



# **ROAD ENTRY POINT MANAGEMENT SYSTEMS AND REGIONAL INTEGRATION: THE CASE OF ZIMBABWE**

By:

Felistas Ranganai Zimano

214584522

A thesis in fulfilment of the requirements for a degree of  
Doctor of Philosophy in Management and Public Administration.

School of Management, IT and Governance

College of Law and Management Studies

Supervisor: Dr F Ruffin

2016

## DECLARATION

I, FELISTAS RANGANAI ZIMANO, declare that:

- (i) The research reported in this thesis, except where otherwise indicated, is my original research.
- (ii) This thesis has not been submitted for any degree or examination at any other university.
- (iii) This thesis does not contain other persons' data, pictures, graphs or other information, unless specifically acknowledged as being sourced from other persons.
- (iv) This thesis does not contain other persons' writing, unless specifically acknowledged as being sourced from other researchers. Where other written sources have been quoted, then:
  - (a) Their words have been re-written but the general information attributed to them has been referenced,
  - (b) Where their exact words have been used, their writing has been placed inside quotation marks, and referenced.
- (v) This thesis does not contain text, graphics or tables copied and pasted from the internet, unless specifically acknowledged, and the source being detailed in the thesis and in the reference section.

Signature



Date

20 November 2016

## **DEDICATION**

In the hands of God I dedicate this thesis and all the triumph that will accrue to all out of it.

## ACKNOWLEDGEMENTS

Foremost I would like to acknowledge the hand of God that has prevailed over the commencement, execution and completion of this work. It is not within my personal capacity to explain the way I got to be where I am today. Even though I have been a first-hand witness of the whole process leading to this thesis, I remain unable to explain several things that kept falling correctly in place without my direct doing. Suffice to say I have seen the manifestation of God's power in my life through several people and occurrences because of this study.

I would like to acknowledge the role that my supervisor, Dr Fayth Ruffin, played in this work. She took me through the unparalleled experience of a supervisor taking my mind from the ordinary academic level into the spiritual realm, giving a comprehensive view of my work and the universe at large. Through our interactions I learnt more than can be expected in a supervisor-student interaction. It is my humble prayer that God extends to humanity more people of such academic stature who remain humble, dutiful and rooted in sound beliefs for the greater good of all..Through her individual efforts I am also in a position to thank the University of KwaZulu Natal for affording me the chance to continue with my education. I also extend my gratitude to Ms Angella Pearce; the most dutiful administration person I have met in years

Special mention also goes to my parents, Micheal and Franscica. It never made sense when they relentlessly, diligently instilled in my siblings and I the values of hard work and perseverance. As their souls' continue resting in peace, their teachings remain unsullied, sound and relevant to the demands of our present lives. It is our parents' faith, not wealth, that has taken us this far and will take us beyond. I also cherish and appreciate the presence of people who knew and related to our parents in various capacities whom we continue, as a family, to look up to as custodians of our beloved parents' values. It is through such people that we have remained focused with the drive to continue working as their smiles mean a lot to our collective. To my in-laws: you are people I chose to be with and are with happily. No regrets whatsoever. Thank you for your support. To the children around me: Martha, Bridget, Walter, Layton, Davidzo, Rudaviro, Kudavira, Zvikomborero, Rufaro, Rutendo, Taropafadzwa, Tamiranashe, Ratidzo, Tanaka, Chelsea, Cheryl, Tinokundanashe, Matida and others who will join the family: this is for you. Take pride and motivation in it as you achieve in all the honest endeavours you set out to do.

From the academic side there are several people I would like to acknowledge and thank. Foremost is Dr Donald Chimanikire, who is one person you can share a problem with in passing without

expecting any attention, but who would remember and work on it. I extend gratitude also to Colonel Dr MJ Chinyanganya, Mr G Linington, Dr H Chingono and the late Professor JM Makumbe; these are the academics that did most of the groundwork, giving me references and just telling me from time to time that I had the potential. Thank you so much. I would also like to mention Mr and Mrs Chinogwenya, whom I know from my days as a young professional adult. They have unconsciously influenced my approach to life in a way that most who have consciously tried have failed. There is also Mrs P Dumba from my days at secondary school, whom I would like to thank for imparting the practical skills in me that have remained relevant in all areas of my academic and personal life. She is the one who taught me to respect time and to pay attention to detail. Thank you.

In the group of Zimbabweans in the diaspora I would like to sincerely thank Professor N Mboti and Dr S Machingambi. These two played a pivotal role in my securing study permits. It would sound like an overstatement but I have been humbled to the core by their assistance. These are people I only got to know through other 'distant' people. Without even a physical meeting they went on to assist me with documents that even most trusted friends would not share, yet I remain a stranger to them. Our paths may never meet but my prayers are with them. It is because of their generosity that I will try hard not to close a door to a stranger.

In the spiritual circles I would like to thank people from several denominations who, through their faith, gave me encouragement to soldier on. To the Roman Catholic Church at large, and the Carmelite and Franciscan priests' formations in particular, I would like to thank the stewardship they extended to me through our shared faith. Special mention goes to Padre N Fokisa, Padre A Thokozani, Padre J Matare, Padre O Kudumba and Padre L Gutu. '*Mwoyo waYeso tarirai vaPriste venyu nengoni*'. I would also like to thank The Catholic University in Zimbabwe for allowing me to use their library. I became, for the record, the first outsider to officially request and get approval to use their library facilities. It is my wish that they continue with their generosity to more in such need.

I would also like to thank several people who helped me during my data gathering, some of whom, for professional reasons, I cannot mention by name. These are people from the Zimbabwe Ministry of Small to Medium Enterprises and Development, the Ministry of Finance's Zimbabwe Revenue Authority (ZIMRA), the Ministry of Industry and Commerce, and the officers manning the Chirundu, Beitbridge, Nyamapanda and Plumtree border posts in different capacities, from various government departments and private sectors. Together with my four research assistants, Munamati, Ronald, Mercy and Ennesia, they made my fieldwork a 'stroll in the park'. It is my wish that they

continue opening their doors to those in need of such assistance in future. Through their generous participation in my surveys, my research objectives were achieved and questions answered.

There are several students from the University of Zimbabwe, Great Zimbabwe University and the University of KwaZulu Natal who also made this work bearable. Due to space constraints I cannot mention all by name, but I really appreciate, from the bottom of my heart, their contributions to this study. It is because of them that I have always found energy to soldier on as most kept challenging my brain to think faster and harder.

Last, but most importantly, I would like to thank my husband David. This is the man who transformed the person in me from a peripheral being into the person I am today. He has taken me to places that most will only get to at the mercy of company business trips. It was from this exposure that I always noticed some grey areas in the flow of people and goods at ports of entry. This was to become a nagging thought that never left me until I realised I had to make some contributions through a comprehensive study. He has given me a permanent position in the core business of practical life. For this thesis in particular, he gave undivided and sound expertise to the quantitative aspects that most would only get from paid statisticians. He is the third and last person, after my supervisor and I, who knows the whole journey from the beginning to this end. He made this journey bearable to the extent that we could, and still do, discuss this work at an almost par level. This ensured that the challenges that we normally hear associated with studying remain rhetoric to us and our family. *Ndinotenda mudiwa wangu.*

## ACCRONYMS AND ABBREVIATIONS

AfDB	African Development Bank
AIKS	African Indigenous Knowledge Systems
ASEAN	Association of South East Asian Nations
ASYCUDA	Automated Systems for Customs Data
AU	African Union
AUC	African Union Commission
BAFICAA	Business Action for Improving Customs Administration in Africa
BEMS	Border Efficiency Management Systems
BRICS	Brazil, Russia, India, China and South Africa
CBI	Cross Border Initiative
CBM	Coordinated Border management
CCPD	<i>Les Centres de cooperation policiere et douaniere</i>
CEN-SAD	Community of Sahel-Saharan States
CMA	Common Monetary Area
COMESA	Common Market for Eastern and Southern Africa
CRT	Critical Realists' Theory
CU	Customs Union
DRC	Democratic Republic of Congo
EAC	Commission for East African Cooperation
ECA	Economic Commission for Africa
ECCAS	Economic Community of Central African States
ECOWAS	Economic Community of West African States
EU	European Union
Europol	European Police Office
FTA	Free Trade Agreement
GPS	Global Positioning System

