of achieving a high standard of

professional ethics in the public administration and to improve the effectiveness and efficiency of service delivery to all without discrimination based on race or social status (RSA, 2017). This Act can be linked to the core values of the Batho Pele principles such as promoting transparency, establishing good ethics within the public sector but most importantly, to put the demands of the customer first, at all times.

1.13 Significance of the study

This study is important for various reasons. First, it aims to highlight the complexities associated with public policy implementation. In spite of clear and coherent policy frameworks, public institutions, departments and agencies continue to struggle to interpret, apply and implement policies and laws as intended. Second, the study attempts to understand the problems of implementation through exploring the views and experiences of both public officials and ordinary citizens. In this way, an understanding of the internal and external factors that could potentially influence the successful implementation of the Batho Pele principles, is provided. Third, the study explores citizens' understanding of their rights of citizenship with specific reference to the provision of services provided by the DAFF. To this end, the study may enlighten ordinary citizens about their rights and duties of citizenship.



1.14 Limitations of the study

The challenges experienced during this study were experienced in various ways ranging from the lack of sufficient funding for the study, to the unsatisfactory cooperation from the DAFF. The researcher struggled to get the required cooperation from the DAFF. Several scheduled interviews resulted in postponed meetings, as DAFF respondents were committed to their work. The study was privately funded, therefore the researcher was unable to take a bigger sample pool and could only conduct the research within his limited budget.

1.15 Concept Clarification

1.15.1 Batho Pele principles

The term *Batho Pele* means “people first” in Sotho, meaning to place the needs of the people first and to serve the people (RSA, 1997b:1). The Batho Pele principles are one of the few

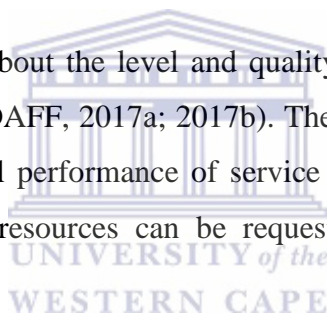
mechanisms to help transform the public sector to becoming more responsive and transparent towards its citizens.

1.15.2 Consultation

This can be done through surveys, questionnaires, meetings, suggestion boxes, by talking to customers (DAFF, 2017a; 2017b). It is important to report back to customers so they know what to expect, and to DAFF staff members so that they know what is expected from them.

1.15.3 Service standards

Customers should be informed about the level and quality of the service delivery they can expect to be delivered to them (DAFF, 2017a; 2017b). The standards within service delivery serve as a tool to measure actual performance of service delivery. More resources such as human resources and financial resources can be requested to help maintain the service delivery standards that were set.



1.15.4 Information

Customers should be given full and accurate information about the public services they are entitled to receive (RSA, 1997b). Information should reach all customers, to make sure they are well informed about the services that this department provides. This may be done in a number of ways, for example, through newspapers, radio, departmental website and emails.

1.15.5 Selected clients

Selective clients “... can be seen as a group of interacting people sharing the same geographical location where resources, needs, and preferences are shared amongst members” (Business Dictionary, 2016a; 2016b). The selected clients interacting with the DAFF are the local wine farm owners of the Western Cape Winelands District and its wine farm labourers. These selected clients formed part of the fieldwork that was conducted by completing a

questionnaire that was different to the questionnaire that the staff members of the DAFF completed.

1.15.6 Public participation

Public participation “is two-way, communication and collaborative problem-solving with the goal of achieving better and more acceptable decisions. Public participation prevents or minimizes disputes by creating a process for resolving issues before they become polarized” (Intellitics, 2016, p.34). Public participation thus allows for individuals (selected clients) to voice their opinions so that policies can be formulated to directly address a specific need within that community.

By incorporating the opinions and inputs of the selected clientele of the DAFF, it allows for more effective and strategic implementation of policies to take place within the DAFF and its selected clients.

1.16 Framework and chapter outline

Chapter One: Introduction and Background

Chapter One provides details of the research plan that the researcher undertook. This chapter presents the main aims and objectives, research questions and guiding assumptions of the study. The chapter also details the methodological approach that the researcher employed and highlights the sampling frame of this study as well as the data collecting instruments. Furthermore, this study identifies the limitations and the significance of this study. This chapter also unpacks the literature review as well as the relevant legislation related to this study.

Chapter Two: Literature Review

Chapter Two focuses on three main areas. The first is a review of the relevant discourse theories, highlighting some of the academic debates related to this study.

Secondly, it discusses the legislative mandate towards improved service delivery, highlighting the legislative components related to this thesis. Lastly, this chapter focuses on the parallels between the New Public Management (NPM) and the Batho Pele principles.

Chapter Three: Research Methodology

Chapter Three identifies all the research methodology components used throughout this thesis. This chapter identifies the research design that was used as well as the case study that forms the basis of this thesis. The research approach and the sampling frame is also unpacked and discussed in detail, highlighting the reasons why these were selected. The data collection and data analysis methods are discussed, thus providing structure and guidance to achieving the research objectives. This chapter also touches on the validity and ethical considerations. Lastly, the chapter contemplates the significance of this study.

Chapter Four: Data Collection and Data Presentation

This chapter provides the background and profile of the Department of Agriculture, Forestry and Fisheries (DAFF). It discusses in detail, the roles, functions and responsibilities of the DAFF. This chapter also elaborates on the interaction between the DAFF, wine farm owners and wine farm labourers.

Chapter Five: Findings

This chapter discusses the face-to-face interview process and identifies the questions posed to the participants of this study. It also highlights the demography of the respondents. The chapter then presents the findings of the face-to-face interviews with the six DAFF officials, followed by the face-to-face interviews with the five wine farm owners and the ten wine farm labourers (two labourers per farm).

Chapter Six: Conclusion and Recommendations

Chapter Six emphasizes the main and secondary objectives of the study. This chapter also looks at the guiding assumptions and the research questions, identifying how each question was answered. The analysis of the data collection strategy is done in this chapter, identifying the success areas and the problem areas with regards to this strategy. The recommendations are based on the data and the findings presented. The study proposes to make realistic recommendations that could be used by the DAFF.

Chapter Six also identifies the opportunities for future research relevant to this research topic. It formulates a conclusion based on all the information presented in this thesis.



UNIVERSITY *of the*
WESTERN CAPE

CHAPTER 2

LITERATURE REVIEW

2.1 Introduction

Public service delivery is not an ideology but rather a basic human right. The post-Apartheid Government inherited a public sector that only catered to the minority (white citizens) that led to a public sector that lacked the necessary infrastructure and resources to provide equal service delivery to all South Africans. This chapter discusses the preliminary literature that consists of Old Public Administration (OPA), New Public Management (NPM) and the selected Batho Pele principles, highlighting the differences between Old Public Administration and NPM. Furthermore, it indicates the relevance and importance of NPM within the South African public sector. The second area discussed within this chapter is the legislative and policy mandate towards improved service delivery for South Africans within the public sector.



2.2 A review of relevant discourse theories

South Africa started to write a new chapter in its public sector history after the first democratic elections that took place in 1994. The South African public sector and its public administrators were in drastic need of reform due it being associated with a top down Apartheid government (Miller, 2005). One of the major challenges that the anti-Apartheid Government faced, was not just to make the public sector effective and efficient, but also how to eliminate the legacy of Apartheid within the South African public sector. The African National Congress (ANC) identified that the only way that the South African public sector could be made more effective and efficient was by adapting a new public management approach that would benefit all South Africans and not just a small elite (Chipkin, 2012). The Old Public Administration (OPA) was heavily influenced by Max Weber and his approach to the functioning and management of the public sector (Fry & Raadschelders, 2013). The Old Public Administration (OPA) was based on mainly two key pillars namely, hierarchy and meritocracy (Fry & Raadschelders, 2013). Some of the academic debates against the Old Public Administration are relevant here. The OPA was best known for having a top down approach and consisted of a hierarchy within the public sector and its presidency. This

hierarchy within the public sector allows the state to have centralised control of the country (Fry & Raadschelders, 2013).

This means that the Apartheid government did not consult with any citizens regarding the decisions that needed to be made, that would have a direct impact on the citizens' day-to-day lives. That led to a scenario where the Apartheid government made decisions and policies that were ineffective and that did not address the needs of all South Africans. For example, effective and efficient service delivery was provided to white people during Apartheid. During the OPA the focus of the civil servant was on the implementation of the public policy as conceived through the ideals of Max Weber. Weberianism focused on input, process and output. The focus was on efficiency, rather than doing work within the public sector effectively. Max Weber regarded bureaucracy as being the most rational form of administration that is formed by man. Weber argued that domination is exercised through administration and for legal domination to take place, bureaucracy is required (Goldfinch & Wallis, 2009). Thus, the old Apartheid civil service was very efficient in implementing policies of separatist development. The researcher is of the opinion during the OPA civil servants were not allowed to use their own discretion within the work place. Also civil servants during OPA was not allowed to have too much sympathy with the citizens to whom they served. Weber was of the opinion that civil servants were mere implementers without any real contribution to the nature and relevance of the public policies and laws (Goldfinch & Wallis, 2009).

The OPA was also characterised by being inflexible, meaning that public officials were not granted the authority to use their discretion when engaging and consulting with people at grassroots level (Lynn, 2006). Having a public sector that is not flexible will result in a scenario where the citizens' demands are ignored because their demands and needs are more complex and require more insight by the public officials. Another argument is that the OPA insisted that the policy makers be kept separate from the policy implementers (Lynn, 2006). By separating those two aspects, it created mass confusion as to how effectively the policies were actually being implemented and which parts of the policies needed revision so that the policies could be implemented more easily in the future. Scholars argue that the OPA focused mainly on efficiency and effectiveness within the public sector and its resources (Lynn, 2006). The state's focus on the allocation of state resources to the necessary departments for policies that need to be implemented, allows for records to be kept, indicating the amounts of money given to a specific department and the purpose of these resources so that the resources

are used effectively. Within the context of the Apartheid public sector, not all resources were allocated and used effectively; neither did they benefit the majority of South Africans.

During the late 1970s Margaret Thatcher introduced the idea of ‘agencification’ where agencies were created on the principles of the private sector to deliver services, initially within the purview of the public service. However, because of the civil service’s tardiness, Thatcher opted out and adopted a different approach to public service delivery (Massey & Johnston, 2015). Agencification was introduced in the early 1980s. Its main aim was to improve the management within government as well as to provide service delivery that is more effective and efficient (Massey & Johnston, 2015). The rationale behind agencification was the reduction of the size of the British government, whose duties were too diverse and too complex. In the late 1980s the Prime Minister Efficiency Unit published a report called “Improving Management in Government” which formed the basis of this concept (Massey & Johnston, 2015). This brought to light the public management theory (Osborne and Gaebler, 1992). The introduction of agencification within the South African context has yielded mixed outcomes. Several examples illustrate the challenges inherent in the creation of agencies intended to improve state efficiencies and effectiveness. Amongst other things, corruption and mismanagement has negatively affected how agencies have performed its functions and responsibilities.

The South African Social Security Agency (SASSA) is a case in point. Nepotism, poor leadership and a lack of capacity are just some of the challenges confronting the agency (Claire, 2018). Currently within the South African public sector there is a lack of leadership with regards to transforming the public sector. Thus a good leader will lead by example and provide the necessary guidance so that the goals and objectives can be achieved within the context of service delivery (Lotter, 2013). Lack of capacity within South Africa also have a major impact on quality of services being delivered to the people. The lack of capacity within the public hospitals refers to the lack of medical doctors to treat the patients. Public hospitals are faced with outdated medical equipment leading to patients waiting hours before they can be attended to (Randall, 2012) .Agencification in theory is to make the public sector more effective and to divide the workload of the state sound good however, agencification does not make the public sector more responsive. The Citizen’s Charter of the United Kingdom (UK) that was first introduced in the early 1990’s by John Major of the Conservative Government.

The charter would serve as a National Programme with the main focus to improve the quality of public services for the people of the United Kingdom so that these services respond to the needs of its users (Salvatore & McFerson, 2014). The main objectives of the Citizen's Charter was to empower the citizens of the UK in relation to public service delivery.

This charter had six key objectives namely, quality of services delivery, providing a choice for citizens wherever possible, setting standards on what the citizens can expect and how citizens could report services that does not meet the standards (Salvatore & McFerson, 2014). The next objective was to provide value for money as the taxpayers wanted to see their money being used effectively (Salvatore & McFerson, 2014). Accountability also formed part of these objectives where the specific department within the state can be hold accountable for service delivery and lastly, increasing transparency within the UK public sector so that all could have access to information and reports. Thus the researcher argue that the roots of South African White Paper on Transforming the Public Sector can be traced back the Citizen's Charter of the United Kingdom.

Public management therefore strived to break away from the bureaucracy concept and to develop a new form/method to make the public sector even more responsive to the needs of the citizens. The public management approach illustrated the shift from public administration to managerialism as a way of improving service delivery within the public sector (Gray & Webb, 2013). This shift first took place in the United Kingdom (Gray & Webb, 2013). It entailed, amongst other things, decentralisation of budgetary functions and decision-making by staff in middle and lower level management positions. The transition from public administration to public management sparked a range of public administration reforms. Notable amongst others is the "New Public Management" (NPM). NPM was first introduced as being a two-pronged approach whereby NPM applied the early principles of management that have been modified to be more effective, more streamlined and being more professional within government. One of the major strengths of NPM comes in the form of decentralisation – the devolution of power against the tendency of control and promoting a bottom up approach with regards to making decisions within the public sector (Bakvis & Jarvis, 2012). NPM also allows state officials to use innovation and to use discretion within their work areas, thus putting the needs of the customer first. One of the NPM weaknesses is evident in the increasing gap between the rich and the poor of a country; the gap should not increase but rather decrease. Another weakness of the NPM is the 'one size fits all' problem. The researcher agree with the disadvantages of NPM, as a country South Africa is still a developing country thus we are responsible to develop a public sector model that functions

within the framework of challenges. That means that the NPM cannot just be ‘copied and pasted’ onto any country and assume that it will solve all the problems within the public sector (Bakvis & Jarvis, 2012).

However, the roots of the Batho Pele principles can be traced back to the UK Citizen’s Charter and the United States of America Citizen’s Charter thus making the Batho Pele principles less unique. The researcher is of the opinion that the problem with adopting an existing charter is that South Africa at that point in time did not have the same economic or social circumstances. Hence, a first world country model was adopted and implemented into a developing country context. The South African public sector should have rather formulated and drafted their own model to have greater opportunity of success. The NPM can assist but, should be adapted and be custom-made for each country. However, the NPM leads to a government that has more expenses and is also much larger but, effectiveness and efficiency will not be compromised (Vusi, 2017).

The Mount Grace Initiative took place in the year 1991 that served as the South African version of the Minnowbrook Conference (Mc Lennan & Fitzgerald, 1992). The Initiative called for a new dynamic approach to teaching and doing research within the Public administration (Mc Lennan & Fitzgerald, 1992). The researcher argues, that this Initiative could have been the very first step towards South African becoming a more responsive and accountable public sector.

Hence, the New Public Administration Initiative (NPAI) was formed by progressive Public Administration academics to help transform the South African public sector. In 1991 the NPAI held the Mount Grace conference where multiple resolutions were passed calling for a more progressive approach to the teaching and practice of the public sector of South Africa (Mc Lennan & Fitzgerald, 1992). The researcher also argues, that not only did South Africa copy the UK Citizens Charter and use it in South Africa but, some key characteristics was also blindly adopted from the United States of America and its Citizen Charter. It is also important to note that inspiration was drawn from the United States of America and their Citizen’s Charter that also focused on delivering services that are equal and transparent to all citizens (Dulaney, 2016).