HB	High Barriers
HI	High Incidence
ICT	Information and Communications Technology
IGAD	Intergovernmental Authority on Development
IGOs	International Governmental Organisations
IMF	International Monetary Fund
IOC	Indian Ocean Commission
LB	Low Barriers
LI	Low Incidence
MFN	Most Favoured Nation
MOAC	Memorandum of Agreement on Convergence
MSMEs	Micro, Small and Medium Sized Enterprises
NGOs	Non-Governmental Organisations.
NSA	Non State Actors
NTBs	Non-Tariff Barriers
NTMs	Non-Tariff Measures
OAU	Organisation of African Unity
OSBP	One Stop Border Post
OSCE	Organisation for Security and Cooperation in Europe
OSS	One Stop Systems
PSI	Pre-Shipment Inspection
QR	Quantitative Restriction
REC	Regional Economic Community
REP	Road Entry Points
REPMS	Road Entry Point Management Systems
RI	Regional Integration
RISDP	Regional Indicative Strategic Plan
RMS	Risk Management Systems
SACU	Southern African Customs Union



SADC	Southern Africa Development Community
SADCC	Southern Africa Development Coordination Conference
SI	Structured Interviews
SME&D	Small to Medium Enterprises and Development
SMEAZ	Small to Medium Enterprises Association of Zimbabwe
SMEs	Small to Medium Entrepreneurs
SPS	Sanitary and Phyto-sanitary Measures
SRAQ	Structured Researcher Administered Questionnaire
SSA	Sub Saharan Africa
SSI	Semi Structured Interviews
SSPAQ	Semi Structured Participant Administered Questionnaire
TB	Tariff Barriers
TBT	Technical Barriers to Trade
TPRs	Trade Performance Reviews
TSBP	Two Stop Border Posts
TSS	Two Stop System
UMA	Arab Maghreb Union
UN	United Nations
UN STATs	United Nations Statistics
US	United States
USA	United States of America
USD	United States Dollar
WACU	West African Customs Union
WCO	World Customs Organisation
WTO	World Trade Organisation
ZIMRA	Zimbabwe Revenue Authority

## ABSTRACT

Regions face integration impediments, yet despite statistics showing some regions making significant strides toward integration, the Southern African Development Community (SADC) lags behind. The management and administration of road entry points between national borders is critical for regional integration (RI), despite entry points being associated with safeguarding state sovereignty. SADC's intraregional trade is predominantly undertaken by road, thus an empirical inquiry into road entry point management systems (REPMS) is necessary, as little research has been done on them. REPMS and public administration support or hinder trade facilitation; non-tariff barriers (NTBs) tend to hinder RI, particularly administrative disincentives to export which translate into cost of doing business.

Through the lens of Zimbabwe, this study aims to determine the relationship between REPMS and NTBs by comparatively examining the Zambia-Zimbabwe Chirundu one-stop-border-post (OSBP) and three two-stop-border posts (TSBPs) between Zimbabwe and Botswana, Mozambique and South Africa. Critical realism philosophy is used to interrogate the extent to which neo-functionalist and modernisation theories explain the relationship between RI, NTBs, REPMS and state sovereignty. The participants in this mixed method research study included a total of 12 interviewees who were drawn from various Zimbabwean ministries, namely Industry and Commerce; Finance/Revenue Authority; Small and Medium Enterprises and Development. Truck drivers and small and medium-sized entrepreneurs made up the 378 survey respondents, and secondary data were also used. The combined sampling strategies included subgroup census, convenience and purposive. The qualitative data were analysed through a thematic and matrix analysis, whilst the quantitative data were analysed with Stata 11.0.

The findings suggest that NTBs at TSBPs lead to delays, corruption, and increased costs, yet inefficient management systems at OSBPs cause the latter to be as administratively ineffective as the former. Statistically significant relationships were found to be between REPMS, NTBs and trade encouragement; and single clearance processes conducted by the country of exit or entry. Neither the neo-functionalist nor the modernisation theories adequately explained the relationships between variables. The data showed that state sovereignty impedes RI; that colonial legacies bedevil the region; and that harmonisation of administrative procedures, whether OSBPs or TSBPs, could help facilitate trade and RI. Recommendations and conclusions are thus proffered, and a new theoretical model beyond the neo-functionalist or modernisation approaches to RI is presented.

## TABLE OF CONTENTS

DECLARATION.....	i
DEDICATION .....	ii
ACKNOWLEDGEMENTS .....	iii
ACCRONYMS AND ABBREVIATIONS.....	vi
ABSTRACT .....	ix
TABLE OF CONTENTS .....	x
LIST OF FIGURES .....	xvi
LIST OF MATRICES.....	xvii
LIST OF TABLES.....	xviii
Chapter 1 - STUDY OVERVIEW .....	1
1.1    Introduction.....	1
1.2    Background to the study .....	1
1.2.1    Regional integration phenomenon .....	1
1.2.2    Forerunner REPMS studies .....	3
1.2.2.1    “Deepening integration in SADC” studies .....	3
1.2.2.2    Calls to address non-tariff barriers.....	4
1.2.2.3    The international nature of REPMS and NTBs problem.....	5
1.3    Statement of the problem .....	7
1.3.1 General REPMS and RI problems.....	8
1.3.2 Specific REPMS and RI problems .....	9
1.4    Character of the study.....	11
1.4.1    Significance of the study .....	11
1.4.2    Research questions.....	14
1.4.3    Research objectives.....	14
1.4.4    Justification .....	15
1.4.5    Research design .....	16
1.4.6    Philosophical worldview .....	17
1.5    Definition of terms .....	18
1.6    Chapter overview .....	19
1.7    Chapter conclusion.....	21
Chapter 2 - CRITICAL REALIST THEORISTS’ PHILOSOPHY .....	22

2.1	Introduction.....	22
2.2	Preamble to the Critical Realists' theory .....	22
2.3	Instituting the study's ontology, epistemology and paradigms .....	24
2.3.1	Nature as given by the Critical Realists' theorists .....	24
2.3.1.1	Nature in REPMS and RI study .....	27
2.3.2	The Critical Realists' conception of knowledge.....	27
2.3.2.1	CRT knowledge conception's implication to REPMS and RI study .....	28
2.3.3	The Critical Realist paradigm and emerging study methodology.....	28
2.3.4	Critical Realists' theory summary .....	30
2.4	Chapter conclusion.....	31
	Chapter 3 –Southern Africa REGIONAL INTEGRATION .....	32
3.1	Introduction.....	32
3.2	Globalisation, regionalisation and development .....	32
3.3	A history of the African political economy.....	34
3.4	Regionalism in contemporary Southern Africa and REPMS.....	35
3.5	Levels of integration in SADC.....	36
3.6	Factors affecting regional integration.....	38
3.6.1	Political factors affecting regional integration.....	38
3.6.1.1	Pessimistic states' attitudes .....	38
3.6.1.2	Intra-state peace deficiency .....	39
3.6.1.3	Traditional perceptions of security.....	40
3.6.1.4	The terrorism threat to peace and REPMS .....	41
3.6.2	Economic factors .....	42
3.6.2.1	Divergent patterns of industrialisation .....	42
3.6.2.2	Inadequacy in complementarities.....	43
3.6.2.3	Trade restricting regulatory policies and democratic liberties challenges.....	44
3.6.3	Legal factors affecting regional integration.....	44
3.6.3.1	A plethora of regional arrangements.....	44
3.6.4	Historical factors.....	47
3.6.4.1	Colonisation and its legacies .....	47
3.6.5	Social factors affecting regional integration.....	51
3.6.5.1	Change management and REPMS .....	51
3.6.5.2	Cooperation in international system and REPMS.....	53

3.7	Peace, security and state sovereignty as factors in REPMS.....	56
3.8	Chapter conclusion.....	59
Chapter 4 - LESSONS IN LITERATURE.....		60
4.1	Introduction.....	60
4.2	Regional integration requisites.....	60
4.2.1	Pre-colonial African wisdom in region-wide economic matters .....	61
4.2.1.1	Pre-colonial advanced monetary system .....	62
4.2.1.2	The livestock and bracelets ‘currencies’ .....	63
4.2.1.3	Ways to differentiate traders.....	63
4.2.2	SADC region-wide study findings.....	65
4.2.3	Shared management leeway: lessons from the Schengen border system.....	71
4.2.4	Tried and envisioned NTBs alleviation measures.....	74
4.2.4.1	Tamperproof containers and GPS tracking .....	74
4.2.4.2	Transit corridors.....	75
4.2.4.3	Multiple initiatives legislation .....	75
4.2.4.4	Pre-shipment inspection .....	76
4.2.4.5	Juxtaposed offices.....	77
4.2.4.6	Customs regulations and infrastructure reforms .....	77
4.2.4.7	Collaborative border management.....	78
4.3	New regionalism dimension.....	80
4.4	SADC’s place in the current REPMS studies .....	81
4.5	Chapter conclusion.....	86
Chapter 5 - APPROACHES TO STAGING REGIONAL INTEGRATION .....		87
5.1	Introduction.....	87
5.2	Theories of integration in common usage.....	87
5.3	The ‘piecemeal’ integration approach .....	89
5.3.1	Requisite elements for setting up an organisation .....	90
5.3.2	Rooting the Functionalist and Neo-Functionalist theories .....	91
5.3.3	Problem making in the international system .....	93
5.3.4	Problem-solving stages in the international system .....	93
5.3.5	General implications of people’s attitudes to the strategy.....	96
5.3.6	The “spill-over” concept .....	96
5.3.7	Theorists’ views on state sovereignty .....	98