The New Public Management (NPM) was first considered in South Africa when the fall of the Apartheid regime took place during the first democratic national elections of 1994 (Glaser, 2001). The NPM was adopted by the anti-Apartheid government that came into

power from 1994 due to the demand for radical change in South Africa. The NPM was identified as being the best possible approach that suited the South African democratic government. The state needed a new approach to help solve and improve the public sector that was left behind by the Apartheid government.

The researcher is of the opinion, that the problem within the South African public sector at that time was that no official announcement was made that South Africa has now adopted the NPM within the public sector, but rather incorporated some key characteristics to suggest this notion. This was problematic from the start as NPM outlined that accountability is of utmost importance within the public sector, yet not one leader within the South African public sector took the liberty of taking this decision.

The NPM sees all citizens as ‘customers’, just like the private sector sees clients as being customers (Vusi, 2017). Many academics argued that a public sector can only be effective if it sees citizens as customers and makes the customer feel valued. By making the customers feel important and addressing their demands, the NPM allows for equal service delivery to take place because all customers are regarded as being equally important (Vusi, 2017). This new approach and mind set was much needed for the transformation of the new South African public sector, which is now held accountable for providing service delivery that is fair and equal to all. The NPM’s approach seeks to change the structure and the processes of the public sector to make them more effective and efficient as well as adopting business principles of managerialism within the public sector.

The New Public Management has distinctive characteristics that were appealing to the new democratic government of South Africa. One of the characteristics of the NPM was that the NPM seeks to decentralise the power of the hierarchal structure of the state (McLaughlin et al, 2005). Decentralisation throughout the decision-making processes within the public sector allows for citizens at grassroots level to attend community meetings or to be consulted by the state so that the inputs from citizens at grassroots level could be taken into account before decisions are made. Public participation will help strengthen the South African democracy because all relevant stakeholders must be consulted first before the final decisions can be made.

One of the major advantages of adopting the NPM is the increase in public participation. Citizens feel valued and are respected when being consulted, thus making the customer experience a positive one.

Consultation is clearly the most important aspect that must take place first before any decision or policy can be drafted or formulated by the state (McLaughlin et al, 2005). However, the citizens also have a responsibility to participate in community meetings, surveys and other forms of public participation.

The engagement between the state and its customers will strengthen their relationships due to the open door policy that the state has adopted (McLaughlin et al, 2005). The incorporation of the inputs of the customers allows for the state to formulate and implement policies that are more effective and that address the needs of the customers more directly, thus minimising fruitless expenditure and maximising the use of state resources. However, the researcher argues, if there is little to no public participation that takes place it will result to a scenario where the democracy cannot be strengthened amongst South Africans as they do not want to participate or not sure how to share their opinions within the public sector.

Secondly, the NPM stood out for the ANC-led government, because of its monitoring and evaluation feature applied to the regular performance appraisal of its managers (Laegreid & Christensen, 2013). This is done by setting the necessary performance standard for civil managers and other state officials, clearly outlining what is expected from each public official and highlighting the required quality of service delivery.

This point can be linked to Principle two of the Batho Pele principles that pertains to service standards (RSA, 1997b). If these standards are not met, the responsible officials or managers will be held accountable for not meeting the necessary standards. The NPM seeks to improve equal and equitable service delivery to all South Africans (Laegreid & Christensen, 2013). Service standards also contribute to equal service delivery to all citizens, irrespective of their social class or race. The service standards should therefore be communicated to the citizens so that the level of quality that can be expected are known by the people who will receive these services. The standards that are set serve as a tool to measure the performance regarding service delivery and identify if the standards were met. If the standards were not met, citizens could complain and the relevant state officials would be held accountable for not meeting the service standards (Laegreid & Christensen, 2013). The allocation and use of state resources should be done effectively and efficiently so that these service standards are met at all times (Laegreid & Christensen, 2013). The ten year review on the implementation of the principles indicate that these principles are still relevant and that service delivery within the public sector can be improved (DAFF, 2017a).

The third characteristic of the NPM is the sharing of information with its customers. The information that is shared by the state should be accurate and trustworthy.

The sharing of information will help to inform customers about what is actually taking place within the public sector and also to make customers aware about the latest developments within the public sector (Denhardt & Denhardt, 2016). Information can be shared via mass media such as newspapers and the radio or on departmental websites and other relevant internet sources (Denhardt & Denhardt, 2016). This characteristic can also be linked to the fifth Batho Pele principle that seeks to share information with its customers (RSA, 1997b). The sharing of information with the customers will keep the customers in the know about what is happening within their public sector and also to share information that all customers have access to, either in the form of mass media or on the internet.

2.3 Legislative mandate towards improved service delivery

The South African government is focused on improving the quality of services that are being rendered to its citizens. This is highlighted in many different policy framework and other legislative frameworks. For example, the main objective of the Public Service Act of 1994 is to improve the customer experience when citizens engage with any department within the South African public sector (RSA, 2017b). Civil servants are trained in their engagement with the public. This includes making all customers feel equally valued and ensuring that all customers' complaints are taken seriously. The White Paper on managing people in the public sector and the White Paper on skills and competencies of public servants also assist with the improvement of service delivery by state officials (RSA, 1997a; 1997b). Chapter Ten of the South African Constitution specifically focuses on public administration and the basic values/principles governing public administration (RSA, 1996). Public officials are therefore obligated by the South African Constitution to deliver services that are of a certain standard and that all its customers are treated equally (RSA, 1996).

Selected Batho Pele principles

The Batho Pele initiative was first introduced to the South African public sector by the late President Nelson Mandela in 1997. Batho Pele is a Sotho term that means to “put the people first” (RSA, 1997b). When the Batho Pele principles were first introduced and implemented, they consisted of eight key principles that would assist in the service delivery process.

However, since 1997 these eight principles have grown to eleven principles due to the South African public sector’s continuous growth. The selected Batho Pele principles are summarised below.

The first principle of consultation strives to get greater public participation by having community meetings, doing surveys in the community or scheduling meetings with the community representatives (RSA, 2008:5). Thus, the inputs and views of the community are taken into account when policies are being drafted, ensuring that policies address the problems in the community more directly.

The inputs that are gathered from the engagement between the DAFF and its customers are recorded and taken into account before DAFF makes the final decision or implements a policy that will affect its customers in their day-to-day activities. The consultation with people at grassroots level strengthens the democracy within the public sector by allowing all citizens to voice their opinions, provide inputs on improving a policy or identify what policies are ineffective within their communities.

The second principle focuses on instilling service standards within the public sector (RSA, 1997b). By having these standards in place, citizens are provided with an indication of the quality of service delivery they could expect. It is therefore intended to make it easier to hold the government accountable when these standards are not met. Performance benchmarks are there to evaluate the outputs against the pre-determined quality standards that were set.

The argument against this approach is that civil servants and their managers will see the performance standards as an opportunity to tick the box. This means that after service delivery has been implemented or a service has been delivered, the civil servant managers will indicate that that service delivery took place without doing the necessary inspections to confirm that the correct output was achieved (Chaston, 2011). The down side of introducing performance standards in state departments, is that, it is time consuming to meet all the standards that have been set and it adds to the workload of civil servants within the public sector.

The fifth Batho Pele principle strives to provide and share the necessary information that is related to the public services that are rendered by the state (RSA, 1997b). The information that citizens are entitled to is contained in the national budget, local municipal budget, policies implementation plans, and the monitoring and evaluating process of the state.

The provision of the necessary information to the customers of the South African public sector, will lead to informed customers who are made aware of the latest news and policies that will affect them. They will also know when the next community meetings will take place (RSA, 1997b).

The last principle that was selected was the principle on information. The information that is shared with the customers must be trustworthy and accurate at all times. Information can be shared in two key formats. The first is the traditional method of sharing information, such as making use of mass media for example, radio and newspapers. This method is regarded as being ‘old school’ and out of date compared to the technology that is available to date (Biagi, 2016). The second method of sharing information is social media where the state and other state departments can share information and news on the internet, websites, on their official Facebook pages and via Twitter, to inform citizens about the latest developments within their communities and about what this department will do to address these problems in their communities (Albarran, 2013). The creation of equal access to this information will be an improvement of the accessibility of rural and urban communities to have access to the latest public sector policies, information on community meetings and the publication of annual reports.

2.4 Parallels between the NPM and the selected Batho Pele principles

Some of the key characteristics of the NPM can also be found within the principles of Batho Pele. The first similarity that can be drawn is that both seek to implement service standards (Christensen & Laegreid, 2016).

Clear and well defined performance standards allow public officials to direct their experiences and knowledge towards the achievement of departmental goals and objectives. These performance standards are also shared with the public and allow the South African public to hold civil servants accountable (South African National Treasury, 2007). Affording the citizens at grassroots level the opportunity to hold these civil servants accountable for not

delivering basic services, is one step in the right direction to giving the power back to the people. Service standards also contribute to equal service delivery to citizens irrespective of their social class or race. The service standards should be communicated to the citizens so that the level of quality expected is known by the people who will receive these services.

The standards serve as a tool to measure the performance regarding service delivery and identify if the standards were met. If the standards were not met, citizens can complain and the relevant state officials will be held accountable for not meeting the service standards.

Secondly, the NPM and Batho Pele both make use of consultation (Christensen & Laegreid, 2016). This means that decisions will no longer be made by a small elite grouping at the top but rather through consulting and engaging with both public officials lower down the hierarchy and citizens at grassroots level and incorporating their inputs into policies before they are finalised. The decentralised approach also allows for more public participation to take place that will in turn help to strengthen the democracy within South Africa (Podems, 2017). The adoption of the bottom up approach means that the decision-making process starts from the bottom where the citizens at grassroots level are first consulted and only then can the process continue after all the relevant stakeholders have been consulted.

Furthermore, Batho Pele and the NPM both value the customer as being the most important component of service delivery (Christensen & Laegreid, 2016). Putting the needs of the people first allows for the customer to feel valued and creates the space for the customers to complain if service delivery is not meeting the performance standards, since they are paying for a service. Making the customer feel valued creates a scenario where all customers are seen as being equally important thus eliminating discrimination based on race or social status within the community. The reason why citizens of South Africa are seen as being customers within the public sector, is because they pay for a service to be delivered and have the right to hold the state accountable if the state does not provide the required services (Pillay, 2014).

2.5 Chapter summary

This chapter focused on two main areas. Firstly, it reviewed the preliminary literature that consist of the Old Public Administration (OPA), the New Public Management (NPM) and the selected Batho Pele principles. Secondly, it discussed the legislative mandate towards

improving service delivery within South Africa. The New Public Management is widely regarded as being the solution to all problems within the public sector of South Africa. The chapter focused on the theoretical context informing public administration reform and the regulatory framework developed by the South African government, post-apartheid.

In essence, the shift from the old template of public administration to public management resulted in a more business-like approach to the delivery of public services. The main rationale behind this shift was based on greater efficiencies and effectiveness, in response to the old approach being criticized for, *inter alia*, its unresponsiveness to citizen needs and slow processes of implementation. The transformation of public services entails greater engagement between the state and its citizens; openness, transparency and accountability; clearer communication between government departments and citizens; and a focus on outcome and impact as opposed to solely output. The NPM and the Batho Pele principles value the customer as being the most important partner and regard consultation as being vital to help improve service delivery.

Furthermore, this chapter highlighted the importance of the White Paper on improving service delivery and how it seeks to make the public sector more responsive. Chapter ten of the South African Constitution also provided the service standards that the customers can expect within the South African public sector and made them aware of their rights when it comes to service delivery. The selected three Batho Pele principles related to the research topic were discussed in detail and illustrated by using practical examples from the public sector.

CHAPTER 3

RESEARCH METHODOLOGY

3.1 Introduction

This chapter focuses on the research methodology. It explains the appropriateness of the qualitative method to answer the research question put forward. This chapter discusses the research design, research approach, case study, sampling strategy, data collection, data analysis, validity, ethical consideration and lastly, the significance of the study.

3.2 Research design

Research design can be defined as being the set of techniques and methodology used to critically explore and understand the problem of the study (Maxwell, 2012). The research design is a vital part of the research process and requires a lot of time and reasoning before selecting the appropriate research approach (Creswell, 2014). The selection of the wrong research design for a study could result in a scenario where the research question cannot be answered. It could also lead to the research objectives remaining unachieved due to the wrong strategy that was selected. The research design guides the researcher step-by-step as to what needs to be done so that the research question is answered and the research objectives achieved. This study employs a qualitative research design, using the case study approach to understand the problem and achieve the research objectives. The case study method enables the researcher to examine the data within a specific context (Yin, 2013). The case study method identifies a small geographical location or a very small number of individuals that form the subject of the study. This method investigates a modern day phenomenon through detailed analysis of the small number of events and their relationship with each other (Yin, 2013).

3.3 Case study

A case study is used to help the researcher to understand the nature of the problem better, answer the necessary research questions and achieve the study objectives.

A case study can be seen as being a report that focuses on a group or a specific organisation where the behaviour of each individual is studied and assesses how each individual contributes to the success of the group or organisation (Yin, 2013). Creswell (2014) argues, that a case study can be seen as a vehicle to explore or do an in-depth analysis of a bounded system or multiple cases over a specific period. A case study provides an example of real people in a real situation and allows the researcher to understand ideas more clearly than simply by presenting them with principles. A case study requires in-depth data, a researcher's ability to gather data that addresses fitness for purpose and a researcher's skill in probing beneath the surface of the phenomena (Creswell, 2014). The researcher needs to be an affective questioner, listener, and prober and lastly, be able to make informed findings.

This case study allows the researcher to get the opinions of the clients of the DAFF about their lives and experiences. The case of the DAFF in the Western Cape was used to analyse the implementation of the selected Batho Pele principles namely, consultation, service standards, information, openness and transparency and lastly, redress among selected clients and the quality of services being rendered by the DAFF to its clients. The DAFF was selected because it is the only department that is responsible for all the certification and approval processes of wine for the whole of South Africa and also because the Western Cape is best known for its vineyard farms (DAFF, 2017d). The clientele of the DAFF is a large and diverse group of people ranging from the vineyard owners to the labourers on these farms. The case study approach allowed for a triangulated approach where, through conducting interviews with all relevant stakeholders, the researcher gained an in-depth perspective on how the DAFF was performing in the case of the implementation of the Batho Pele principles, what its main challenges were and how recipients of DAFF services experienced service delivery. In addition, the use of secondary sources allowed for more measured perspectives, on the part of the researcher. The reason that the DAFF was selected was due to the total number of clients that this one department is required to service. The managers and the staff of the DAFF are held accountable for implementing and adhering to the Batho Pele principles. This ensures that the interests and demands of its clients are placed first by the employees of the DAFF. The role of the DAFF is to provide services that are fair, equal and non-racial, to its clients (DAFF, 2015a; 2015b). Delivering services in such a manner will help to speed up the transformation process within the public sector due to the legacy of Apartheid still being present within the current South African public sector.

3.4 Research approach

The researcher used the qualitative research design. Qualitative data can be defined as a measurement expressed not in terms of numbers, but rather by means of a natural language description (Taylor, 2007). One advantage of using this technique was that the researcher obtained an in-depth look and gained better insight into how the participants felt about the services provided by the DAFF and whether the Batho Pele principles were implemented as intended. Another advantage of the qualitative research design is that the opinions, experiences and views of each participant are gathered and these provide the researcher with more detail and information that would not have been possible to gather from a quantitative approach (Neergaard & Leitch, 2015).

The two main reasons why the qualitative research design was selected was, firstly, because this design facilitated the analysis of how effective the Batho Pele principles were being implemented by the DAFF. Secondly, it assisted in shedding light on how the wine farm owners and their labourers experience service delivery by the DAFF. The qualitative research design is regarded as being much more flexible during the research process and allows the researcher to be interpretive during the face-to-face interviews (Neergaard & Leitch, 2015). This design assisted the researcher in collecting the necessary data to answer the research questions and achieve the research objectives. The insights that the researcher gained from the face-to-face interviews, provided a valuable understanding of why the respondents answered specific questions in a certain manner.

This study used mainly primary and secondary data to help answer the research question and sub-questions. Primary data is the data that is specifically collected by the researcher to answer specific questions through the data gathering process, thus gathering data for specific questions (Wiid & Diggines, 2009). Primary data sources include face-to-face interviews, by making use of a semi-structured interview schedule to help probe respondents' experiences, knowledge and insights. Secondary data can be defined as data that already exists and was gathered by other researchers but the information and data remains relevant towards answering this research question (Wiid & Diggines, 2009).

Secondary data sources include governmental documents and annual reports, books and other scholarly academic journals that have already been peer reviewed by other academics.

By making use of peer reviewed journals and articles, a researcher ensures that the information that is obtained in these journals and articles are approved by other academics and provides the reassurance that the information was gathered correctly and the findings are accurate and trustworthy (Wiid & Diggines, 2009).

3.5 Sampling Strategy

The researcher used purposive sampling throughout the fieldwork phase of this thesis. Self-selection sampling is a non-probability sampling technique that is based mainly on the judgement of the researcher (Baran & Jones, 2016). This approach is used by researchers who want people and organisations to participate in the research process and is done voluntarily. The researcher is required to follow the ethical guidelines that will provide clarity about the study and about the questions posed to participants during the face-to-face interviews (Wainer, 2013).

The advantage of using purposive sampling is that it reduces the amount of time spent on finding the correct participants for the interviews. The researcher selected five wine farms, selecting every alternate wine farm within a 20 kilometre radius from the DAFF offices in Stellenbosch, Western Cape. Adopting this method of sampling allowed for a large geographical area to be studied and for collecting data that is representative of a large community.

3.6 Data collection

The participants identified to participate in this research study consisted of six DAFF management officials, five wine farm owners (two popular wine farms and three unpopular wine farms) and ten wine farm labourers (two labourers per wine farm). The reason for identifying the management officials was influenced by their key roles and responsibilities with reference to the implementation process of the Batho Pele policy. The DAFF officials were drawn from across the occupational categories and comprised officials from top and middle level management and the lower managerial level. The different levels of management were interviewed to establish if the management of DAFF are actually taking the Batho Pele principles seriously, or if they were merely ‘ticking the boxes’ in order to

comply with policy regulations. The nature of the questions differed between those at managerial level and those at non-managerial level.

The DAFF managers were asked more strategic questions, while their clients' questions focused more on implementation. The questions posed to the DAFF employees were of a technical nature, because those employees were expected to know about the Batho Pele principles and how they are incorporated into the service delivery structure of that department. For example, the researcher tried to establish if there were any strategies or plans to raise awareness of the eleven Batho Pele principles within the Department of Agriculture Forestry and Fisheries. The researcher also enquired if there was any consultation in terms of service delivery taking place between DAFF and the selected clients of the Western Cape Winelands District. The focus of the questions posed to DAFF officials was to interrogate them about the effectiveness of the Batho Pele principles within this department, to identify the challenges that this department faces in implementing the eleven Batho Pele principles and to provide service delivery to its customers.

In the case of the farm owners and the labourers, their experiences as recipients of services are important in the context of how well the DAFF is performing. Through probing the insights, experiences and knowledge of the DAFF officials, wine farm owners and labourers, the researcher obtained a more balanced perspective on the implementation of the Batho Pele principles by the DAFF. The nature of the questions posed to wine farmers and labourers were less technical than those posed to the policy implementers.

The questions to the wine farm owners and the wine farm labourers focused on probing experiences at the grassroots level. For example, the researcher tried to establish if the Batho Pele principles had improved service delivery in their community. The researcher also enquired if the Western Cape Department of Agriculture, Forestry and Fisheries (DAFF) had consulted with them at any time regarding the formulation of new policies. The wine farm owners and the farm labourers were asked the same questions. The reason for this is two-fold. Firstly, it allowed the researcher to understand whether wine farm labourers and owners shared similar experiences and in effect have a good or bad experience when interacting with the DAFF. Secondly, it helped the researcher understand whether the enactment and implementation of the Batho Pele policy had actually narrowed the gap between those who have more and those who have less with reference to how services are provided. In other words, are all citizens treated equally, regardless of socio-economic status?

The researcher was guided by a set of predetermined questions for each of the face-to-face interviews (Galletta, 2013). A semi-structured interview schedule was used to guide the interviews with the participants. Semi-structured interviews can be defined as being less formal and structured with the main focus on questions that are more open-ended, giving the opportunity for the participants to speak freely (Galletta, 2013). One of the advantages of making use of semi-structured interviews, is that they allow for the researcher to carefully formulate questions and ask those questions strategically during the interview so that the participants are not misled nor confused during the interview (Galletta, 2013). The semi-structured interview allowed this researcher to probe further for answers to gain an in-depth understanding of how the participants experienced the service delivered by DAFF within their communities. The researcher avoided asking leading questions or imposing any meanings on the participants. Secondly, the researcher endeavoured to conduct the interviews in a relaxed conversational manner with each participant to gain the maximum value of each face-to-face interview.

The researcher introduced the focus of the study and enquired from participants whether they were familiar with the Batho Pele principles. Where participants were not aware of these principles, the researcher provided an explanation on the nature and intent of the principles before probing the participant's experiences. The focus of the questions to the DAFF officials were more technical in nature, probing issues of compliance, regulation, challenges and gains. The questions posed to the vineyard farm owners and farm labourers focused on their knowledge of Batho Pele and their experiences of service delivery by the DAFF.

Before any of the face-to-face interviews took place, the necessary consent forms and information forms were given to the participants to read, to inform them about the study and to gain their permission to be part of this study. The participants were also informed that if they chose to be part of this study, anonymity would be maintained, and the information treated confidentially. The participants were informed that the interview would be recorded, with their permission, and that the recordings would be for the purpose of accuracy of transcriptions of the interviews. Participants were reassured that only the researcher would have access to these voice recordings, which would be stored on a password protected computer.

3.7 Data analysis

According to Patton (2014) the qualitative analysis helps to transform the data into findings. By doing so, the analysis of the data should be able to produce the necessary findings. Data analysis therefore assists with the ordering and structuring of data in a way that provides answers to the research questions and facilitates the process of finding solutions and/or proposing recommendations. Qualitative data analysis is defined as merging the analysis and interpretation as well as merging of the collected data (Ritchie et al, 2013). Patton further argues that qualitative analysts should be able to observe their processes, analyse and report on the analytical process (Patton, 2014). Throughout this study, the researcher reflected on the research process. This was done, firstly, by adhering to the ethical considerations and research conventions informing research of this nature. Secondly, it was done by reflecting on the data collected, analysing and interpreting the data in the context of the main aims and objectives of the study. The researcher summarised each interview after it was completed, thus eliminating the possibility of data and information piling up and overwhelming the researcher. The data was also coded, organised and evaluated so that it would be simpler for the process of analysis and interpretation. Thirdly, the researcher relied on the expertise of others to help order the researcher's notes and to obtain a second opinion on the researcher's analysis, to ensure that it remained in line with the research topic and its objectives.

3.8 Validity and reliability

Validity can be defined as the research instrument that measures its relevance, precision and accuracy (Luton, 2015). Validity assists the researcher by informing the researcher whether an instrument that was used to measure or collect data during the research process was accurate and precise during the data collection period. The credibility criteria highlight the results of qualitative research and help to determine how credible or believable the results are (Baumgarten, 2012). The reliability is focused mainly on the consistency and repeatability of the respondents and the researcher's ability to collect and record the information and data as accurately as possible (Luton, 2015).

The principles of anonymity and confidentiality were upheld at all times when referring to and/or using the data. The names of participants were not revealed. Instead, reference was made to "officials," "farm owners" and "farm labourers" when referring to the data.

The interview transcriptions and voice recordings were uploaded and saved onto the researcher's personal computer. The computer is password protected and only the researcher has access to it.

Once the transcriptions were uploaded, the hard copies were destroyed. The hard copies of the interviews will be destroyed after five years and the voice recordings will be permanently erased from the voice recorder after five years.

3.9 Ethical considerations

The research for this thesis was conducted according to the ethical standards prescribed by the University of the Western Cape. The main objectives of the research paper were clearly explained to the relevant respondents in the study and they were informed that their participation was entirely voluntarily and that they had the right to withdraw at any stage of the process.

The confidentiality and anonymity were maintained in using the data. This was achieved by not referring to the participants' names or surnames but, rather as farm owners and farm labourers or the DAFF officials. After the interviews were voice recorded and transcribed the data was then stored on a password protected computer that only the researcher had access to.

The participants were also made aware before the interviews were conducted that a voice recording would be done during the interview so that the researcher could access the voice recording later when formulating recommendations at the end of this research paper.

Participants were reassured that the data, as well as the voice recordings, would be disposed of, after five years, i.e. circa 2022. There were no foreseen risks to participating in the study. However, in the event that participants encountered any discomfort as a result of participating in the study, the researcher undertook to ensure that the necessary counselling would be obtained.

3.10 Significance of the research

The study is important for various reasons, but more especially since it aims to highlight the complexities associated with public policy implementation.

In spite of clear and coherent policy frameworks, public institutions, departments and agencies continue to struggle to interpret, apply and implement policies and laws as intended. More specifically, the study is important for the following reasons. The study is significant because it will add to the existing body of knowledge on public policy implementation and the challenges that confront government departments when implementing policies. Secondly, it illustrates the challenges that ordinary citizens may face in trying to achieve their rights and entitlements of citizenship. This study is also significant to other researchers attempting to research the implementation of the Batho Pele principles amongst its selected clients in other state departments. This study hopefully also provides better insights for the DAFF managers to understand the feelings of the people at grassroots level about the services that the DAFF is delivering to them. This study could also assist DAFF managers to explore internal intervention strategies to mitigate the implementation of the selected Batho Pele principles within this department.



3.11 Analysing data collection strategy

The sample consisted of 21 participants in total; six participants were management officials from the DAFF, five were wine farm owners and ten were farm labourers (two labourers per farm). The fact that the majority of participants who participated in the face-to-face interviews were male, was not by design, but the agricultural industry is predominantly male; the same goes for the employees working in the DAFF. The respondents were categorised in terms of the DAFF employees and the DAFF clients. The ages of the respondents ranged from 26 to 65 years of age; thus, the elderly, middle-aged and youth were represented. The sample also included six DAFF members at different managerial levels so that more in-depth information could be collected by the researcher. Some of the challenges that were experienced by the researcher included the selection of data and time for the face-to-face interviews to take place at the DAFF due to the DAFF officials attending meetings and assisting clients on a day-to-day basis; thus, finding a date that was best suited was challenging. Secondly, gaining access to some of the wine farms was challenging since the road conditions to and from the farms were extremely poor due to the remote locations of those farms.

The research plan was designed to answer the main research question and objectives. The research plan made use of an interview schedule to help get the necessary answers from the participants that took part in this study. The reason why a qualitative approach was adopted by the researcher was due to the additional information and better understanding that one gets from asking open-ended questions. This allowed the researcher to really understand why the respondents gave certain answers during the face-to-face interviews that were held. The face-to-face interviews were conducted in a safe space at the DAFF offices and on the wine farms so that the respondents could answer the questions to the best of their capability without fearing intimidation or victimisation. This resulted in the researcher collecting qualitative data that assisted in answering the research questions and sub-questions. The pre-determined research plan and the unfolding research plan were identical and took place without any problems. The participants were all enthusiastic about partaking and were easy to communicate with. That allowed the researcher to probe the participants and to gain valuable information from them.



3.12 Chapter summary

This chapter explained how appropriate the qualitative research method was in answering the research questions. This chapter discussed the research design, research approach, case study, sampling strategy, data collection, data analysis, validity, ethical consideration and lastly, the significance of the study. To conclude, this chapter focused primarily on the research methodology which was used throughout the research process.

CHAPTER FOUR

BACKGROUND OF THE DAFF AND THE DAFF PROFILE

4.1 Introduction

This chapter provides a contextual background of the Department of Agriculture, Forestry and Fisheries (DAFF). Within this chapter the main focus is on the role and responsibilities of the DAFF to its clientele and secondly, the level of interaction between the DAFF and the wine farm owners and its labourers. This chapter looks at the contextual framework of the Batho Pele principles and how it relates to the research objectives. The contextual background discusses the level of interaction between this department and the wine farm owners and the wine farm labourers. The roles and responsibilities of the DAFF will be identified providing a clear understanding as to what services this department provides to its clients.



4.2 Background and profile of the Department of Agriculture, Forestry and Fisheries (DAFF)

The Department of Agriculture, Forestry and Fisheries (DAFF) is located just one kilometre outside Stellenbosch on the Adam Tas Road. The DAFF consists of three main areas, namely agriculture, forestry and fisheries. The agricultural industry within South Africa is regarded as being one of the most important industries since South Africa has a huge export market ranging from citrus fruits, to the exporting of South African wines (DAFF, 2017b). This department is located 13.4km from the local Stellenbosch municipality and is currently located in a very small building. This department is tasked with serving the wine farm owners, its labourers and any other agricultural community. The DAFF provides services to more than 62 470 farmers and more than 200 000 labourers across South Africa (DAFF, 2017a). Within the Western Cape the DAFF provides services to more than 200 wine farms and more than 20 000 farm labourers within the Western Cape (DAFF, 2017a). The DAFF is held accountable for providing services that are equal and fair, to all its clients. Some of the wine farms are situated in remote areas and travelling to those farms can only be done by using an off-road vehicle (DAFF, 2017a).

The majority of the DAFF clients can be classified as living in rural areas with some having to travel more than 20 kilometres to reach the nearest small town just have access to governmental services such as hospitals.

4.3 Roles, functions and responsibilities of the DAFF

The vision statement of the DAFF can be summarised as being focused on transforming the agriculture, forestry and fisheries sector ensuring that economic prosperity takes place and that the public sector transforms so that it is equally represented by all races and genders (DAFF, 2017b). The mission statement of this department is very clear and easy to understand. It thus serves as the action plan to achieving the vision statement of this department. The mission statement is mainly focused on advancing food security within South Africa and to facilitate the transformation process within the South African public sector through implementing policies such as the Batho Pele principles and other related legislation (DAFF, 2017a).

With regard to wine farming in particular, the DAFF is primarily responsible for the approval of the quality standards of wine products and issuing of certificates of all the South African wines that are sold locally and internationally. The DAFF has to analyse and approve all wine products according to set standards and criteria to ensure that wine being sold is of a certain quality and that the necessary label information is on each bottle (DAFF, 2017d). Secondly, this department is tasked with providing the necessary certificates for the wine farm owners so that they can sell their products locally and internationally (DAFF, 2017d). The certification process requires the farm owner to upload his/her identification number, proof of residence, the cultivar that is on the farm and the quantity of wine that needs to be certified. The DAFF will compare the scientific analyses that are submitted by the farmer with the two samples and identify if those samples meet the necessary criteria. This department will also look into the labelling to see if the bottles include warnings of no underage drinking, and if the alcohol percentage is indicated on the labels. If the samples meet the criteria, only then will the DAFF provide a certificate allowing the farmer to legally sell the wine on the local or international market (DAFF, 2017d).