5.3.8	Notes from the European Union integration.....	99
5.3.9	A spill-over analogy from African indigenous knowledge systems .....	100
5.3.10	The “piecemeal” strategy’s shortfalls: a critique of the theory.....	101
5.3.11	Rationalising the “piecemeal” approach .....	104
5.4	The “holistic” approach to regional integration and REPMS .....	105
5.4.1	Origins of the modernisation theory .....	105
5.4.2	The Modernisation theory’s underlying assumptions .....	106
5.4.3	Understanding society as a “package” .....	106
5.4.4	Modernisation theory and change.....	107
5.4.5	Arguments for and against the modernisation theory .....	108
5.4.6	Modernists’ roadmap to development.....	109
5.4.8	Conclusion to the modernisation theory.....	112
5.5	Study variables operationalisation.....	112
5.6	Chapter conclusion .....	113
Chapter 6 RESEARCH METHODOLOGY.....		114
6.1	Introduction.....	114
6.2	The study’s pragmatic philosophical underpinnings .....	114
6.3	The research design .....	116
6.4	Embedded single case study research strategy.....	118
6.5	The case study quality measures .....	120
6.5.1	Construct validity.....	121
6.5.2	Reliability .....	121
6.6	Data quality control .....	121
6.6.1	Qualitative data quality control .....	121
6.6.2	Quantitative data quality control.....	122
6.7	Case, site and respondents selection.....	123
6.7.1	Study case: Zimbabwe .....	124
6.7.2	Study site: Road entry points.....	124
6.7.3	Target population.....	124
6.7.4	Sample size.....	125
6.7.4.1	Respondents’ samples .....	129
6.8	Instrumentation.....	130
6.8.1	Semi-structured interview guides .....	131

6.8.2	Semi-structured participant administered questionnaire .....	131
6.8.3	Structured researcher-administered survey questionnaire .....	132
6.8.4	Survey questionnaires' rating scales .....	133
6.8.5	Research tools' quality control .....	135
6.8.5.1	Expert evaluation.....	135
6.8.5.2	Instruments pre-testing.....	135
6.9	Data collection.....	135
6.9.1	Primary data collection .....	136
6.9.1.1	Semi-structured interviews.....	136
6.9.1.1 a	Interview transcriptions.....	137
6.9.1.2	Survey questionnaires .....	138
6.9.2	Secondary data collection.....	139
6.10	Measurements .....	140
6.11	Data analysis .....	141
6.11.1	Qualitative data analysis.....	141
6.11.2	Quantitative data analysis.....	143
6.11.3	Data triangulation .....	144
6.12	Ethical considerations.....	145
6.13	Study assumptions regarding respondents and data .....	145
6.14	Limitations .....	146
6.15	Delimitations.....	148
6.16	Chapter conclusion.....	150
Chapter 7	- DATA PRESENTATION, ANALYSIS and findings .....	151
7.1	Introduction.....	151
7.2	Research objectives .....	151
7.3	Research questions .....	152
7.4	Primary data presentation and analysis.....	152
7.4.1	Qualitative primary data.....	152
7.4.1.1	Ministries' briefs.....	153
7.4.1.1. a	Ministry of Finance and Economic Development(ZIMRA).....	153
7.4.1.1. b	Ministry of Industry and Commerce .....	153
7.4.1.1. c	Ministry of Small to Medium Enterprises and Development .....	154
7.4.1.2	Respondents' biographical data .....	154

7.4.1.3	Research purpose codes.....	154
7.4.1.4	Summary of interviewees' responses.....	155
7.4.1.5	Link between the research objectives and interview questions .....	157
7.4.1.6	Qualitative data responses' matrices and summaries .....	157
7.4.1.7	Emerging themes' summary .....	167
7.4.2	Quantitative primary data.....	168
7.4.2.1	SRAQ and SSPAQ respondents' brief.....	168
7.4.2.1.a	Truck drivers and assistant drivers.....	168
7.4.2.1.b	Small to medium entrepreneurs .....	168
7.4.2.2	Respondents' biographical data .....	168
7.4.2.3	Link between research objectives and surveys' statements.....	170
7.4.2.4	Results presentation and analysis.....	170
7.4.2.4.a	Drivers and assistants' perceptions .....	171
7.4.2.4.b	SMEs' perceptions .....	183
7.4.2.5	Investigating REPMS and NTBs relationships.....	191
7.4.3	Secondary data presentation and analysis .....	194
7.4.3.1	Data sources brief .....	195
	Source: Literature.....	195
7.4.3.2	Secondary data presentation and analysis .....	195
7.5	Triangulation of data .....	196
7.5.1	Triangulated data explanations.....	198
7.5.1.1	Relationshipbetween REPMS and NTBs .....	198
7.5.1.2	NTBs effect on different types of entry points .....	199
7.5.1.3	The neo-functionalists'role in the study variables .....	200
7.5.1.4	Modernisation theory's role in the study variables.....	200
7.5.1.5	The relationship between state sovereignty and RI.....	201
7.6	Chapter conclusion.....	202
7.7	Chapter appendices.....	202
	Chapter 8 - SUMMARY, CONCLUSIONS, AND RECOMMENDATIONS.....	216
8.1	Introduction.....	216
8.2	Research objectives and questions recapitulation .....	216
8.3	Summary of chapters .....	217
8.4	Study Conclusions .....	220



8.5	Policy implications .....	223
8.5.1	Strategic human power development programmes .....	224
8.5.2	Utilisation of alternative transport to relieve roads .....	225
8.5.3	Regional groupings membership delimitation .....	225
8.5.4	Practical implementation of inter-ministerial partnerships .....	226
8.5.5	Infrastructure development sequence .....	226
8.5.6	Colonial legacies .....	227
8.5.7	The AIKS wealth and relevance to contemporary systems .....	227
8.5.8	The preferred regional integration and development approach .....	228
8.6	Recommendations .....	228
8.6.1	Road entry points specific recommendations .....	229
8.6.2	Ministerial operations and REPMS recommendations .....	229
8.6.3	Countries; operations and REPMS recommendations .....	230
8.6.4	Recommendations for regional integration .....	230
8.7	New knowledge: The Regimented-Structured integration model .....	231
8.8	Significance to the body of knowledge on RI, REPMS and NTBs .....	232
8.9	Recommendations for further studies .....	235
8.10	Chapter Conclusion .....	235

## LIST OF APPENDICES

Appendix 1:	References .....	236
Appendix 2:	Data collection instruments .....	255
Appendix 2-1:	Semi-structured participant administered questionnaire .....	255
Appendix 2-2:	Structured researcher administered questionnaire .....	259
Appendix 2-3:	Semi-structured interview guide .....	262
Appendix 3:	Ethical clearance letter .....	264
Appendix 4:	Turnitin originality report .....	265

## LIST OF FIGURES

Figure 2-1	CRT fundamentals and divides .....	24
Figure 2-2	CRT ontological assumptions .....	26
Figure 2-3	CRT methodology .....	29
Figure 3-1	State, regionalism and globalisation .....	33
Figure 4-1	Requisites for successful integration .....	61
Figure 5-1	Stages of the “piecemeal” developmental approach .....	95
Figure 5-2	Functional “spill-over” concept .....	98