The interaction between the farm labourers and the DAFF takes place through the workshops that this department provides, teaching farm labourer's skills and techniques with regards to farming. The DAFF also assists these labourers to apply for land so that they can farm and physically apply the skills and techniques that they have learned by attending the workshops held by the DAFF (DAFF, 2017a).

The vision and mission statement of the DAFF highlights the importance of providing previously disadvantaged communities the opportunity to become farmers and to own land thus assisting with the transformation within the agricultural sector (DAFF, 2017c). The DAFF is in line with the National Development Plan's (NDP) vision and mission statement and is working towards common goals such as creating job opportunities to fight unemployment within South Africa and to create food security for South Africa (RSA, 2013).

However, this department is held accountable for the whole country's wine farm certificates and is not able to outsource the work. Hence, the workload on the DAFF officials is enormous and it is not uncommon that a backlog of work can be found within this department. Thirdly and key to the DAFF meeting its service delivery objectives and standards, regular consultation with their clients is a pertinent part of their roles, functions and responsibilities. The DAFF has to understand the needs of people at grassroots level and how, through the efficient and effective use of its resources, it can address the needs of its clients more directly (DAFF, 2017a). To this end, the senior manager is held accountable for the overall implementation of the Batho Pele principles within the DAFF and is tasked with the handling of complaints and other queries regarding the quality of services being delivered to its clientele (DAFF, 2017a).

Furthermore, this department is also responsible for sharing the necessary information with its clients such as the latest amended policies, newly implemented policies and leadership programmes within the local communities that will take place. By sharing the necessary information, the DAFF is adhering to Principle five of the Batho Pele principles, where the department is obligated to share accurate information about the public service that this department provides. It also requires that the clients of this department are informed about the latest policies and programmes that will affect them in their day-to-day lives (RSA, 2008).

The DAFF is also tasked with the responsibility of being open and transparent as a department, about the activities of this department. This will help with the transformation

process of the South African public sector being more open for its clientele to ask questions and to be able to hold public officials accountable for their actions.

The DAFF is currently sharing its annual reports, strategic plans and financial budget with the public, ensuring that the reports and plans that are published by the department are implemented to the letter and that its clients can report any irregularity with the implementation process (DAFF, 2015a).

Another role and responsibility of this department is the meeting of service standards. Principle two of the eleven Batho Pele principles speaks about the quality of service delivery that its clients can expect and the tools that can be used to evaluate the implementation of the services (RSA, 1997b). Service standards within the public sector play an important role because it sets a benchmark for the quality of service that must be delivered by the DAFF and other state departments. It remains the responsibility of the DAFF to maintain its basic communication infrastructure with its clients. For example, if the email systems of the DAFF are problematic then a complaint should be logged so that they can be fixed. This is crucial to the DAFF since the bulk of its communication to its clients is done via e-mails. Also, if the switchboard of this department is broken then the DAFF must address this problem by logging a complaint so that it can be fixed. The switchboard is necessary for this department since all calls get connected to the switchboard and the receptionist will put the customer through to the correct DAFF officials so that their query can be addressed. If these standards are not met, citizens can report it to the DAFF and the relevant civil servant will be held accountable for not meeting those standards. For example, if the DAFF fails to issue a certificate within the 48 hour time frame, then its clients can log a complaint because the standard of the turn-over time for certificates was not met. The DAFF has provided its clientele with the measures that can be used to determine if the quality of the services that are rendered by the DAFF are meeting the minimum requirements. These tools can be found on the DAFF website (RSA, 2017b).

Lastly, the role and responsibility of the DAFF is to ensure that redress occurs within this department. If service delivery does not meet the set standards that are set by the second principle, it is required that the implementation programme with regards to service delivery needs to be revised so that the service standards are met (RSA, 1997b). This can be done by allocating more human resources and financial resources to help achieve the set standards of service delivery. The redressing of the problem areas and ineffective programmes will help to

improve the effectiveness of these service delivery programmes of the DAFF and will lead to its customers feeling valued.

4.4 Interaction between the DAFF, the wine farm owners and its labourers

The DAFF interacts with the wine farm owners on a regular basis in the form of emails or when the wine farm owners need to submit wine samples. The interaction between the wine farm owners and this department takes place on a regular basis. The interaction between the farm labourers and the DAFF is mainly through consultation meetings held a few times a year (every two months). The majority of the wine farm owners have access to the internet and computers. They also have a smartphones, allowing the farm owners to check their emails regularly and to access the department's website to see the latest news. The wine farm labourers, on the other hand, do not have access to a computer or a smartphone, nor do they have enough money to spend on buying data to access the departmental website.

The interaction between the farm labourers and the DAFF takes place through the workshops that this department runs. DAFF teaches the farm labourer's skills and techniques about farming and assists them applying for land so that they can farm and apply the skills and techniques that they have learnt (DAFF, 2017a). The interaction between the department and the farm labourers therefore takes place once a month.

The vision and mission statement of the DAFF highlights the importance of providing previously disadvantaged communities with the opportunity of becoming farmers and owning land. The transformation within the agriculture sector can therefore take place (DAFF, 2017c). The National Development Plan (NDP) is in line with the vision and mission of the DAFF. Therefore, both the NDP and the DAFF are working towards common goals such as creating job opportunities to fight unemployment within South Africa and to create food security for South Africa (RSA, 2013).

Another challenge that the wine farm labourers experience is the transportation to and from the consultation meetings that are held by the DAFF. These meetings are located in town and are not on the day-to-day travelling route of taxis or trains. The workers have to spend this additional money to attend these meetings.

The wine certification process requires the wine farm owners to upload certain documentation on to the Wine Online system, such as the proof of address, the farm owner's

identification document and the cultivar that the farm owner currently has on the farm, just to name a few. The farmer then submits two wine samples to the DAFF, accompanied by a scientific laboratory report containing the alcohol percentage of each bottle and the other ingredient used to manufacture these wines.

The DAFF then analyses these reports and checks if the labelling of the bottles meets the criteria for labelling for example, if the bottle indicates the alcohol percentage and if it warns the customer of driving under the influence of alcohol. If these samples meet the criteria of the DAFF, only then will the wine certificates be issued so that the wine can be sold locally or internationally. However, well-known wine farmers receive special treatment from this department in the form of granting late submissions to the DAFF without any penalties. On the other hand, the smaller unknown wine farmers do not get this special treatment from the DAFF due to them not being as profitable and bringing in enough business as the well-known wine farmers.

The DAFF as a department consults its clients every two months so that the clients can voice their opinions and provide the necessary inputs so that the DAFF can improve its service delivery strategy and the policies that it helps to formulate (DAFF, 2017a). Regular consultations allow for this department to stay in touch with citizens at grassroots level and thus not losing touch about what is happening at street level. The advantage of having regular consultations with clients is that service delivery will be more effective and responsive due to the inputs that are given by the stakeholders that this department interacts with namely, wine farmers and farm labourers. The DAFF ensures that the policies are implemented according to the needs and demands of its clientele, thus benefitting the greater community and not just a small elite that makes the policies. Consultation takes place in the form of community meetings that are held by the DAFF in local community halls. These usually take place over a weekend, thus allowing as many clients as possible to attend the public meetings. It also ensures that the maximum number of inputs from the clients can be documented by the DAFF to ensure that the opinions of its clients are taken into account (DAFF, 2017a).

The wine farm owners and the farm labourers have different responsibilities. They are all required to attend consultation meetings with the DAFF, so that this department can take note of the problem areas and identify how they can improve their services to their clients. However, if the stakeholders do not attend these community meetings, the DAFF will not know what the main issues of concern are. The DAFF is responsible to selecting a venue that

is best suited to travel to and from, for its clients. If the venue is not on the commuting routes such as for buses and taxis, the majority of the farm labourers would then not be able to join these consultation sessions. Currently the venues for these meetings are not easily accessible, due to the DAFF not providing transportation. Resultantly, the farm labourers find it difficult to attend these meetings.

The DAFF must also select a time that is best suited for the farm owners and the farm labourers, otherwise they will not attend these meetings.

Consultation is the very first principle of Batho Pele and it serves as the foundation for the rest of the principles (RSA, 1997b). The DAFF makes use of consultation to illustrate to its clients that the decisions that are made within the South African public sector are made from the bottom up where the inputs of the people are first collected and after that the policy or programme will then be formulated with these inputs incorporated into it. Consultations therefore allow for the clients of the DAFF to be valued and to improve the relationship between the state and its clientele by having regular consultation meetings.

However, conflict arises when well-established wine farmers receive special treatment from the DAFF because these wine farms export large quantities of wine from South Africa to several European countries (Da Silva & Rankin, 2014). The small and medium wine farms do not get special treatment because they are not famous wine farms. Special treatment includes issuing of approval certificates at short notice or even after office hours by the DAFF. After the consultation meeting has taken place, the DAFF reports back to its clients indicating what the clients can expect from the meeting and to keep its clients up-to-date as the process develops.

The DAFF is required by law to provide information to its clientele on a regular basis (DAFF, 2017a). The DAFF shares information via its website, through hard copies in the local community library and has also adopted an open door policy where its clients can come and ask questions if they need clarity regarding the services that this department renders. Clients can therefore interact with this department on a day-to-day basis since the amount of information made available by DAFF is enormous and can be overwhelming. The information that is shared on the departmental website ranges from newly-implemented policies to job vacancies that people can apply for at the DAFF (DAFF, 2017b).

The website allows for its clients to access information at anytime and anywhere, thus improving the accessibility to the information that this department provides to its clientele.

The DAFF provides soft and hard copies of the information, to ensure that all its clients have access to such information and that the information is not withheld from any of its clientele. However, not all stakeholders have access to the internet or they may not have money to buy data. The majority of wine farmers are able to access their emails and the DAFF website, whereas the farm labourers may neither have access to a computer nor have data on their cell phones to access the DAFF website.

However, the DAFF is responsible for sharing information that is accurate. The information that is provided to its customers is communicated in the language of its customers (RSA, 1997b). The majority of the farm labourers and vineyard owners speak predominantly Afrikaans. Consultation and information should therefore be communicated in Afrikaans since the clients that they serve speak mostly Afrikaans.

The interaction between the DAFF and its clients steers towards the issue of achieving the most value for money and transformation within this department (RSA, 1997b). This organisational restructuring included the establishment of new posts and the integration of all races, genders and people with disabilities, within the DAFF. This is mainly due to the agricultural industry being dominated by males, and females are not being integrated fast enough within the agricultural community or industry (DAFF, 2017a). This department aims to recruit the most suitable candidates to achieve its strategic and operational objectives by giving candidates that were previously disadvantaged the opportunity to be considered for the posts within the DAFF. Throughout the interaction between the department and its clients, the DAFF must use its resources to achieve the most value for money. The money being spent by this department should provide the maximum outputs for the total amount of money that was spent. The term 'value for money' also forms part of the Batho Pele principles and ensures that the DAFF uses its resources in an effective and efficient manner so that the desired outcome can be achieved (RSA, 1997b). The desired outcome is one where the demands of the clients are met and where the quality of the outcomes meets the service standards that were installed by the second Batho Pele principle.

During the interaction between the DAFF and its clients, the customer impact is one of the factors that the DAFF seeks to improve, as it is an area that does not stop developing. The term 'customer impact' refers to the benefits the customer receives from the services that are rendered to them by the DAFF (DAFF, 2015a). Thus, for the DAFF to achieve customer impact that is positive, it is required that the first nine principles must be in place and

implemented curtly so that a good customer impact can be achieved during the service delivery process of the DAFF (RSA, 2008). The traditional method within the public sector regarding service delivery was mainly focused on the inputs, processes and the outputs. However, the eleven Batho Pele principles helped transform the DAFF to focus on the input, processes, outputs and the outcomes (RSA, 1997b).

4.5 Chapter summary

This chapter first discussed the background and the profile of the Department of Agriculture, Forestry and Fisheries (DAFF) followed by the role, functions and responsibilities of the DAFF. The background provided a clear understanding of the services that this department delivers to its clientele and also identified the total number of customers which it serves nationally and within the Western Cape. This chapter identified the role and responsibilities of the DAFF regarding service delivery to its clients and also highlighted the responsibilities of the DAFF. By identifying these components, it allows for a better understanding about the services that this department provides to its customers. The chapter also identified who could be held accountable if service delivery does not meet the service standards. The third area that was discussed was the level of interaction between the DAFF, the wine farm owners and its labourers, highlighting some of the special treatment that well-known wine farm owners enjoy from the DAFF. This chapter also discussed the interaction between the DAFF and the farm labourers and identified some of the problem areas regarding the interaction between the department and the farm labourers.

CHAPTER FIVE

RESEARCH FINDINGS

5.1 Introduction

This chapter presents the findings of the interviews conducted with the relevant participants. The chapter is organised into three sections. The first section provides a brief summary of the demographic information of the main participants included in the study. The second section presents the findings emerging from the interviews conducted with the participants. Finally, the chapter concludes with a brief summary of the main highlights.

5.2 Demography of the respondents

The respondents from the DAFF were coloured and white males in their late 40s. Two-thirds of the DAFF officials who were interviewed had been employed at the DAFF for more than 15 years. The age range of the wine farm owners and labourers as respondents was broad, ranging from 26 to 65 years of age. The wine farm owners were white – four males and one female. The majority of the farm labourers were coloured - 10 males and no females. The wine farm owners and farm labourers also indicated that they had been on those farms for more than 17 years. As with the case of gender there was no discernible difference in the response patterns of the respondents according to age or length of service.

5.3 Face-to-face interviews with the six DAFF officials

The questions that were posed to the DAFF officials, wine farm owners and the farms labourers were open-ended questions. The researcher's probing of the participants for more information allowed for a better understanding of the answers and to have insight as to why the respondents gave those specific answers to certain questions. The questions that were posed to the six DAFF officials were more strategic and technical in nature. For example, the researcher enquired if there were any kind of strategies or plans used to raise awareness about the five selected Batho Pele principles within the Department of Agriculture, Forestry and Fisheries.

The principles that were focused on during the interviews, were consultation, service standards, information, openness and transparency and, redress. All respondents had completed the necessary consent forms and had given the interviewer permission to do a voice recording of each of the interviews with the conditions that only the researcher would have access to the voice recordings. The results of the face-to-face interviews with the six DAFF officials at the different managerial levels are as follows.

5.4.1 Access to information

Four of the six officials that were interviewed indicated that this department made use of strategies and additional programmes to raise awareness of the eleven Batho Pele principles within the Department of Agriculture, Forestry and Fisheries. The Batho Pele principles can be found on the DAFF website for all recipients of services of the DAFF clients and the DAFF officials to access. These programmes help create awareness and can also be found on this department's website. A primary example of such a programme is the Transformation Programme to create awareness about how this department seeks to improve service delivery to its clients and makes use of big posters that are pinned on the departmental notice boards, thus creating awareness through methods that target the DAFF officials more directly (DAFF, 2017b). The DAFF officials can form part of these programmes by signing up during office hours. These programmes are free to join and take place once a month, with the aim of informing the DAFF officials on the priority issues that this department is addressing first. If the DAFF officials do not agree on the prioritisation of these matters, they can communicate with the chairperson of the meeting and the matter will be put up for discussion by the management officials of the DAFF. The benefit of having these awareness programmes is that it allows for the leadership within this department to be highlighted by identifying how the managers at middle and senior level work together to improve the problem areas so that service delivery could be made more effective and efficient (DAFF, 2017a). By having the information available about the awareness programmes, it allows for the DAFF officials to be informed about the programmes that are currently being implemented within the DAFF. It also assists the DAFF officials to achieve a common goal by adhering to the Batho Pele principles and to make sure that the needs of the clients are placed first.

5.4.2 Service standards

Secondly, all six of the respondents from the DAFF agreed that the selected five Batho Pele principles namely, consultation, service standards, information, openness and transparency

and, redress were taken into account during the daily functions, duties and responsibilities of this department.

According to the one of the senior respondents that was interviewed, the selected Batho Pele principles had a positive impact on the culture of this department and the way its employees interact with its clients: “Batho Pele opened my ‘eyes’ as to how a client must be treated” (Respondent four, 2017).

The service standards are communicated to the clients during the consultation meetings and on the departmental website. These service standards are also shared with the DAFF officials, thus informing the officials about the quality of service that is expected to be delivered to its clients. Examples of service standards include replying to client emails within a 48-hour window by DAFF officials; secondly, enhancement of communication channels with farmer owners and farmer labourers through consultation and having an open door policy (DAFF, 2017a). These service standards serve as the benchmark of the level and quality of services the clientele will receive. If these services are not delivered according to these standards, the clients can submit a complaint and the DAFF officials will be held accountable for not adhering to the set standards of service delivery. This policy contributed to the open door policy that exists at the DAFF, creating an environment that caters to the needs of its clientele. All the DAFF respondents indicated that since the implementation of these selected principles, progress had been made within this department, to make service delivery more effective. This was done by consulting with all stakeholders first before a policy is finalised by this department, thus ensuring that the demands of the clients were incorporated into the policy and that the clients would benefit from the policy when implemented. All the DAFF respondents emphasized in their answers that the client is placed first at all cost and that the client will experience a department that is professional and provides service delivery that is equal and non-biased.

5.4.3 Consultation

Thirdly, five of the six DAFF management officials indicated that this department consults with its clients. Consultation takes place in the form of community meetings held in the local community hall every two months and workshops take place once a month. The consultation between the DAFF and the wine farm owners happen on a regular basis due to the farm owners submitting wine samples to DAFF on a regular basis. The interaction between the DAFF and the farm labourers does not take place on a daily basis as these workshops happen

only once a month, where the farm labourers are taught new skills and methods, which they then can apply within their work areas or to start their own farms.

The regular meetings with the clients of the DAFF ensure that information is understood correctly and that the clients have access to this information, either online or via access to a hard copy. After the consultations, the DAFF will report back to its clients on the matters that were raised during the consultations and identify the action plans to address their concerns.

This is also posted on the DAFF website and is available as a hard copy at the DAFF office for clients to engage with. This indicates that the DAFF values the consultation process and sees it as an effective way of communicating with its clientele.

5.4.4 Redress

The challenges that the six DAFF respondents indicated, include the reduced annual budget and the increased annual responsibilities of the DAFF. The DAFF is therefore asked to do more work with less money every year. Thus, each DAFF official's workload increases every year, receiving new responsibilities and yet must meet the goals that accompany these responsibilities. The second challenge which DAFF is faced with, is effective training for its employees to navigate and interact with the software programs and online programs. Although this streamlines the work of the DAFF, however, newly appointed DAFF staff members cannot receive the complete training that is needed for Wine Online due to financial constraints. For example, the annual budget for this department has decreased by 7.3% per annum hence, less money is available for training workshops so that the DAFF employees can remain up to date, as a result it negatively affects the quality of services being delivered by this department (DAFF, 2017b). The DAFF does not have a computer laboratory to train employees on-site and must pay money so that a venue could be booked for training to commence. Thus, if the training issue is addressed effectively, it would lead to services being delivered by the DAFF that is not as effective and efficient as it could be. Thirdly, the DAFF is experiencing ageing and outdated infrastructure that requires a drastic upgrade. For example, the switchboard of the DAFF is broken; clients cannot phone this department if they have a query or general question that they would like to ask. Clients of the DAFF complained about the communication problems and that they need to be fixed urgently. When this was raised with the DAFF respondents, all the participants responded by saying that there is no money to fix it or to buy a new one. Lastly, the DAFF is experiencing problems with the email system due to old technology and computers.

The inability to communicate via email has a drastic impact on the turnaround time for wine certificates to be issued. It also leads to conflict with the clients of the DAFF due to not fixing the email system of this department. Redress is therefore urgently needed as the emailing and the telecommunication problems are impacting the service delivery standards that are set. If these issues are not fixed soon, it will lead to clients that are unhappy and service delivery that is below standard.

When the six DAFF respondents were asked who was responsible and accountable for the overall implementation of the selected Batho Pele principles within the DAFF, three of the six respondents answered that each official is responsible for making sure that he or she implements these principles on a day-to-day basis.

The DAFF managers oversee the implementation of the selected Batho Pele principles and have to ensure that they are implemented correctly. This oversight takes place through performance appraisals and through the lines of reporting to the relevant line managers. The managers then report to the head of this department, who then report to the Minister about the effective nature of this policy implementation. A clear organogram with regards to employees' lines of reporting, allows for clear communications to be established. Should any of the DAFF officials be unsure about the implementation of a specific principle, they would know which managers to contact first. The other three DAFF respondents responded that the managers are held accountable for the overall implementation of this policy.

During the face-to-face interviews with the six DAFF respondents, four respondents indicated that there is no disciplinary action taken against public officials if the Batho Pele principles are not implemented correctly. There is no policy or legislation that forces managers within DAFF to penalise public servants if the Batho Pele principles are not implemented correctly. According to one of the DAFF participants, the culture of any state department will determine if the Batho Pele principles will succeed and if the managers believe in these principles and actually lead by example, only then can the Batho Pele principles succeed. However, the generic assessment factors include five of the eleven Batho Pele principles, namely, consultation, service standards, information and transparency. Thus, not even half of the principles are present during the evaluation of a DAFF employee's performance.

Furthermore, five of the six DAFF respondents answered 'yes' to the question that asked if the selected clients of the Department of Agriculture, Forestry and Fisheries were informed about new policies or newly amended policies that may affect them.

If clients are informed about the newly amended policies and what these policies entail, it will allow for effective communication between the DAFF and its clients, thus improving communications between the state and its clients. The clients were informed via the notice board at the DAFF. Secondly, the necessary information was shared on the DAFF website and lastly, the clients who have an email address were also emailed a copy to inform them about the latest policies and programmes that are taking place. The practice of informing clients about new policies being amended will ensure that the clients of the DAFF are informed at all times and will increase public participation from the clients of the DAFF and will make the clients feel valued.

Two of the six DAFF respondents were aware of the induction training that newly appointed employees have to attend; the rest of the DAFF participants were totally unaware of the induction training. The induction training spans over one week where the newly appointed employees must attend and pass three courses with the focus on public administration before the employee can work full-time at the DAFF. The newly appointed employees will receive a few hours' training on the necessary software programmes as part of the induction training. They will also be informed who their line managers would be, to whom they must report on a day-to-day basis. However, the participants indicated that one week of training is too short and that it requires more time to operate the necessary software programmes that DAFF uses on a day-to-day basis.

5.4.5 Openness and transparency

All the DAFF respondents answered 'yes' to the question on whether they thought that the five selected Batho Pele principles were effective within the Department of Agriculture, Forestry and Fisheries. All the respondents therefore felt that these principles were being implemented correctly within the DAFF and that they have contributed to the transparency of this department. The DAFF officials indicated that information on the day-to-day activities of this department could be found in the reception area of this department in the form of a poster that is pinned on the notice boards or on the website of this department. The DAFF publishes its annual reports to its clients on its website and also in the form of hard copies that are freely available at this department (DAFF, 2015a; 2015b). The DAFF thus allows its clients to see how the money was spent, on what programmes the money was spent and to see the outcome of the programmes that were used.

The DAFF officials asserted that, by keeping its clientele in the know of what this department is doing and how money is being spent, it helps to strengthen the trust relationship between the DAFF and its clients leading to an increase in the transparency of this department. The complaints procedure is also shared with the DAFF clients, in the form of a notification on the community notice board and also on the DAFF website.

Participants' face-to-face interviews

Face-to-face interviews were conducted with six officials from the Department of Agriculture, Forestry and Fisheries (DAFF) located just outside Stellenbosch. The six participants that formed part of the study during the fieldwork process consisted of two senior management officials, two middle management officials and two lower level management officials. The interviews conducted were intended to elicit information and opinions of the staff with regards to the challenges faced within the DAFF during the implementation of the selected five Batho Pele principles within this department and its clientele. The five principles that will be looked at are consultation, service standards, information, openness and transparency and lastly, redress. These principles were identified due to their importance to improving service delivery within the public sector. Six staff members were interviewed at different managerial levels so that the opinions and insight of employees at the different levels could be recorded and be taken into account. By interviewing staff members at different levels, it allows for data to be collected from staff that implement these principles at grassroots level and for data to be collected by staff that oversee the implementation process. The interview schedule used during the interviews of the six DAFF officials consisted of sixteen questions that were mostly open-ended. That allowed for the detailed sharing of experiences and insights on the part of the officials. The interview schedule used with the five wine farm owners and the ten farm labourers (two per farm) consisted of questions to probe the every-day experiences of the wine farm owners and labourers as opposed to the schedule used for the officials that probed implementation.

The face-to-face interviews with the vineyard owners and the labourers were the same set of questions and consisted of twelve open-ended questions. Conducting interviews with all relevant stakeholders, namely, wine farm owners, labourers and officials, allowed the researcher to obtain a more balanced perspective on how the DAFF was performing with respect to the implementation of specific Batho Pele principles.

5.5 Interviews with the five wine farm owners and ten farm labourers

The questions posed to the wine farm owners and labourers probed whether they attended any community meetings hosted by the DAFF and what their general experiences were with the DAFF. During the interviews with the five wine farm owners and ten wine farm labourers (two per farm) they received the same set of questions during the face-to-face interviews. Two wine farm owners are well known in the wine industry and the other three wine farm are less popular wine farms. These fifteen participants had all completed the necessary consent forms and had given the interviewer their permission to do a voice recording of each of the interviews, on condition that only the researcher would have access to the voice recordings. The wine farm owners and labourers were each asked twelve questions and the answers were recorded by the interviewer, thus allowing the participants to do most of the talking. The researcher gained a more in-depth look at the participants' circumstances and their day-to-day living environment.

When the respondents were asked if they were familiar with the eleven Batho Pele principles, nine of the fifteen respondents answered 'no' to this question. During these interviews, the researcher noted that the majority of these participants had never heard about Batho Pele or the Batho Pele principles within their communities. The researcher therefore took the necessary time to explain what the phrase Batho Pele means, namely "to put the people first" within the public sector. The researcher also explained each of the eleven principles to each of the respondents who was not aware of the Batho Pele principles. By informing the participants about the principles, the researcher ensured that the field research would be more accurate and a true reflection of how the selected five principles (consultation, information, service standards and redress) have impacted their lives and how service delivery has improved since this policy was implemented.

The other six respondents who were aware of the Batho Pele principles indicated that they understood the selected five principles as putting the people first at all times, and that there are certain standards installed within the public sector that the DAFF must adhere to. Lastly, these principles are about improving service delivery to all South Africans. The minority of the participants had an idea of what the Batho Pele principles were and what they seek to achieve. The six respondents who answered 'yes' to this question, consisted of three wine farm owners and three farm labourers.

5.5.1 Service standards

Secondly, 10 of the 15 respondents agreed that the selected five Batho Pele principles have improved service delivery within their communities.

These 10 respondents consisted of five wine farm owners and five farm labourers. The respondents who were in agreement with these questions also indicated that the quality of service delivery by the DAFF has drastically increased after 1994. The respondents were of the opinion that Batho Pele focuses on service standards and the improvement of the service delivery. They asserted that this can only be achieved if the allocated money is used on the identified programmes and plans, then it will in return benefit the clients of the DAFF. Service standards indicate the quality of service delivery that the clients of the DAFF can expect and that the quality of service delivery is done fairly to all the clients of the DAFF. The respondents also indicated that they were aware of the complaints procedure that needs to be followed when a complaint needed to be logged if service delivery by the DAFF was not meeting the service delivery standards. The remaining five respondents that said service delivery has not improved within their communities. They mentioned that the geographical location of the farms that they live and work on is remote and accessibility to these farms are difficult. These five respondents consisted of one wine farm owner and four farm labourers. Hence, the necessary infrastructure that is needed to provide basic service delivery is in need of maintenance to ensure that the services that this department are delivering are actually meeting the necessary performance standards. From the respondents who answered 'no' to this question it is evident that the farm labourers are still of the opinion that service delivery has not improved within their community. However, according to the wine farm owner, the service delivery within their local community and services that are rendered by the DAFF have improved over the years.

5.5.2 Consultation

When the participants were asked if the Western Cape Department of Agriculture, Forestry and Fisheries (DAFF) consulted with them at any time regarding the formulation of new policies, thirteen of the fifteen of the respondents said 'no'. These respondents consisted of four wine farm owners and nine farm labourers. The majority of the respondents made it clear that during their time on the wine farms, not once had representatives of the DAFF come to introduce themselves nor were they informed about a consultation meeting that took place.

The majority of the respondents grew up on those farms and had been on those farms for more than 30 years.

Thus, the outcome of this question violates the first principle of the eleven Batho Pele principles that addresses consultation with its customers and incorporating the needs and demands of the people into policies before finalising these policies that will impact the participants lives.

The DAFF's practice of not consulting their clients indicates that this department is not as responsive to the clients as indicated by the interviews with the six DAFF officials. They claimed that there was no opportunity for them to voice their concerns or to inform the DAFF about where service delivery was lacking within their local community. The other two respondents who answered 'yes' to this question said that consultation did take place during a community meeting that was held once a year in the local community hall. However, they made use of private transportation to get to the community meeting, due to the venue of the meeting being far away from the wine farms and there was no public transportation to and from this venue. The DAFF's practice of not having regular consultation meetings between the DAFF and its clients, indicates that the clientele of the DAFF are not always prioritised, as required by the Batho Pele principles. Also, the wine farm owners do not want to drive with their own vehicles to and from the consultation meetings due to the state and the DAFF not informing them where the meetings would be held.

Furthermore, thirteen of the fifteen respondents answered 'no' to the question that asked them if they had attended any community meetings that were held by Department of Agriculture, Forestry and Fisheries. These respondents consisted of four wine farm owners and nine farm labourers. This kind of response suggests that some of the stakeholders were not really involved in decision-making related to issues pertaining to the wine industry. Community meetings forms the back bone of the Batho Pele principles and is much needed so that community members can provide their inputs.

5.5.3 Redress

The fifteen participants were then asked if they were satisfied with the quality of the services rendered to them by the Western Cape Department of Agriculture, Forestry and Fisheries. Eleven of the fifteen respondents indicated that they were satisfied with the quality of services being rendered by the DAFF. The eleven respondents consisted of three wine farm

owners and eight farm labourers. This indicates that the majority of the wine farm owners and the farm labourers were satisfied with the quality of services that were being delivered to them by this department.