Figure 5-3	Rostow's roadmap to development.....	110
Figure 6-1	Pragmatic worldview development.....	116
Figure 6-2	REP population to sample display .....	128
Figure 6-3	Quantitative data thematic analysis steps.....	142
Figure 6-4	REPMS study data triangulation.....	144
Figure 7-1	SRAQ - System permit smooth traffic flow. ....	171
Figure 7-2	SRAQ - Harmonisation improve processes flow.....	172
Figure 7-3	SRAQ – Preferred clearance: individualised clearance.....	173
Figure 7-4	SRAQ - Harmonisation jeopardise states' security.....	174
Figure 7-5	SRAQ – Individualised clearance logical.....	174
Figure 7-6	SRAQ – Single processes adoption and clearance ideal .....	175
Figure 7-7	SRAQ –Partiality to sending country clearance .....	175
Figure 7-8	SRAQ – Partiality to receiving country clearance .....	176
Figure 7-9	SRAQ – Procedures' repetition enhances security .....	177
Figure 7-10	SRAQ - Border clearance duration .....	178
Figure 7-11	SRAQ - systems' multiple documentation tradition .....	179
Figure 7-12	SRAQ – Officers' bribes: a clearance requisite? .....	179
Figure 7-13	SRAQ – Endemic artificial delays.....	180
Figure 7-14	SRAQ –Evident manual system usage.....	181
Figure 7-15	SRAQ – Apparent exit and entry procedures repetition.....	182
Figure 7-16	SRAQ – Inconsistent goods clearance requirements .....	182
Figure 7-17	SRAQ – Separate exit prior to entrance clearance system .....	183
Figure 7-18	SSPAQ – Apparent multiple clearance system usage .....	184
Figure 7-19	SSPAQ – Harmonisation will improve process flows .....	184
Figure 7-20	SSPAQ – Individualised clearance is logical .....	185
Figure 7-21	SSPAQ - Harmonisation jeopardises states' security.....	185
Figure 7-22	SSPAQ – Is individualised clearance logical?.....	186
Figure 7-23	SSPAQ – Clearance in a single process is ideal .....	187
Figure 7-24	SSPAQ – Sending country clearance .....	187
Figure 7-25	SSPAQ – Partiality to receiving country clearance .....	188
Figure 7-26	SSPAQ – Procedure repetition enhances security .....	188
Figure 7-27	SSPAQ –Country to country goods classification differences .....	189
Figure 7-28	SSPAQ –Systems' multiple documentation traditions.....	189
Figure 7-29	SSPAQ – Repetition of exit and entry procedures.....	190
Figure 7-30	SSPAQ – Inconsistent goods clearance requirements.....	190
Figure 7-31	SSPAQ – REPMS in use plays role in encouraging trade.....	191
Figure 7-32	SSPAQ – Evident importation limit regulations.....	191

## LIST OF MATRICES

Matrix 7-1	REPMS and prevailing NTBs relationship.....	159
Matrix 7-2	Effects of NTBs on different REPMS.....	162
Matrix 7-3	Initiatives by ministries to facilitate trade .....	164

Matrix 7-4	Gradual approach, NTBs, state sovereignty and regional integration.....	164
Matrix 7-5	Once-off approach, NTBs, state sovereignty and regional integration .....	166

## LIST OF TABLES

Table 1-1	Characteristics and basis of integration.....	2
Table 1-2	Areas to be addressed to create a better supply chain for goods.....	10
Table 1-3	Key terms and definitions.....	18
Table 2-1	CRT epistemological positions' implications.....	28
Table 2-2	Critical Realists' theory basic assumptions .....	30
Table 3-1	Levels of RI across RECs in Africa .....	36
Table 3-2	SADC integration level scores by member .....	37
Table 3-3	Select African regional groupings overlap .....	45
Table 4-1	Collaborative border management benefits .....	78
Table 4-2	Transformation considerations for collaborative border management .....	79
Table 5-1	Federalists and neo-functionalists shared assumptions .....	88
Table 5-2	Elements of the supranational unit formation strategy.....	90
Table 5-3	Changes in different facets of a system.....	108
Table 5-4	Positive and negative effects of modernisation .....	109
Table 6-1	SSPAQ returns diary.....	117
Table 6-2	SRAQ administration and returns diary .....	118
Table 6-3	Semi-structured interview schedule .....	118
Table 6-4	REPMS strata .....	127
Table 6-5	REPMS study sites samples .....	127
Table 6-6	REPMS study ministries sample.....	128
Table 6-7	Steps in questionnaire making .....	132
Table 6-8	Instruments' pre-testing diary.....	135
Table 6-9	Information collected through semi-structured interviews.....	137
Table 6-10	Interview transcription principles and strategies .....	138
Table 6-11	Information collected through surveys.....	139
Table 6-12	REPMS study measurements.....	140
Table 6-13	REPMS study ethical considerations .....	145
Table 7-1	Respondents' biographical data.....	154
Table 7-2	Research purpose codes for ministries' officials .....	155
Table 7-3	Link between research objectives and interview questions .....	157
Table 7-4	SRAQ and SSPAQ respondents' biographical data.....	169
Table 7-5	Link between research objectives and survey statements .....	170
Table 7-6	Perceptions of REPMS and NTB relationships by drivers.....	193
Table 7-7	Perceptions of REPMS and NTB relationships by SMEs .....	194
Table 7-8	Secondary data source details.....	195
Table 7-9	Rating of barriers to trade in Mozambique.....	195
Table 7-10	Top 10 regional integration barriers.....	196
Table 7-11	Qualitative, quantitative and secondary data triangulation .....	197

Table 7-12	SRAQ respondents' perceptions on Zimbabwe's REPMS.....	203
Table 7-13	SSPAQ responses to questions on the aspects of REPMS .....	206
Table 7-14	SRAQ on REPMS and NTBs relationship .....	207
Table 7-15	SRAQ regarding a smooth REPMS and NTBs relationship .....	207
Table 7-16	SRAQ on harmonising processes and NTBs association .....	208
Table 7-17	SRAQ on own country clearance and NTBs association .....	208
Table 7-18	SRAQ on countries' security and NTBs association .....	209
Table 7-19	SRAQ opinions favouring individualised country's clearance and NTBs .....	209
Table 7-20	SRAQ on one clearance for both countries and NTBs association.....	210
Table 7-21	SRAQ on single sending country clearance and NTBs association.....	210
Table 7-22	SRAQ on a single receiving country clearance and NTBs association.....	211
Table 7-23	SRAQ on repetition of procedures, security and NTBs association .....	211
Table 7-24	SSPAQ on systems at REP, trade and NTBs association.....	212
Table 7-25	SSPAQ on multiple clearance systems and NTBs relationship.....	212
Table 7-26	SSPAQ on process harmonisation and NTBs relationship.....	212
Table 7-27	SSPAQ on individual country clearance limits and NTBs relationship.....	213
Table 7-28	SSPAQ on limited goods, NTBs and single clearance relationship.....	213
Table 7-29	SSPAQ on single country clearance, limits and NTBs relationship .....	214
Table 7-30	SSPAQ on single clearance system and NTBs relationship.....	214
Table 7-31	SSPAQ on single exit country clearance and NTBs relationship .....	215
Table 7-32	SSPAQ on receiving country clearance and NTBs relationship.....	215
Table 7-33	SSPAQ on repetition of procedures, security and NTBs relationship .....	215
Table 8-1	Research objectives and questions.....	216
Table 8-2	Road entry points specific recommendations .....	229
Table 8-3	Ministerial operations and REPMS recommendations .....	229
Table 8-4	Countries' operations and REPMS recommendations .....	230
Table 8-5	Recommendations for regional integration .....	231

## **CHAPTER 1 STUDY OVERVIEW**

### **1.1 Introduction**

This chapter provides a general introductory summary to this Southern Africa Development Community (SADC), Road Entry Point Management System (REPMS) and Regional Integration (RI) study. The first chapter to be presented is the root of the REPMS and RI problem, which encapsulates the background to the study. This brings out the history of the issue at hand, exposing the rationale for conducting this study. Also presented in this overview is the character of the study. This is a short literature review to put the study introduction into the context of the existing literature on REPMS. The research objectives and questions are presented successively herein, highlighting the task at hand. An introduction of the methodology used for this study is also made through the brief research design and worldview sections. A comprehensive summary of all the forthcoming chapters is also given, while the latter part of the chapter lists several documents that are part of this thesis. These documents are attached as appendices at the end of the thesis.

### **1.2 Background to the study**

#### **1.2.1 Regional integration phenomenon**

RI is a topical issue. “Integration in the usual sense first of all means the elimination of interstate trade barriers. More far reaching steps of integration would include the free circulation of production factors (labour and capital) within a customs union (common markets) and later on the harmonisation of fiscal, monetary and other instruments of economic policy” (Kiel, 1997, p 257). When looking at the RI concept onto which this REPMS study builds, clear hierarchically ordered levels are discernible. These start at the lowest level with the FTA, which can be achieved through harmonising customs rules and procedures and the elimination of NTBs (Kalaba Willcox, Fundira, Williams and Alves, 2006, p. 41). The fifth and highest level of RI is political union.

RI is also defined as “the process of establishing a degree of supranational authority beyond the nation-state within a particular geographical region- that is, where governments of nation states decide to hand over some decision making capacity to a new, higher level of governance”(Diez, Bode and Da Costa, 2011, p. 187). The understanding of governance helps everyone to appreciate the operations of power in all the institutional aspects and legal spaces (Kennett, 2010, p. 19).