However, the minority of the fifteen respondents indicated that the quality of service delivery could be improved. The minority of these respondents consisted of two wine farm owners and seven farm labourers. The respondents who felt that the service delivery of the DAFF could be improved, highlighted that sometimes the DAFF did not answer their phone calls or emails regarding a general inquiry, thus frustrating the clients. They maintained that if their queries are not answered swiftly, it may result in financial penalties for the vineyard owner for not exporting his/her wine on time. Another point of irritation that the clients of the DAFF brought to the attention of the researcher, was the issue of the DAFF employees working until 16h00. That means that there are no DAFF staff members on standby should there be an emergency, regarding lost documentation or a certificate not being issued to the vineyard owner on time. This has bearing on Batho Pele Principle two speaks about adhering to service standards when services are being delivered to the clientele of the DAFF and providing equal access to these services by treating all clients fairly and equally (RSA, 2008). However, the accessibility to these service being delivered may have a large impact on the result to this question as the minority of the respondents that answered this question were on a remote wine farm and that may be the reason for the negative experience with the DAFF and the services that it provides to its clients. Also, the well-established wine farm owners receive special treatment from this department in the form of allowing them to submit their wine samples late because the well-established wine farms export their wine internationally. On the other hand, the smaller less-known wine farms are not granted this special treatment because these smaller farms are seen as being less important in terms of contributing to the economy, given that they service the local market.

5.5.4 Openness and transparency

The respondents were asked to list a few of the benefits that they experienced within their communities and within the DAFF since the implementation of these principles. The respondents indicated that they as clients were made aware of the quality of service being rendered by the DAFF to its clients. This indicates that the clients are made aware of the quality of service delivery that can be expected by all the DAFF clients irrespective of their race or social class. By sharing this information with their clients, the DAFF increases the transparency of the department with regards to its day-to-day activities, as well as the quality

that can be expected. For example, when clients phone this department the receptionist is friendly, professional and helpful in answering and assisting them when they have a general enquiry.

The respondents also indicated that the departmental budget and annual reports were available to scrutinise in the local newspaper or on the departmental website. By sharing their financial budget with their clients, the DAFF allows for their clients to know how the money is being spent and on what the money is being spent. This increases the openness and transparency of this department and allows for the trust relationships between this department and its clientele to be strengthened.

5.5.5 Information

Thirteen of the fifteen respondents answered 'no' to the question that asked them if they had attended any community meetings that were held by Department of Agriculture, Forestry and Fisheries. These respondents consisted of two wine farm owners and ten farm labourers. When probing the respondents further it was revealed that the information had not been shared with the majority of the clientele of DAFF. The majority of the respondents indicated that the information had not been shared on the community notice board or on the departmental website. Thus, the information being shared from the DAFF to its clients, is not being communicated effectively. Information that should be shared by the DAFF with its clients must be accurate and trustworthy as indicated by Principle five of the Batho Pele principles. The three respondents that answered 'yes' to this question were wine farm owners. The DAFF clients who have access to the DAFF official's office numbers could find out about the consultation time and venue. Not all the DAFF clients have the luxury of phoning this department to find out such matters. The researcher probed the respondents more and identified that the farms have access to the internet and a computer. They were therefore able to read about the latest news and the departmental goals and objectives on the website of the DAFF. However, the farm labourers do not have computers or money to buy data to access the internet. The wine farm owners also indicated that the DAFF had begun to send emails to improve communication between the department and its clientele to assist its clients if they have any questions.

5.6 Chapter summary

This chapter focused on four key areas. This chapter first discussed the participants' face-to-face interviews and how these interviews took place, thus providing a clear outline of how the questions would be asked and the types of questions that would be asked to the six DAFF officials and its clients.

Secondly, the demography of the respondents was identified and the necessary consent forms and participants' forms were shared with the respondents before the interviews took place. Thirdly, the face-to-face interviews with the six DAFF officials were discussed and the questions relating to the selected five Batho Pele principles were unpacked in detail throughout this chapter. Furthermore, the interviews with the five wine farm owners and the ten farm labourers were discussed and the responses to the relevant questions were discussed.

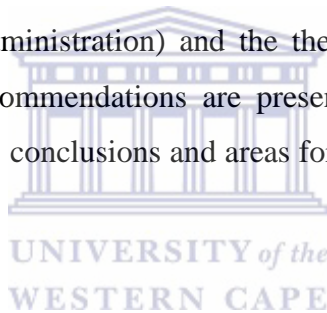
The findings that were presented in this chapter indicated that, according to the DAFF officials, consultation with its clients does take place, but the clients of this department indicated that very little consultation actually takes place. The information that is shared by the DAFF is shared mainly on the departmental website and not all its clients have access to a computer or to the internet. Furthermore, the service standards that are in place within the services that this department rendered, improved the quality of service delivery to all its clients. The programmes and areas for improvement within the DAFF can be redressed and made more effective and efficient. The DAFF has increased its openness and transparency by sharing the financial budget and other related documents with its clients, thus strengthening the relationship between this department and its clients.

CHAPTER SIX

MAIN FINDINGS, RECOMMENDATIONS AND CONCLUSIONS

6.1 Introduction

The main research question of this study was to examine the implementation process of the selected Batho Pele principles through the case of the Western Cape Department of Agriculture, Forestry and Fisheries (DAFF) and how these principles influence its the DAFF's interactions with relevant clients. The researcher also strived to achieve the research objectives, identifying the main aims, using qualitative research methodology to help answer the research question and sub-questions by collecting qualitative data during the fieldwork phase and identified some of the methodological challenges that were experienced. Secondly, the main findings within the context of the theoretical framework (public administration reforms and the New Public Administration) and the theoretical framework are discussed within this chapter. Thirdly, recommendations are presented based on the problem areas identified in Chapter Five. Lastly, conclusions and areas for future research are identified and discussed.



6.2 Guiding assumptions and research questions

The study was guided by the following assumptions:

- Service experiences were influenced by the status of the wine farm. For example, established wine farm owners receive more leniency from the department with regards to certain deadlines as compared to those of emerging wine farms. Therefore, emerging wine farm owners may not acquire the necessary certification to sell their produce in the event that they do not adhere to the DAFF's timeframes. On the other hand, concessions are made for wine farms owners of established farms.
- The service delivery experience of relevant stakeholders was partly influenced by their access to technology in the form of cell phones or personal computers. Since the primary form of communication that the DAFF uses is via email or their website, stakeholders who do not have access to smartphones or personal computers will not be abreast of developments in the DAFF or opportunities that they may benefit from.

- This stifles potential economic opportunities that may arise and benefit the wine farm labourers.

Research questions

Pursuant to the above, the investigation undertaken was guided by the following research questions:

- How are the Batho Pele principles perceived by all stakeholders?
- What are the clients' perceptions of the DAFF and the service that it delivers to its clients?
- What are the successes and failures of the Batho Pele principles within the DAFF?
- What measures could be introduced to improve the implementation and effectiveness of the Batho Pele principles within the DAFF?
- How effectively are Batho Pele principles being implemented in the DAFF?

6.3 Re-emphasizing the main and secondary objectives of the study

The main objective of this study was to examine the implementation of selected Batho Pele principles through the case of the Department of Agriculture, Forestry and Fisheries and how these principles influence it's the DAFF's interactions with relevant clients.

The study was guided by the following secondary objectives:-

- To examine relevant literature on public service reform to facilitate the development of a conceptual framework through which to explore and understand the problem of poor policy implementation.
- To present and examine the legislation and policies associated with improving public service delivery, with specific attention to the Batho Pele principles.
- To examine how effectively the selected Batho Pele principles are being implemented within the DAFF.
- To assess whether selected clients, irrespective of their social class and standing, are happy with the services provided by the DAFF.
- To identify and discuss the challenges that the DAFF is experiencing with regards to the implementation of these principles.

- To highlight the main findings of the study, provide realistic recommendations to improve the implementation of the Batho Pele principles by the DAFF, and conclude the study.

6.4 Analysing data collection strategy

The sample consisted of 21 participants in total; six participants were management officials from the DAFF, five were wine farm owners and ten were farm labourers (two labourers per farm). With the majority of males that took part in the face-to-face interviews and only two females, this was not by design, but the agricultural industry is predominantly male; the same goes for the employees working in the DAFF. The respondents were categorised in terms of the DAFF employees and the DAFF clients. The ages of the respondents ranged from 26 to 65 years of age; thus, the elderly, middle-aged and youth were represented. The sample also included six DAFF members at different managerial levels so that more in-depth information could be collected by the researcher. Some of the challenges that were experienced by the researcher included the selection of data and time for the face-to-face interviews to take place at the DAFF due to the DAFF officials attending meetings and assisting clients on a day-to-day basis; thus, finding a date that was best suited was challenging. Secondly, gaining access to some of the wine farms was challenging since the road conditions to and from the farms were extremely poor due to the remote locations of those farms.

The research plan was designed to answer the main research question and objectives. The research plan made use of an interview schedule to help get the necessary answers from the participants that took part in this study. The reason why a qualitative approach was adopted by the researcher was due to the additional information and better understanding that one gets from asking open-ended questions. This allowed the researcher to really understand why the respondents gave certain answers during the face-to-face interviews that were held. The face-to-face interviews were conducted in a safe space at the DAFF offices and on the wine farms so that the respondents could answer the questions to the best of their capability without fearing intimidation or victimisation. This resulted in the researcher collecting qualitative data that assisted in answering the research questions and sub-questions. The pre-determined research plan and the unfolding research plan were identical and took place without any problems. The participants were all enthusiastic about partaking and were easy to

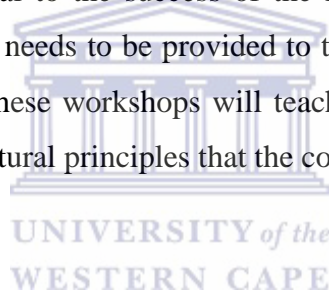
communicate with. That allowed the researcher to probe the participants and to gain valuable information from them.

6.5 Prioritise consultation with the clients of the DAFF and promote more community participation amongst the clients of the DAFF

Thirteen of the fifteen respondents that were clients of the DAFF indicated that no form of consultation took place regarding the improvement of service delivery by this department and how the service standards could be raised so that the quality of service delivery could be improved. The DAFF should therefore revise its consultation strategy so that more of its clients are consulted so that the service delivery process could be made more effective and efficient and to deliver services that are directly addressing the demands of its clients. The DAFF should also make alternative arrangements so that transportation could be made available for farm workers, wine farm owners and other clients so that the clients of the DAFF could be transported from the remote farms to and from the community meetings. All the respondents answered 'no' to the questions when asked if they had attended any community meetings that were held by Department of Agriculture, Forestry and Fisheries. If the DAFF organises transportation for their clients, it would improve the number of participants who would take part during the consultation process and it would allow for more inputs of clients to be taken into account before service delivery strategies are finalised by the DAFF.

Consultation is the very first principle of Batho Pele and forms the corner stone of the foundation of Batho Pele. If this is not adhered to, it will lead to a state department that does not put its clientele first, like the phrase Batho Pele suggests it should be (RSA, 1997b). Secondly, the DAFF could re-strategize about the small number of community meetings and workshops held by the DAFF each year. The interaction between the farm labourers and the DAFF takes place through the workshops that this department provides, teaching farm labourers skills and techniques with regards to farming. The DAFF also assists these labourers to apply for land so that they could farm and apply the skills and techniques that they have learned by attending the workshops held by the DAFF (DAFF, 2017a). The vision and mission statement of the DAFF highlights the importance of providing previously disadvantaged communities with the opportunity to become farmers and to own land, thus assisting with the transformation within the agricultural sector (DAFF, 2017c). The National Development Plan (NDP) is in line with the vision and mission of the DAFF. Therefore, both

the NDP and the DAFF are working towards common goals such as creating potential job opportunities to fight unemployment within South Africa and to create food security for South Africa (RSA, 2013). Having more community meetings at regular intervals will not only benefit the DAFF but, also its clients. Having more community meetings will ensure that the DAFF stays on top of the demands and needs of its clientele, thus allocating the necessary resources accordingly and increasing the use of these resources, such as financial and human resources. The community will benefit from more community meetings held by the DAFF in the form of highlighting the problem areas that the clients of the DAFF experience with the DAFF and the services that the DAFF is delivering. It is essential to make the department aware of the problem areas during the community meetings. This is a direct approach of making the DAFF aware that some areas of its service delivery are lacking and should be taken note of during the community meetings, thus eliminating the unnecessary back and forth communication of emails, resulting in the mere logging of a complaint. Consultation and community meetings are vital to the success of the Batho Pele principles. During the consultation important skills that needs to be provided to the community will be highlighted from the inputs of the people. These workshops will teach the farm labourers certain skills such as welding and basic agricultural principles that the community members can then use to sell their labour.



6.6 Adjusting the office hours of the DAFF

From the data and information that was collected from the clients of the DAFF, the majority of the respondents indicated that one key problem area that they as clients are experiencing with the service delivery of the DAFF is that of its working hours. Firstly, the staff of the DAFF should not all take their lunch breaks at the same time, leading to a scenario where clients call this department for assistance regarding the necessary paper work that must be uploaded onto Wine Online. However, there is no employee that can answer the phone call due to the fact that all the employees are on their lunch breaks at the same time.

The clients of the DAFF find this very frustrating as the agricultural community and industry do not have fixed office hours. This means that the wine farm owners and their labourers are working from sunrise to sunset depending on the season. The wine farm owners may call during the lunch break and will not be helped due to all the employees of the DAFF taking

their lunch breaks at the same time and exercising their right to taking their mandatory breaks.

Another area where the DAFF could improve, is the end of business closing time. Due to the agricultural environment not being fixed to office hours, it is a headache for its clientele to call this department at 15h55 and to think someone at this department will answer the phone call.

It is therefore recommended that there should be at least one employee that will be on standby every day from 16h00 to 17h30 to deal with late submissions of paper work by the vineyard owners or to assist with general queries that the clients of the DAFF require the necessary assistance with. Just having one DAFF official on standby will increase the quality of service delivery by the DAFF and it will also take the demands of the clients into account since the office hours are one of the main sources of unhappiness with the clientele of the DAFF. The nature of the industry is such that recipients of services do not have time during normal working hours to interact with the DAFF on technical and/or administrative matters related to managing a wine farm.

Consultation with the respective trade unions must therefore take place so that the trade unions are informed about the problem areas and determine how their trade union members will benefit from the over-time that they will receive if all the stakeholders agreed with this recommendation to extend the office hours of this department. Also, the bargaining councils must be consulted due to their influence on the realisation of this recommendation.

If the relevant stakeholders are not consulted and informed, this recommendation will not be realistic. However, if consultation with these stakeholders do take place and an alternative arrangement can be found that is suitable for all stakeholders, then this recommendation will be realised. One of the major concerns with regards to this recommendation is to change people's working conditions so that the interest is on improving service delivery to its clients and that the client's needs are placed first and foremost.

6.7 Upgrade and proper maintenance of office equipment of the DAFF

During the face-to-face interviews the researcher noticed that the majority of the respondents indicated that the emails and the phone calls to the DAFF do not get answered regularly, if at all. Further investigation done by the researcher identified that the DAFF switchboard was

broken and that the email system that the DAFF employees are forced to work with is full of software problems. The DAFF should prioritise the upgrading and maintenance of the technology that its employees need to make use of on a day-to-day basis. Hence, a new switchboard is needed for the receptionist that is tasked to answer all the phone calls that this department receives and can only do his/her job effectively if the switchboard has been replaced with a new one.

Replacing the faulty switchboard will allow for the clients of the DAFF to actually call this department and for the receptionist to assist the clients of the DAFF as to whom their phone calls should be forwarded to. This will result in increasing the effective communication between this department and its clientele and adhering to Principle five of the Batho Pele principles that indicate that there should be effective and efficient communication between the state and its clients (RSA, 1997b).