RI does not exist by itself. According to Panic (2011, p. 144) integration at any level, be it regional or global, is based on “openness, integration and interdependence”. These three are explained in Table 1-1 below.

Table 1-1 Characteristics and basis of integration

Characteristic	Meaning
Openness	- Absence of restrictions between countries.
Integration	- The extent of countries’ participation in the shared international build-in with each country bringing on board what it is best for the good of all.
Interdependence	- Bilateral or multilateral linkages such that the local systems get influenced by external systems.

Source: Adapted from Panic (2011, p. 144).

People in different spheres are searching for the most viable way to attain and sustain this phenomenon. RI has gained prominence the world over, leading to the proliferation of various economic cooperation arrangements (Essien, 2013, p. 1). As such, all continents but Antarctica are into this RI drive, working tirelessly to strengthen cooperation and to find ways to enhance the existing integration’s effectiveness in order to attain the set objectives (Essien, 2013, p. 1). All these efforts and desires are not unfounded as there are reasons for revering RI. Among other things, economic integration is taken as an all-encompassing and cheap apparatus for the attainment of fast economic development (Essien, 2013, p. 1), thus regions across the world are working daily to establish integration or to find ways of sustaining the integration established so far.

Integration can be taken to mean the creation of an organisation that overrides countries’ boundaries, effectively changing the countries’ identities and enhancing cooperation between the people and governments of the involved states (Diez, Bode and Da Costa, 2011, p. 188). In this way, the authors are implying that integration should not be viewed in any limited sense as it can happen in all facets of life. Integration involves many different aspects, one of which could be social integration which in itself is a result of integration as well as a condition that sets the ground for political integration (Diez, Bode and Da Costa, 2011, p. 188). Thus, when looking at integration, it is justified to look at even the smallest facets of a system. This can form the bedrock for integration in other bigger or more complicated facets (Barka, 2012, p. 1).

In Africa, RI dates back over 100 years (Peteris, 2013, p. 6), however to date the continent is behind when it comes to RI progress. Data in the literature reveal that intra-regional trade in Europe is around 60%, North America is at 40%, and the Association of South-East Asian Nations (ASEAN) sits at 30%, but Africa lags behind at between 10% and 20% (Peteris, 2013, p. 6). This means that

issues of RI must be given serious attention by all stakeholders across the African continent, which entails efforts at the regional as well as at the continental level.

The region known today as SADC initially operated as the Southern African Development Coordination Conference (SADCC). SADCC was formed in 1980 in the capital city of Zambia - Lusaka (Soderbaum, 2004). This region was later transformed and renamed SADC. The objective to integrate SADC has been part of the region's objectives even during its days as SADCC but the region's politics forestalled it as states vigilantly guarded their borders and viewing them as hallmarks of their sovereignty (Buzan, Waevar and deWilde, 1998). Indeed, since time immemorial, borders have been a critical part of state discussions, as they closely point to state sovereignty (Polner, 2011, p. 49). Unfortunately, most measures that states utilise in guarding their borders materialise as non-tariff barriers (NTBs) to trade, which have as serious an effect on RI as tariff barriers (TBs). NTBs have been taken in some circles as a legal way of enforcing some regulations (Kalaba et al., 2006, p. 129). This conventional security perception informs states' entry-points' management systems preferences.

### 1.2.2 Forerunner REPMS studies

#### 1.2.2.1 "Deepening integration in SADC" studies

Several studies have been carried out on the movement of people and goods in SADC, which were examined for this REPMS and RI study. In most of these, NTBs emerged as wanting areas; country studies carried out by different researchers in respective countries describe NTBs as key integration impediments. They give insights into SADC NTBs prevalence, including their nature, impact and how REPMS contribute towards their manifestation and recommendations for stopping them. A South African study in the series established that serious attention has been paid to tariff barriers (Kalaba et al., 2006, p. 129). The authors also alleged that concerted efforts to address NTBs in international relations platforms were made in the form of WTO Technical Barriers to Trade Agreement (TBT), a Uruguay Round outcome.

SADC integration attainment requisites reside in the Regional Indicative Strategic Plan (RISDP), where catalytic intervention areas include border management policies. Integration is a force for sustainable development (Zwizwai, 2007, p. 12), however NTBs' continued prevalence makes studies on the REPMS in the region desirable. Research has established that NTBs lack transparency (Schade and Matomola, 2006); this is consistent with the argument that NTBs have ambiguous effects on trade and welfare. As such, NTBs complicate business peoples' plans (Xiong, 2012).

A technique identified in a South African study by Kalaba et al. (2006) has been adopted and used herein. After taking a consolidated approach and seeing its pitfalls, there have been recommendations on categorising NTBs (Kalaba et al., 2006, p. 130). This is very much in line with the neo-functional theory which informs the gradual approach. The gradual approach is one of the two integration and development approaches under investigation herein. The category of interest here is border-related NTBs as they directly relate to the REPMS under study. In a Zimbabwean study, border-related NTBs came third in ranking of NTBs (Zwizwai, 2007, p. 12). These findings are consistent with the findings of a Botswana study, in which time consuming customs procedures scored 50% and 72% from business, positioning them among the higher ranking barriers to trade (Tabengwa and Salkin, 2006).

A Malawian study established that SADC's movement towards a customs union (CU) entails strategies favouring harmonisation among members (Chipeta, 2006). A CU is the second level from the bottom in RI. Chipeta (2006, p. 37) recommended that more research be undertaken in intra-SADC trade regulations determinants. To fill this gap, the present study will look at existing REPMS and their role in NTB alleviation. In Mozambique, the researchers recommended a thorough investigation of each border post within SADC (Sambo and Ubisse, 2006, p. 98). This study approach effectively generates a strategy with far reaching impact for the region. However, this study did not look at each border post within SADC, as that would be an insurmountable task, which in any case would not offer enough depth of understanding as the area of study would have been too broad. In essence, the academic approach of studying a representative sample was adopted. The unit of analysis in this study was at the country level, after which the results could be generalised to the region by aggregating the data from Zimbabwe, the chosen country. This study accordingly focused on official road entry points on Zimbabwe's territorial borders. Zimbabwe has both types of REPMS occurring with the rest of SADC member countries: TSBP and OSBP

#### 1.2.2.2 Calls to address non-tariff barriers

Mukucha (2013) reinforced calls to address NTBs at the national and regional levels in a study positioning a strong legal framework as crucial for NTBs removal. This is a position that will be revisited in this study to establish whether any of these recommendations have been translated into policies. However, Mukucha's (2013) study relied on secondary data, leaving it void of primary data. The researcher indicated that "secondary research is heavily relied on which involves the assessment of information from published and non-published sources" as the research methodology (Mukucha, 2013, p. 18). This means the data had been produced for a different purpose and was reworked to



suit that study. However, the absence of primary data gathered and analysed by the researcher divorces the research from what is really happening on the ground at that time. This study makes use of both primary and secondary data to cover this shortfall.

The essence of RI has also been linked to giving states protection in times of outside pressure. According to McGowan in Shaw (2004, p. 55) the regional blocs act as cover for the states, enabling them to maintain their protectionist tendencies. However, this can work against globalisation (McGowan in Shaw, 2004, p. 55). This means that there is need to look at the factors that push states into favouring RI and establishing their rationale. This will help in bringing out the real reason states are taking some actions. If these are found to be good for the states and regions at the expense of globalisation, then there will be need to establish alternative means that states can adopt that are not inimical to higher level integration at the global level.

Research from the European Union's (EU) integration shows immigration problems as persisting to date (Lahav, 2004). This occurrence of differences at such towering emblems of integration shows the force of state sovereignty. This was tackled alongside integration and REPMS choice in this study. Studying the state sovereignty factor in REPMS can give insight into what informs a state's preferred choice, and also helps to establish the pace at which integrated REPMS will be adopted in the SADC region. Integration is not something that will happen instantly - it takes years - but the decisions to set it into motion must be made in time to set the process in motion (Peteris, 2013, p. 6).

Borders are signified by the continuous lines that mark the perimeter and limit of a state's authority, forming the foundation on which the issue of state sovereignty is based (Zaiotti, 2011, p. 1). The Schengen study on the European integration shows challenges that arose once countries adopted a 'now-common perimeter'. It must be noted that these questions were not problematic when individual countries exclusively managed borders (Zaiotti, 2011, p. 2). A hybrid system of governance mixing supranational and intergovernmental features emerged as a solution in Schengen area in Europe (Zaiotti, 2011, p. 2). A comprehensive exploration into the Schengen system is to be done herein to reveal what sustained this arrangement, which ordinarily signifies state security, integrity and sovereignty loss.