Another area where the DAFF needs to allocate more money, is the fixing of the faulty email addresses that the employees are given. The DAFF's fixing of all the IT problems regarding the entire email system will allow for the employees to work under less pressure as the email system is working as it should. It will allow for the employees of the DAFF to respond faster to the emails that they receive on a daily basis, thus responding to its clientele within a respectable time frame. The improvement of the DAFF communications systems will drastically increase the communications between its clientele and the state and will assist in the sharing of information between the state and its clients.

6.8 Regular software training for the staff of the DAFF and its clients

The benefit of regular software training for the DAFF employees and its clients is the fact that more people will know how to interact and operate the various software programmes to upload files and other documents. The provision of the necessary training will allow for the workload of the DAFF staff to be streamlined since, the documents could then be uploaded by the wine farm owners on to Wine Online system. The budget constraints thus negatively impact the quality of service delivery by the DAFF. For example, the annual budget for this department has decreased by 7.3% per annum hence, less money is available for training workshops so that the DAFF employees can remain up to date. The DAFF does not have a computer laboratory to train employees on-site and must pay money so that a venue could be booked for training to commence. By investing more money in the necessary training and

computer infrastructure will result in feasible and realistic state department delivering a quality service to its customer every time. The DAFF could then evaluate if the correct documents were uploaded and then print the necessary paper work that needs to be completed. The Wine Online software was developed and adopted by the DAFF in the attempt to go paperless and to shift to a more modern-day solution than just the traditional method of doing business.

By going electronic and digital allows for the clients of the DAFF to upload documents from anywhere within South Africa. The DAFF staff could then investigate if the correct documents had been uploaded by the clients before helping the client. Thus, regular training sessions that could take place once a month, with a duration of one working week. The dates and time can be open for consultation by the DAFF so that the time suits the DAFF officials and its clients. This will allow for the employees of the DAFF to attend these training sessions if they feel that they want to sharpen their software skills. The training sessions will be free for the clients of the DAFF as well as for its employees. The more people that receive training on these software programmes, it will help guide the clients of the DAFF step by step as to how these programmes work. By showing the clients how the software works and how to interact with it, it will eliminate general queries and questions that the DAFF must answer each day about clients not knowing what to do when it comes to this software used by the DAFF.

6.9 Incorporate more workshops into the DAFF to increase awareness and importance of the Batho Pele principles

With the findings that have been made throughout the presentation of the fieldwork data and information, it was brought to light that the employees of the majority of the DAFF officials that were interviewed, all indicated that there is no disciplinary action that can be taken if these principles are not implemented correctly. By introducing more workshops within this department with the focus on the importance of implementing the Batho Pele principles effectively, it will increase the awareness within this department. This requires adopting a customer-centric approach that focuses on the needs and demands of its customers. Placing the needs of the customers first will result in the DAFF being more responsive to the needs of its clients. These workshops will also assist with the services that are being delivered by making sure that the services are addressing the demands of its clients directly and ensure

that resources are used effectively during the implementation of these services that are being delivered. If there was any form of disciplinary action for the DAFF officials that did not implement these principles correctly, it should lead to a punitive approach that is not in line with a remedial style of management advocated in the approach to understanding human behaviour within the work place.

6.10 Develop an awareness campaign about the Batho Pele principles

Through the field research the majority of the clients of the DAFF indicated that they have never heard about the eleven Batho Pele principles before and they have no idea what Batho Pele even means. Thus, there is a big demand from the clients of the DAFF that more information and programmes need to be shared by the DAFF to inform their clients about these principles and how these principles form part of the quality of service delivery that the DAFF provides to its clientele. An awareness campaign will help to inform the clients as to what the phrase Batho Pele means and how these principles should be understood within the public sector and if these principles are not met, whom the clients could contact to report this.

A similar approach could be adopted by the DAFF as to the awareness campaign of HIV/AIDS. A large awareness campaign was launched by the state and the national Department of Health to make citizens aware about how HIV/AIDS can be avoided by using certain precautionary measures such as condoms for males and females and also making the public aware as to how HIV/AIDS transmission can take place through mother to child, having unprotected sex, just to name a few (Department of Health, 2017).

The DAFF can adopt a similar awareness campaign that is easy for its clients to understand and where the principles are presented in a fun and interesting manner so that it is easy for the clients of the DAFF to remember. This can be done by making colourful posters with catchy phrases and a sing-along song to help remember the eleven principles. A new and interesting acronym can be formulated that could be used as a tool for the clients of the DAFF to remember what the eleven principles mean and stand for.

The awareness campaign can start on the website of this department to inform the clients of the DAFF that there will be an awareness programme that will be held once a month at the end of each month at the local community centre to make the clients of the DAFF aware of

these principles and how these principles could benefit the clients of the DAFF. Secondly, the email addresses that the DAFF currently has within their data base can be used to email these clients of the DAFF to inform them when the information sessions will take place and what time it will take place, thus improving the chances of the clients seeing the advertising campaign. Thirdly, the DAFF can put a poster on the community notice board that will help to inform more of its clients about the awareness campaign about the eleven principles and unpacking these principles.

This three-pronged approach will help to ensure that more of the DAFF clients are aware about these principles and are informed as to whom is accountable if these principles are not met and they can report it so that it can be corrected.

6.11 Future research

This study was limited to the implementation of the selected five Batho Pele principles. A study that examines how effectively the eleven principles are implemented by the DAFF may yield a more holistic perspective on service delivery by this department. In addition, a study that includes a broader spectrum of wine farms, to encompass a more balanced sample of emerging and established wine farms may illustrate the different experiences that wine farm owners have when interacting with the DAFF. In turn, this kind of study may present greater insights into whether or not the White Paper on Transforming Service Delivery (DAFF, 1997b) is in fact narrowing the gap between citizens and/or relevant stakeholders.

6.12 Main findings of this study in the context of the theory

Chapter Ten of the South African Constitution (RSA, 1996) makes citizens aware of the set standards of service delivery that they can expect within the public sector and also makes citizens aware of their rights to complain if those standards are not met by following the correct complaints procedures (RSA, 1996). One of the similarities between NPM and Chapter Ten of the South African Constitution is that the necessary performance standards within the public sector are installed. Having the necessary service standards in place will allow the clients of NPM to know what quality of service delivery that they can expect and also inform the state officials about the expected service delivery quality, thus making sure that the service standard is met during the implementation stage of the service delivery

process. The Public Service Act of 1994 was formulated and implemented with the main aim of establishing norms and standards within the post-apartheid public sector of South Africa (RSA, 2017b). This Act is aligned to the Batho Pele principles in the form of transformation of the public sector so that the public sector is more open for all South Africans and not just for a small elite group and also to improve the effectiveness and efficiency of the Public Service. Thus, the Batho Pele principles are not working in isolation but rather, in line with the South African Constitution to ensure that fair and equal service delivery takes place (RSA, 1996).

Within the South African public sector administrative, discretion is allowed due to the public sector not being just “black and white” but, also consisting of grey areas that require the necessary discretion from state officials to be used to increase the effectiveness and efficiency of the public sector (RSA, 2008).

Consultation is the first principle of Batho Pele and in the context of the Batho Pele principles it strives to get more public participation by having community meetings and doing surveys in the community (RSA, 2008). Principle one can also be linked to NPM due to both valuing the client as being the most important stakeholder.

The inputs and views of the clients should therefore be taken into account when policies are being drafted, making policies that address the problems in the community more directly. Regular consultation with clients will help strengthen public participation within the public sector.

However, the findings that were discussed in Chapter Five indicated that consultation by the DAFF does not actually take place on a regular basis and that transportation to and from these consultation meetings are not located near these farms. This forces the clients of the DAFF to spend money on transportation to and from these consultation meetings. In the case of the wine farm owners they have the luxury of driving to these meetings in their cars, whereas the farm labourers must travel by bus, train or taxi just to attend the consultation meetings. Thus, the consultation meetings should be held at a venue that is central for all the DAFF clients and that transportation to and from these meetings should be provided by the DAFF.

The second principle focuses on instilling service standards within the public sector. By having these standards in place, citizens are provided with an indication of the quality of service delivery to expect. It therefore is intended to make it easier to hold the government accountable when these standards are not met. If these standards are not met, the clients of

the DAFF should then submit a complaint to this department that will respond to the complaint within 48 hours. However, the findings in Chapter Five highlighted that the well-established wine farm owners receive special treatment in the form of this department giving a grace period for submitting late wine samples. The less-known wine farm owners do not enjoy this special treatment due the fact that they do not bring in as much money as the well-known wine farms and therefore these smaller farms are seen as being less important.

Principle five refers to provision of information to the public. Information should be accessible to citizens to enable the evaluation of a service and assess whether the performance criteria were met or not. The information shared by the DAFF must be accurate, trustworthy and be related to the services that this department provides to its clients. Through Chapter Five it was identified that not all the clients of DAFF have access to their departmental website or have the luxury of sending the DAFF officials emails. The majority of wine farm owners indicated that they do have accesses to a computer, internet and a smartphone, thus allowing them to access the departmental website or to communicate with this department via emails.

However, the majority of the farm labourers indicated that they do not even have a computer, smartphone or have access to the internet; thus the information on the departmental website is not really shared with all the clients of the DAFF.

The sixth principle seeks to create a public sector that is open and transparent (RSA, 2008:5-6). This principle encourages the dissemination of information to the general public about what the functions and accountability responsibilities of the various spheres of government are and how their work is coordinated with one another. The DAFF publishes an annual report and also the financial budget of this department, allowing the clients of this department to see how the money will be spent and on what programmes the money will be spent. This will increase the transparency of this department regarding the financial activities and also help to strengthen the trust relationship between the clients and the DAFF. The findings indicated that the transparency and openness if this department has been increased since 1994 and that the department has shared important information with its clients such as the annual reports and keeping the clients in the know.

Principle seven relates to the redress of services (RSA, 2008:6). Redress is done in the context of identifying where service delivery has performed below the standard that was set.

Thus, the service delivery standards need to be addressed towards the improvement of services. According to this principle, public officials are expected to provide citizens with information on time to enable the improvement of services and also provide criteria for evaluation after the problem has been addressed. With regards to the findings that were mentioned in Chapter Five, the maintenance and upgrading of infrastructure at the DAFF can be seen as a major area of concern due to the fact that the DAFF officials have problems sending and receiving emails. Communication to its clients are thus delayed and the switchboard at the reception does not allow for calls to be put through so that the correct DAFF officials could deal with the client's query.

The communications techniques and methods used by this department are problematic and infringe on the service standards. That is Principle two of the Batho Pele principles that was set by the DAFF because, the turnaround time of 28 hours for issuing the wine certificates cannot be achieved when these communications problems are present (RSA, 1997b).

The DAFF has made great progress since these principles were first implemented and the positive effects of the Batho Pele principles are visible within the local communities that the DAFF provides services to. However, there is still room for improving service delivery to make it more effective and efficient. Hence, the Batho Pele principles cannot be seen as being a quick fix for improving service delivery but, rather a long term strategy to ensure that the needs of the clients are placed first and above and beyond everything else.

Consultation with the DAFF clients is not taking place and this is not adhering to the first principle of the Batho Pele principles even if the majority of the DAFF officials indicated that consultation was taking place with its clients (RSA, 1997b).

6.13 Conclusion

This thesis examined the implementation of the selected Batho Pele Principles namely, consultation, service standards, information, openness and transparency and redress through the case of the Western Cape Department of Agriculture, Forestry and Fisheries (DAFF) and how these principles influence its interactions with relevant clients. Throughout this thesis the relevant literature on public service reform that facilitated the development of a conceptual framework through which to explore and understand the problem of poor policy implementation in general, and Batho Pele in particular was discussed. Thirdly, this thesis

assessed whether the selected clients are happy with the services provided by the DAFF and also identified and explored the challenges that the DAFF is experiencing with regards to the implementation of these principles. Furthermore, the main findings of the study were identified and discussed in detail with realistic recommendations formulated based on these findings to help improve the implementation of the selected Batho Pele principles, by the DAFF. The Batho Pele principles assisted with the transformation process of the South African public sector.

However, there is still room for improving service delivery to all South Africans and Batho Pele cannot be seen as being the only solution for improving service delivery within the country.



REFERENCE LIST

- Albarran, A. (2013). *The Social Media Industries*. London: Routledge.
- Bakvis, H. & Jarvis, M. (2012). *From New Public Management to New Political Governance*. London: SAGE Publishers Ltd.
- Baran, M. & Jones, J. (2016) *Mixed Methods Research for Improved Scientific Study*. United States of America: Information Science Reference.
- Baumgarten, M. (2012). *Paradigm Wars - Validity and Reliability in Qualitative Research*. Germany: Grin Verlag.
- Biagi, S. (2016). *Media/Impact: An Introduction to Mass Media*. London: SAGE Publishers Ltd.
- Brand, D. (2016). *Local Government Finance: A Comparative Study*. South Africa: Sunpress.
- Business Dictionary. (2016a). *Definition of Local Community*. [Online] Available from: <http://www.businessdictionary.com/definition/local-community.html>. [Accessed: 12th May 2016].
- Business Dictionary. (2016b). *Definition of Monitoring*. [Online] Available from: <http://www.businessdictionary.com/definition/monitoring.html>. [Accessed: 12th May 2016].
- Chaston, I. (2011). *Public Sector Management: Mission Impossible?* London: Palgrave Macmillan.
- Chipkin, I. (2012). *Transforming South Africa's Racial Bureaucracy: New Public Management and Public Sector Reform in Contemporary South Africa*. South Africa: Public Affairs Research Institute.
- Christensen, T. & Laegreid, P. (2016). *The Ashgate Research Companion to New Public Management*: New York: Routledge.
- Christopher, J. & Hossain, F. (2013). *Public Sector Reform in Developing and Transitional Countries*. London: SAGE Publishers.
- Claire, M. (2018) . *Here's What You Need To Know About The (New Round Of The) SASSA Scandal* . Retrieved from_08_09,2018 , from_ <https://www.marieclaire.co.za/hot-topics/sassa-scandal-grants-payment-system>.
- Creswell, J. (2014). *Research Design: Qualitative, Quantitative, and Mixed Methods Approaches*. United States of America: SAGE Publications.
- Da Silva, A. & Rankin, M. (2014). *Contract Farming for Inclusive Market Access*. South Africa: Oxford.
- Denhardt, J. & Denhardt, R. (2016). *The New Public Service: Serving, not Steering*. New York: Routledge.
- Department of Agriculture, Forestry and Fisheries (DAFF). (2015a). *Annual Report of the Year 2014*. [Online] Available from:

<http://www.gov.za/sites/www.gov.za/files/DAFF%20Annual%20Report%202015%20-%202016a.pdf>. [Accessed: 29th July 2017].

Department of Agriculture Forestry and Fisheries (DAFF). (2015b). *Annual Report of the Year 2015*. [Online] Available from:

<http://www.gov.za/sites/www.gov.za/files/DAFF%20Annual%20Report%202015%20>. [Accessed: 28th July 2017].

Department of Agriculture, Forestry and Fisheries (DAFF). (2017a). *Clients of the Department of Agriculture, Forestry and Fisheries*. [Online] Available from: <http://www.daff.gov.za/>. [Accessed: 06th June 2017].

Department of Agriculture, Forestry and Fisheries (DAFF). (2017b). *Department of Agriculture, Forestry and Fisheries*. [Online] Available from: <http://www.daff.gov.za/>. [Accessed: 19th September 2017].

Department of Agriculture, Forestry and Fisheries (DAFF). (2017c). *Strategic Plan*. [Online] Available from: http://www.daff.gov.za/doaDev/topMenu/DAFF_SP_%20complete.pdf. [Accessed: 29th July 2017].