#### 1.2.2.3 The international nature of REPMS and NTBs problem

The NTBs problem is not exclusive to SADC; a further EU study established that it is the realist perspective that favours trade policies serving national security goals (Nau, 2012, p. 314). This surfaced after establishing that when tariffs were reduced during the creation of EU internal

regulations became principal trade barriers (Nau, 2012, p. 50). However, a problem that seems entrenched in developing countries is the “go-it-alone” strategy, which stifles efforts towards regionalisation (Jones, 1991, p. 214). This study seeks to corroborate the existence of this strategy in SADC, as well as to establish how, perhaps, it is linked to attitudes over existing REPMS. This will be explored among Zimbabwean ministries.

The border transport flow problem also led to Panagiotis and Piia’s (2012) Russian study, when they sought to establish the reasons for the inefficient border crossing process in Vaalimaa, Finland, using qualitative research methods. The problem, they established, emerged because the flow of goods grew faster than the bottleneck; bottleneck was defined as something that impedes the optimum performance of a given system (Panagiotis and Piia, 2012, p. 4). The Vaalimaa border was purportedly characterised by kilometres of truck queues due to the poor road network and primitive official processes on the Russian border side against growing traffic volumes. The researchers purposively chose the Vaalimaa border since it was the most overloaded crossing point to Russia. The researchers dismissed a truck parking lot proposal by the Finish government, saying it was merely a temporary solution. The duo also believed complex border control systems at the Russian side caused the Vaalimaa queues, i.e. a NTB. They recommended enhanced cross-border co-operation between Finland and Russia.

The current study followed a similar format; however it was extended to more than one entry point. The Chirundu OSBP, which lies on the border between Zambia and Zimbabwe, came into place in December 2009, and has recorded reasonable progress so far (Kassee, 2014, p. 105). This better helps with the understanding of the systems in place in the SADC region as both the OSBP and TSBP systems will be covered. This study departs from a narrow reliance on qualitative data as qualitative data has several shortfalls. Qualitative methods complement quantitative methods (Fraser et al., 2009, p. 3). This methodology is so because the philosophy underlying this study is one from the Critical Realist Theorists (CRT) school of thought, which will be explained in detail in the forthcoming chapter. As such, a mixed methods design was desirable for this study, which is a type of research that uses methods from the quantitative side as well as the qualitative side (Fraser et al., 2009, p. 185). The researcher also ensured that the qualitative methods employed were as empirical as possible by ensuring conformity to dependability, credibility, transferability and authenticity measures. This will be discussed in the methodology section.

Mubaiwa (2014) carried out an OSBP study very similar to this one, concentrating exclusively on Chirundu. The study was not taken to any TSBP to find a basis for comparing effectiveness,

however. The minute knowledge about happenings on other borders discussed in the study was solicited from Chirundu-based officials who indicated that they had knowledge of other borders. Such knowledge being reported might have been overtaken by events. The present study extends to three TSBPs and an OSBP on Zimbabwe's territorial borders, gathering first-hand information for an effective comparison. The researcher limited the official respondents to immigration officials (Mubaiwa, 2014), but extended the study to ministries related to trade, regulations, and the movements of goods and people. These included the Ministries of Finance and Economic Development's Zimbabwe Revenue Authority (ZIMRA), Industry and Commerce, and Small to Medium Enterprises and Development (SME&D). This is also in line with the neo-functional theory's gradual approach chosen herein, to see whether specific functions have 'spill-over' effects to other areas.

Mubaiwa (2014) identified, as did Panagiotis and Piia (2012) that bottlenecks compromise the global competitiveness of most African economies. The sample in this study was purposively 'tailor made', which made the research prone to non-probability pitfalls. The current study thus varied sampling techniques at different levels, incorporating non-probability and probability methods to reduce bias.

Another study looked at the challenges that are faced when countries endeavour to improve cross border trade with an emphasis on the importance of developing infrastructure holistically. This paper stressed the need to address everything that goes into the movement of people and goods across borders (Barka, 2012). An understanding of both "hard" and "soft" infrastructure seems an easy task at face value, however from preliminary readings, this researcher established that a lot of people do not understand these things, which is why most people do not readily appreciate that they have a role to play in the REPMS and RI debate.

Doyle (2011a, p. 11-22) also worked on contemporary border management, exploring its central themes and articulating a new strategic vision for border processing and clearance. This research paid attention to the ideas emerging from Doyle's article to create a comprehensive REPMS thesis. Border management means the procedures applied to persons and objects crossing the border to ensure that they comply with laws. It also refers to the way the agencies operating at the border do so and how they fit into the bigger border management picture (Zarnowiecki, 2011, p. 37).

### 1.3 Statement of the problem

There is a gap in the literature on which REPMS SADC should adopt, which is the best integration and development approach to follow, and the performance of the OSBP established at Chirundu to

date. The literature that exists comes from studies carried out in other regions before the existence of the OSBP in SADC. Now that both systems are in use in SADC, there is need to fill the gaps in the literature with answers emerging out of the practical use of both systems in the region. There is also a need to study and understand this phenomenon as it feeds into our understanding of states' interaction at the global level. According to McGowan in Shaw (2004, p. 55) the development of the state, RI and globalisation are processes that have an interwoven connection; on the one hand they influence each other positively, but on the other negatively. As such, there is needed to look at everything that goes into RI in order to get an understanding of this globalisation concept. This is taking a study of lower level components in the form of RI that build into a bigger establishment; globalisation.

### 1.3.1 General REPMS and RI problems

There are some problems with the functions and operations of borders that need answers. The functions of a border are plenty and they sometimes clash with or oppose each other (Ministry of Foreign Affairs, Finland n.d.). The most visible function of a border is to act as a barrier and an instrument to be applied for controlling illegal immigration; preventing human, drugs and weapons trafficking; and collecting duties on legal goods. As such, border points are a hive of conspicuous and inconspicuous activities. Some of the activities apply to the direct movement of people, whilst other activities extend to countries' security; the activities at a border justify the existence of their infrastructure (Ministry of Foreign Affairs, Finland n.d.), and directly and indirectly affect a country's economic performance.

Intractable problems have been encountered in Africa as a result of the way some borders were created and other related problems linked to colonial legacies. Several solutions have been attempted but to date the problems persist. Nevertheless, there are African indigenous knowledge systems (AIKS) relevant to political economy in Southern Africa that has been marginally explored. AIKS is information from the internal systems of a society that is developed from its history, exploits and interaction with its own and the outside environment (Warren, 1991). The literature is awash with externally contrived narratives that have attempted to explain the political economy of pre-colonial African polities without comprehending AIKS regarding trade and commerce (Owuor, 2007, p. 25). The intractable problems encountered by the redrawing of borders of African polities thus need to be discussed in relation to exogenously driven international relations and state sovereignty norms.

Traders face financial difficulties crossing from one country into another (Titeca and Kimanuka, 2012), which is why they choose informal paths that have lower taxes than the formal paths (Titeca

and Kimanuka 2012, p. 8). In this manner they will continue to operate, however the country will be losing out as proceeds that were supposed to get to the government through the formal systems will be channelled to facilitator cartels.

The contribution of small scale traders to any country's economy is significant. Research has found that "Small-scale cross-border trade plays an important role in the Great Lakes region, where goods are traded between the Democratic Republic of Congo (DRC), Rwanda, Uganda and Burundi; this enables regions that do not produce enough to cover their own needs to receive supplies of products for individual consumption (mainly foodstuffs)" (Titeca and Kimanuka, 2012, p. 8). The authors established that this type of trade is predominantly informal, but the traders make a contribution to their countries' economies as they pay taxes using the regulated entry and exit points (Titeca and Kimanuka, 2012, p. 8). This rationalises the need to ensure that the entry-points are favourable to these small-scale traders if the government is to secure these taxes. If the system proves too complicated, the governments risk losing out on this critical revenue as the traders will have no option but to circumvent the system. Road entry points are part of the goods supply chain, which represents the channel through which goods move from the point of manufacture to the point of consumption, going through further perfections in between and in the process accumulating costs from transportation and transactions (Pugliatti, 2011, p. 3). Delays at an entry point effectively become delays in the supply chain, which makes work on REPMS crucial to both the public and the private sector.