Department of Agriculture, Forestry and Fisheries (DAFF). (2017d). *Wine Online*. [Online] Available from: <http://www.dawineonline.co.za/>. [Accessed: 11th March 2017].

Department of Health (DoH). (2017). *HIV/AIDS*. [Online] Available from: <http://www.health.gov.za/>. [Accessed: 11th March 2017].

Department of Public Service and Administration (DPSA). (2017). *Batho Pele*. [Online] Available from: <http://www.dpsa.gov.za/documents/Abridged%20BP%20programme%20July2017.pdf>. [Accessed: 28th September 2017].

Department of Public Service and Administration (DPSA). (1994). *Public Service Act of 1994*. [Online] Available from: <http://www.dpsa.gov.za/dpsa2g/documents/acts®ulations/psact1994/PublicServiceAct.pdf>. [Accessed: 29th September 2017].

Department of Public Service and Administration (DPSA). (2014). *Public Administration Management Act of 2014*. [Online] Available from: <http://www.dpsa.gov.za/dpsa2g/documents%5Cacts®ulations%5Cpamact2014%5CPAM%20Act2014.pdf>. [Accessed: 20th September 2017].

Department of Public Service and Administration (DPSA). (2014). *Ten Year Review*. [Online] Available from: <https://www.dpsa.gov.za/dpsa2g//www.gov.za/sites/default/files/10year.pd>. [Accessed: 8 August 2018].

- Duloney, W. (2016). *Black Police in America*. United States: Oxford University Press.
- Ferlie, E. (1996). *The New Public Management in Action*. United States: Oxford University Press.
- Fry, B. & Raadschelders, J. (2013). *Mastering Public Administration: From Max Weber to Dwight Waldo*. London: SAGE Publishers Ltd.
- Galletta, A. (2013). *Mastering the Semi-Structured Interview and Beyond*. New York: New York University Press.
- Glaser, D. (2001). *Politics and Society in South Africa*. London: SAGE Publishers Ltd.
- Goldfinch, S. & Wallis, J. (2009). *International Handbook of Public Management Reform*. United Kingdom: Edward Elgar Publishing Limited.
- Gray, M. & Webb, S. (2013). *The New Politics of Social Work*. United Kingdom: Palgrave Macmillan.
- Intellitics. (2016). *Definition of Public Participation*. [Online] Available from: <http://www.intellitics.com/blog/2008/03/24/what-is-public-participation/>. [Accessed: 12th May 2016].
- Lotter, K. (2013). *Transformation challenges public sector*. [Online] Available from: <https://mg.co.za/article/2013-08-30-00-transformation-challenges-public-sector>. [Accessed: 14th August 2018].
- Laegreid, T. & Christensen, P. (2013). *Transcending New Public Management: The Transformation of Public Sector Reforms*. England: Ashgate Publishing Limited.
- Luton, L. (2015). *Qualitative Research Approaches for Public Administration*. New York: Routledge.
- Lynn, L. (2006). *Public Management: Old and New*. Canada: Routledge.
- Massey, A. & Johnston, K. (2015). *The International Handbook of Public Administration and Governance*. United Kingdom: Edward Elgar Publishing.
- Matas, D. (1994). *No More: The Battle Against Human Rights Violations*. Canada: Dundurn Press Limited.
- Maxwell, J. (2012). *Qualitative Research Design*. London: SAGE Publications.
- Maxwell, S. (2013). *Arguing for Independence: Evidence, Risk and the Wicked Issue*. Edinburgh: Luath Press Limited.
- McLaughlin, K. Ferlie, P. & Osborne, E. (2005). *New Public Management: Current Trends and Future Prospects*. New York: Routledge.
- McLennan, A. & Fitzgerald, P. (1992). *The Mount Grace papers. The New Public Administration Initiative and the Mount Grace Consultation*. Johannesburg: University of Witwatersrand.

- Menke, P. (2016). *The Fiesta Data Model*. Germany: University of Bielefeld.
- Miller, K. (2005). *Public Sector Reform: Governance in South Africa*. United States of America: Ashgate.
- Neergaard, H. & Leitch, C. (2015). *Handbook of Qualitative Research Techniques and Analysis in Entrepreneurship*. United Kingdom: Edward Elgar Publishing Limited.
- Nuamah, K. (1996). *People's Participatory (Bottom Up) Approach to Integrated Pest Management in Africa*. Ghana: Ghana University Press.
- Osborne, D. & Gaebler, T. (1992). *Reinventing Government*. United States of America: Addison-Wesley Publishing Company.
- Parrado, S. (2006). *A Critical Analysis of the Conceptualization and Implementation of Citizens' Charters: Case Studies from UK, India, South Africa and Ethiopia*. Retrieved 08_082018, from https://www.researchgate.net/publication/259973646_A_Critical_Analysis_of_the_Conceptualization_and_Implementation_of_Citizens'_Charters_Case_Studies_from_UK_India.
- Patton, M. (2014). *Qualitative Research & Evaluation Methods: Integrating Theory and Practice*. United States of America: SAGE Publications.
- Pillay, S. (2014). *Development Corruption in South Africa: Governance Matters*. London: Palgrave Macmillan.
- Podems, D. (2017). *Democratic Evaluation and Democracy: Exploring the Reality*. United States of America: Library of Congress.
- Radall, T. (2012). *Public sector employment defies trends*. [Online] Available from: <https://mg.co.za/article/2012-07-28-public-sector-employment-defies-trends>. [Accessed: 14th August 2018].
- Republic of South Africa (RSA). (1996). *South African Constitution – Chapter 10*. [Online] Available from: <http://www.justice.gov.za/legislation/constitution/SACConstitution-web-eng-10.pdf>. [Accessed: 11th January 2017].
- Republic of South Africa (RSA). (1997a). *White Paper on a New Employment Policy for the Public Service*. [Online] Available from: <http://www.gov.za/dpsa2g/documents/acts®ulations/frameworks/white-papers/pubemploy.pdf>. [Accessed: 11th January 2017].
- Republic of South Africa (RSA). (1997b). *White Paper on Transforming Public Service Delivery*. [Online] Available from: <http://www.gov.za/documents/transforming-public-service-delivery-white-paper-batho-pele-white-paper>. [Accessed: 25th September 2017].

- Republic of South Africa (RSA). (2008). Public Service Commission (PSC). *Report on the Implementation of the Batho Pele Principle of Openness and Transparency in the Public Service*. [Online] Available from: https://www.psc.gov.za/documents/2008/K6300_PSC_Report%20Batho%20Pele%20Principals_Low%20res.pdf. [Accessed: 28th July 2017].
- Republic of South Africa (RSA). (2013). *National Development Plan (NDP)*. [Online] Available from <https://www.gov.za/issues/national-development-plan-2030>. [Accessed: 29th July 2017].
- Ritchie, J., Lewis, J., Nicholls, C. & Ormston, R. (2013). *Qualitative Research Practice: A Guide for Social Science Students*. United Kingdom: Natcen.
- Campo & McFerson. S & H . (2014) . *Public Management in Global Perspective* . New York: Routledge.
- South African National Treasury. (2007). *Framework for Managing Programme Performance Information*. [Online] Available from: https://books.google.co.za/books?id=KjuLtgAACAAJ&dq=performance+standards++south+african+government&hl=en&sa=X&ved=0ahUKEwjQ0NrK_MnUAhWIL8AKHagtCT4Q6AEITzAI. [Accessed: 19th June 2017].
- South African Social Security Agency. (2010). *IMC Statement to the Joint Sitting of Committees*. [Online] Available from: <http://www.sassa.gov.za/>. [Accessed: 27th November 2017].
- Taylor, S. (2007). *Business Statistics: for Non-Mathematicians*. New York: Palgrave Macmillan.
- Visser, M. (2015). *Farm Workers' Living and Working Conditions in South Africa: Key Trends, Emergent Issues, and Underlying and Structural Problems*. [Online] Available from: http://www.idll.uct.ac.za/sites/default/files/image_tool/images/3/ILO_Farm%20Workers%20Living%20and%20Working%20Conditions%20in%20SA_14%20July%202015.pdf. [Accessed: 19th June 2017].
- Vusi, G. (2017). *Political Economy of Post-apartheid South Africa*. South Africa: CODESRIA.
- Wainer, H. (2013). *Drawing Inferences from Self-selected Samples*. United States of America: Lawrence Erlbaum Associates.
- Wiid, J. & Diggins, C. (2009). *Marketing Research*. South Africa: Juta and Company Ltd.
- Wilderman, J. (2015). *Farm Worker Uprising in the Western Cape: A Case Study of Protest, Organising, and Collective Action*. [Online] Available from: <http://wiredspace.wits.ac.za/bitstream/handle/10539/16973/Farm%20Worker%20Uprising%20in%20the%20Western%20Cape,%20Wilderman.pdf>. [Accessed: 19th June 2017].

Yin, R. (2013). *Case Study Research: Design and Methods*. United States of America: Routledge.



Annexure A

Interview Schedule: Questions posed to the Management of Department of Agriculture, Forestry and Fisheries (DAFF):

1. Were there any kind of strategies or plans used to raise awareness of the eleven Batho Pele principles within the Department of Agriculture, Forestry and Fisheries? If 'yes', discuss. If no, explain.

 Yes No

2. Are the eleven Batho Pele principles taken into account in the exercise of your daily functions, duties and responsibilities? How would you describe or explain their impact in terms of service delivery and the attitudes and behaviour of individual staff members?

 Yes No

3. Is there consultation in terms of service delivery taking place between the Department and the selected clients of the Western Cape Winelands District?

 Yes No

4. If answered 'yes' to the previous question, what form of consultation is used by the Department of Agriculture, Forestry and Fisheries to interact with its selected clients?

5. Are there any oversight mechanisms in place to ensure that the eleven Batho Pele principles are implemented correctly within this Department? If the answer is ‘yes’, please elaborate.

 Yes No



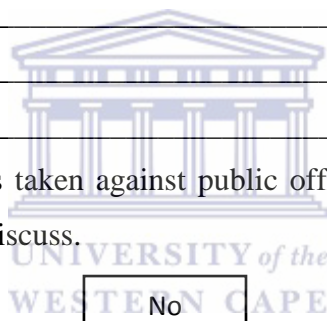
6. What are the challenges that DAFF experiences on a day-to-day basis when implementing the eleven Batho Pele principles?

7. Briefly explain the challenges that DAFF is currently facing in implementing the Batho Pele principles within this Department and selected clients.

8. Highlight at least two positive outcomes since the Batho Pele principles have been implemented within this Department and its selected clients.

9. Who is responsible and accountable for the overall implementation of the eleven Batho Pele principles within the Department of Agriculture, Forestry and Fisheries? What does this responsibility and accountability entail?

10. Are there disciplinary actions taken against public officials if Batho Pele principles are not implemented correctly? Discuss.

 Yes No

Public official's performance is now being appraised.

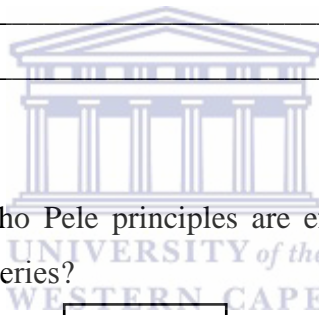
11. Is an assessment of the Batho Pele principles included in their performance appraisals?

12. Are the selected clients of the Department of Agriculture, Forestry and Fisheries informed about new policies or newly amended policies that may affect them?

 Yes No

13. If answered 'yes' to the previous question, how are the clients notified?

14. What kinds of training and development initiatives are applied to introduce new staff to the principles of Batho Pele or to renew the focus of existing officials to the importance of Batho Pele?



15. Do you think the eleven Batho Pele principles are effective within the Department of Agriculture, Forestry and Fisheries?

 Yes No

16. If the previous answer was no, what would you recommend to make the Batho Pele principles more effective? If 'yes', what is most effective about these principles?

Thank you for taking time to share your experiences and knowledge with me.

Annexure B

Interview Schedule: Questions posed to the selected clients of the Department of Agriculture, Forestry and Fisheries (DAFF), Winelands District:

1. Are you familiar with the eleven Batho Pele principles?

 Yes No

2. If answered 'yes' to the previous question, briefly explain your understanding of the Batho Pele principles. (If the answer is No, the researcher will briefly explain the Batho Pele principles).

3. Now that you have an idea of these principles, do you think that the Batho Pele principles have improved service delivery in your community?

 Yes No

4. If answered 'yes' to the previous question, briefly explain how service delivery has been improved within your community.

5. Has the Western Cape Department of Agriculture, Forestry and Fisheries (DAFF) consulted with you at any time regarding the formulation of new policies?


 Yes No

6. If the answer to the previous question is 'yes', please elaborate as to how the consultation took place.

7. Have you attended any community meetings that were held by Department of Agriculture, Forestry and Fisheries?

 Yes No

8. If answered 'yes' to the previous question, please elaborate as to what community meetings you attended.



9. Are you satisfied with the quality of the services rendered to you by the Western Cape Department of Agriculture, Forestry and Fisheries?

 Yes No

10. If the answer to the previous question was No, please elaborate on the quality of service delivery that you currently experience and why you are unhappy.

11. Highlight some of the positive outcomes in your community since the eleven Batho Pele principles have been implemented by the Western Cape Department of Agriculture, Forestry and Fisheries.

12. What could the Western Cape Department of Agriculture, Forestry and Fisheries do to improve their services to you?



Thank you for taking time to share your experiences with me.

Annexure C

Interview Schedule: Questions posed to the employees of the Department of Agriculture, Forestry and Fisheries (DAFF) – in Afrikaans

Onderhoud vrae: Vrae wat aan die personeel van die Departement van Landbou, Bosbou en Visserye gestel is:

1. Is u bewus van die elf Batho Pele beginsels?

 Ja Nee

2. Indien u Ja geantwoord het op die vorige vraag, beskryf kortliks wat u verstaan van die Batho Pele beginsels.



UNIVERSITY of the
WESTERN CAPE

3. Dink u dat die Batho Pele beginsels die dienslewering in u gemeenskap bevorder het?

 Ja Nee

4. Indien u Ja geantwoord het op die vorige vraag, verduidelik kortliks hoe dienslewering in u gemeenskap bevorder is.

5. Het die Wes-Kaapse Departement van Landbou, Bosbou en Visserye van tevore met u gekonsulteer in verband met die formulering van die nuwe beleid?

Ja

Nee

6. Indien u by die bogenoemde vraag Ja geantwoord het, verduidelik hoe die konsultasie plaasgevind het.

7. Het u enige gemeenskapvergaderings of konferensies, wat deur die Departement van Landbou, Bosbou en Visserye aangebied is, bygewoon?

Ja

Nee

8. As die antwoord op die vorige vraag Ja is, noem watter gemeenskapvergaderings of konferensies u bygewoon het.



9. Is u tevrede met die gehalte van dienste gelewer deur die Wes-Kaapse Departement van Landbou, Bosbou en Visserye?

Ja

Nee

10. Indien u Nee geantwoord het op die bogenoemde vraag, verduidelik die kwaliteit van dienslewering wat u ervaar het.

11. Lys van die positiewe uitkomst in u gemeenskap vanaf die elf Batho Pele beginsels geimplimenter is deur die Wes-Kaapse Departement van Landbou, Bosbou en Visserye.

12. Hoe sal u voorstel moet die Wes-Kaapse Departement van Landbou, Bosbou en Visserye te doen gaan om dienste te verbeter vir hulle geselekteerde klante?



The logo of the University of the Western Cape, featuring a classical building with columns and a pediment, with the text 'UNIVERSITY of the WESTERN CAPE' below it.

Dankie vir u tyd en kennis wat u met my gedeel het.