### 1.3.2 Specific REPMS and RI problems

The use of the OSBP system is new to SADC; the Chirundu OSBP project pioneered the concept in SSA (Kassee, 2014, p. 105). Before the establishment of the OSBP, trucks and travellers went through lengthy clearance times at each entry point that could take as long as five days. Since the introduction of the OSBP system clearance is done within a day, with the number of trucks being cleared averaging 480 per day (Kassee, 2014, p. 105). This means that tangible benefits are present; however further evaluation is needed in order to gain a comprehensive understanding of the system before it is established across the country. This will help in filling the gap given the lack of literature regarding the practical operations of both systems in SADC.

REPMS also falls into the realm of trade facilitation. "Facilitating trade may require reforming and modernising border management institutions, changing transport regulation policy, and investing in infrastructure" (Mustra, 2011, p. 23). However, the willingness of countries to take such a step is questionable. "Many developing countries will be unable to take advantage of international trade

opportunities unless they can go beyond the traditional reform agenda—almost exclusively dedicated to customs reform and hard infrastructure—and invest in areas where trade is most constrained”(Mustra, 2011, p. 24)).

A lot goes into the supply chain involving the movement of cargo and people, which eventually affects the supply chain of all business transactions. Table 1-2 below summarises some of the key areas that need addressing.

Table 1-2 Areas to be addressed to create a better supply chain for goods

1.	Infrastructure development
2.	Customs and border crossing environment
3.	Document information flows
4.	Gateway efficiency
5.	Competitiveness of transport services
6.	Corridors and transit trade (especially for landlocked countries)
7.	Promoting railroads
8.	Transport sector security

Source: Mustra (2011, p. 24)

There are things that people do not readily see that derail progress however, as people usually devote a lot of attention to tangible things as these are easy to measure and quantify. Even though significant investments by governments and the development community have been made into border management reform and modernisation, there will be no changes to performance unless the changes in infrastructure are accompanied by the adoption of modern ways of managing the borders (Zarnowiecki, 2011, p. 31). The intangible aspects of the entry points need to be looked at as infrastructure on its own cannot optimally deliver; the part that is qualitative in nature affects the delivery and performance of a system.

There is needed to look into all aspects of SADC’s entry points and RI, as the region’s deep integration is yet to materialise. NTBs to trade are one of the key hindrances, however there are known ways of stopping this emanating from entry-point management systems. The OSBP has been implemented in several parts of the world as an answer to NTBs experienced at TSBPs. Accordingly, juxtaposed facilities are a more common type of system used in OSBPs (Polner, 2011, p. 58). This works mainly through bypassing exit country procedures. An arrangement of this nature is found between France and Switzerland, where all the exit and entry regulations are dealt with by the receiving country. “Common one country facility” is another version (Polner, 2011, p. 58), which entails locating an office that will be shared in one of the two countries. The officers from both

countries will then carry out their procedures from that central place. This model depends on high levels of trust between the involved countries for it to be viable (Polner, 2011, p. 58).

In SADC all but one entry point operate as TSBPs. In the absence of research on the performance of both the TSBP systems and the Zambia-Zimbabwe Chirundu OSBP, countries will continue with the existing systems, removing the possibilities of economic growth that come with a contemporary REPMS. Before the OSBP was introduced at Chirundu, trucks were taking two to three days to be cleared, which was reduced to two hours by the OSBP system. The researcher aimed to establish if there were any “spill-over” effects from this development in the perspective of the neo-functionalist theory’s gradual approach. This entailed a look into how this had impacted other downstream and related industries. The impact of NTBs on trade is immense as they complicate the flow of business – some of the cascading effects include upsetting targets and losses in perishable goods. Time consuming procedures also bring about fatigue, affecting road users’ safety.

#### 1.4 Character of the study

##### 1.4.1 Significance of the study

The impediments to regionalism manifest in small things, however studying REPMS as functional areas in integration gives insight into NTBs in SADC. The study also gives a plan towards alleviating these regionalisation barriers to add to the scholarly literature on RI. At the same time, the use of both the TSBP and OSBP system is a new development in SADC. States in the region traditionally used only the TSBP, hence the need to study both systems *in loco* in a SADC perspective that members can identify with, unlike REPMS judgments inferred from other regions’ studies. This will help with the improvement of REPMS practices in the region.

The only OSBP in the region, the Zambia-Zimbabwe Chirundu OSBP, has been operational since 2009, which is sufficient time to establish findings. Studying it alongside the existing TSBPs resulted in practical answers about the two systems that can inform policymaking. This research is also an evaluation study; the use of opposite RI theories - neo-functionalism and modernisation -helps countries understand the effects of the different approaches available for integration. This also helps countries as they evaluate the REPMS in place in relation to all other facets of their economies.

This study seeks to change people’s perceptions on security as it impacts on the REPMS. Countries continue holding onto a realist perception of security, yet what is needed now is a holistic approach ensuring that all the facets of a country function optimally. According to McGowan in Shaw (2004,

p. 55), the level of global governance, which entails the sharing of sovereignty as well as the cooperation of states at the global level, is deplorable. Tackling state sovereignty issues gives regions an opportunity to redefine countries' choices, showing the need to forgo some philosophies to achieve more benefits. A broad literature review highlights these gaps, as well as insights into REPMS and RI in SADC and the world over.

A REPMS study falls under the category of trade facilitation studies and measures. Trade facilitation refers to the capacity for goods to be moved across national borders, while trade is also related to economic development (Hewitt and Gillson, 2003, p. 130). The reasons for a relationship between trade and economic development are easy to see; without trade we would all have to be self-sufficient, producing everything that we use (Hanson, 2010, p. 2). This would be impracticable due to a variety of reasons, including climate, resource deposits, human capital, and geography. This affirms the globalisation wave which, due to its impact, has shown the interdependence that exists among states (Essien, 2013, p. 1).

Economic openness is associated with the cross border flows of goods, services, capital and labour (Pelaez and Pelaez, 2008, p. 48). However, this openness is missing in some regions. As such there have been calls to address problems at entry and within borders (Trebilcock, 1995, p. 1). Looking at REPMS can be a valid way of looking at and trying to address problems at entry points. This may also give pointers to other problems that lie within borders affecting trade. The proliferation of NTBs triggers trade concerns and protracted disputes (Xiong, 2012), however quantitative measures about NTBs coverage and impact are difficult to identify, collect and provide across countries (Keane, Cali and Kennan, 2010, p. 1). This can be attributed to several causes, some of which have to do with people's perceptions. Some people may not perceive a problem as one due to differing ways of life, which makes studies on quantifying NTBs and assessing their impact very complicated and tedious; elements of the subjective nature of human beings cannot be eliminated in such a scenario.

The researcher's idea of looking at REPMS was driven by the belief that it will contribute towards the enhanced movement of goods and people across borders. This is in line with exposing the administrative issues connected to REPMS, which will result in trade performance improvements. Once trade is improved, people's lives should be improved. Trade comes with benefits in that it is one way of creating specialisations, as people can concentrate on the areas in which they have strengths (Hanson, 2010, p. 2); as we enjoy the goods and services offered by others, they can also enjoy our contributions to the common good. This is because, as revealed earlier, as people differ in



expertise, so do countries. Through trading, people's lives will become complete; they will enjoy what they can produce, benefit from the proceeds from exporting; and import what they lack.

There have been several studies on the movements of goods and people; however one of particular interest established the trade potential for SADC countries once some improvements are effected in trade facilitation (Makochekanwa, 2013). In the research it was established that internal trade among SADC member countries can be improved by embracing the e-business models, as well as by putting measures in place to ensure that the ports operate effectively (Makochekanwa, 2013). The researcher, however, recognised the fact that the impact of these strategies on the exporting and receiving countries differ. Nevertheless, this does not defeat the purpose of the study, which sought to show that there is a need for policymakers in SADC to implement strategies to improve the efficiency of the movement of people and cargo. To improve the movement of goods and cargo in line with that study's recommendation, it became desirable to execute a REPMS study, which will add to the existing knowledge that can be used by policymakers working towards ensuring port efficiency.

As such, although there have been significant efforts to reduce NTBs at varying levels of cooperation, they continue to constrain trade, impeding the full realisation of the gains from the tariff reductions that have been adopted through several policies (Keane, Cali and Kennan, 2010, p. 1). This shows that the effort that has been put into removing TBs will be undermined if NTBs are not addressed. This call for the identification and addressing of the prevailing NTBs in the region, i.e. the TB and NTB removal effort must be seen as complementing each other. The enforcement of one without the other will give imperfect results.

SADC's regionalism expedition aims at achieving economic union. The region's 1992 Treaty outlines strengthening links among the region's people as a step towards achieving that economic union (Zwizwai, 2007, p. 11). Thus it is crucial to lobby for the setting up of legislation regulating the way members commit to the removal of NTBs at the varying levels of state interactions (Mukucha 2013, p. 1). These issues regarding the legal frameworks need to be explored in-depth to establish what has been covered and the extent of the coverage. The impact of NTBs on trade is not to be underestimated; it must be appreciated that calls for total integration - to the extent of forming a political union - was pronounced from the very formative years of the Organisation of African Unity (OAU). At the Casablanca Conference of 1961, Kwame Nkrumah announced that a political union, in which all facets of the continent are coordinated, was to be the target of the pan-African movement (Legum, 1965, p. 57). Kwame Nkrumah was the first leader of Ghana in the capacity of

prime minister and then president from 1957-1966. He was one of the fervent Pan Africanists instrumental in the formation of OAU.

NTBs have far reaching consequences on trade as they can affect the costs of an end product negatively, leading to products being more expensive than they ought to be (Xiong, 2012, p. 2). A trade barrier in general describes policies enacted at government or international level that stop the effective flow of trade, usually through raising the costs of goods (Lignelli, 2007, p. 9). This rationalises the studying of REPMS as a functional component of regionalisation. An economic union is taken as the apex of both political and economic integration, which is reached when there has been a total removal of the tariffs and NTBs (Lignelli, 2007, p. 9), found at entry points. Different types of REPMS either perpetuate or curtail them.

The realisation of the peripheral position accorded to AIKS is also important; knowing that before colonisation Africa was borderless means there is need to appreciate that there were mechanisms regulating movement of people and trade. These might be the same mechanisms relevant to Africa today as countries seek to strengthen integration at the regional level. The current application of RI to the movement of people is predominantly based on the westernised epistemologies of RI and political economy. This thesis seeks to visit this phenomenon in an endogenously driven approach, in order to meet the demands of the region with an understanding of its historical uniqueness and experiences. Ultimately, the study seeks a pragmatic approach to dealing with RI, REPMS and NTBs in the SADC region.

#### 1.4.2 Research questions

- What is the relationship between REPMS in Zimbabwe and the levels of RI and types of NTBs prevailing in cross-border trade?
- How do NTBs affect different types of entry points?
- To what extent does the neo-functionalist theory explain the pragmatic relationship between REPMS and NTBs, state sovereignty and the level of RI in the SADC region?
- To what extent does the modernist theory explain the pragmatic relationship between REPMS and NTBs, state sovereignty and the level of RI in the SADC region?

#### 1.4.3 Research objectives

- To determine the relationship between REPMS in Zimbabwe and the levels of RI and types of NTBs prevailing in cross-border trade.

- To explain how NTBs affect different REPMS.
- To examine the extent to which the neo-functional theory explains the pragmatic relationship between REPMS and NTBs, state sovereignty and the level of RI in the SADC region?
- To examine the extent to which the modernism theory explains the pragmatic relationship between REPMS and NTBs, state sovereignty and the level of RI in the SADC region?

#### 1.4.4 Justification

SADC's commitment to integration is clear and the impact of NTBs on trade is well documented. In this vein, studying the REPMS in use in the region can provide answers to aid trade. This study explores the relationship between existing REPMS and NTBs types in the region. There is need to also scrutinise state sovereignty in an extensive study like this one. Unlike research conducted in other regions prior to the establishment of the OSBP in Southern Africa, this research took place when both the TSBP and OSBP systems were operational, in order to get answers for SADC from SADC experience.

There is a general perception that “while there are regional integration projects in many parts of the world, our understanding of regional integration has largely been shaped by European integration processes” (Diez, Bode and Da Costa, 2011, p. 188). This shows that a lot of what informs several regions across the world emerges from Europe, which has its pros and cons. This study, as will be seen, uses theories that were designed for the European integration to help understand integration and development approaches. This is because there is always need to start from somewhere; there is no need to ignore what exists or to pretend as if there is nothing already. However, there is a need to study the SADC region case on its own to see how it fits into the existing RI and REPMS work.

“Contemporary border management reflects a complex interplay between a variety of actors in international trade, both across government through its public sector agencies and between government and the private sector” (Widdowson and Holloway, 2011, p. 95). A study that includes players from different parts of the government is thus justified. In this study, as will be shown in the methodology chapter, respondents were drawn from various stakeholders, including private and public institutions of government.

A look at the REPMS is also critical when trying to address issues pertaining to trade transaction costs. “The border in many cases is the physical manifestation of the intersection of regulation and commerce. Its proper management is critical to the cost effectiveness of international trade

transactions and the smooth flow of legitimate goods and people from both public and private sector perspectives ... Any shortcomings in border management tend to highlight weaknesses in a country's regulation of trade and immigration, and their impact is felt in issues such as supply chain security, health, and safety" (Widdowson and Holloway, 2011, p. 95).

Realising that the shortcomings of the management systems have negative consequences on several things gives an impetus to find answers. The main task is on finding ways to better the flow of goods as they cross borders and effectively institute efficiency in the border and customs procedures (Barka, 2012, p. 2). This challenge cannot be tackled if people fold their hands and surrender their destiny to fate, so it becomes the work of researchers to take up this challenge and tackle the problem. As such, this thesis is a response to calls coming from other scholars as well as what is evident on the ground. There is a need to urgently find ways to address the REPMS and RI, and the challenges therein.

The literature also shows that there has been an increase in informal cross border trading in the SADC region. The informal movement of goods across borders has a lot of disadvantages, which include weakening the government's revenue inflows (Barka, 2012, p. 9). Formal trade can only be achieved when it is viable however, so there is a need to put measures in place to improve the viability of formal trading. Informal trade reduces the achievement of holistic security that encompasses health, safety and environmental efficiency by reducing states' capacity to fund initiatives in those areas (Barka, 2012, p. 2). Once such areas as health weaken, they qualify to be ranked among national security threats, which must be accorded maximum attention. This thesis is thus also relevant to national security policy makers, because when goods are traded in informal channels they circumvent controls such as the sanitary and phyto-sanitary measures (SPS) designed for agriculture (Barka, 2012, p. 9). Therefore, the importance of this REPMS and RI study cannot be overemphasised. It has a place in transaction costs which are of particular interest to the private sector and the development of countries. It also touches on regulation issues, which are of interest to national security agencies as they seek to find answers to avert the informal operations thriving in the region.

#### 1.4.5 Research design

This REPMS research trails on a mixed methods design as emerging from the CRT underlying this researcher's ontological and epistemological perceptions. As the plan of the research, the research design spans the full spectrum of the research, starting with the ideas that one assumes and goes into the field with, through to the collection and analyses of the data (Creswell, 2007, p. 3). A research

design is also defined as the plan that takes one from the start of the research to the end (Yin, 2009, p. 26). In this study the starting point is the REPMS and RI problem, as set out in the foregoing sections. The study utilised the embedded single case study strategy. This entails focussing on more than one unit of analysis in an individual case (Roland, Tietje and Tietje, 2002, p. 10).

In using this mixed methods design, the researcher incorporated elements of qualitative and quantitative approaches, giving them equal weight despite their “different strengths and different weaknesses” (Gillham, 2000, p. 13). Data were gathered using three instruments: a Structured Researcher Administered Questionnaire (SRAQ); a Semi-Structured Participant Administered Questionnaire (SSPAQ); and Semi-Structured Interviews (SSI). Some data came from the literature review, with three sets of data - primary qualitative, primary quantitative and secondary data - emerging out of these. These are analysed, presented and triangulated at the end of the section on data analysis in Chapter 7. Two data analyses strategies were employed. For the qualitative data the researcher utilised thematic and matrix analysis. For the quantitative data the researcher employed statistical analysis. The respondents to the three instruments were: international drivers, SMEs and Zimbabwe ministries’ officials.

This research was not as easy as the researcher initially assumed. There are limitations that the researcher faced. Some led to adjustments to the initial strategies whilst others enhanced the researcher’s understanding of the task at hand. Among these limitations were challenges in securing gatekeepers’ letters in the anticipated time as well as encounters with interview respondents who refused to be audio recorded. Some of the limitations contributed to the delimitations of this research. This research looked at entry points only, did not look at TBs and admitted only international drivers as respondents to one of the instruments. Several other limitations and delimitations will be explained in chapter 6.

On top of strict adherence to set delimitations, the researcher also observed an array of ethical considerations during the data collection, data analysis and data presentation in accordance with University of KwaZulu-Natal policies and procedures. The researcher also commits to continue observing ethical considerations regulating the dissemination and storage of data.

#### 1.4.6 Philosophical worldview

This study’s methodology was informed by the pragmatic worldview as rooted in the CRT philosophy underlying this study. The pragmatic worldview is a way of viewing the world that is quite broad, as it places importance on the achievement of the task rather than the supremacy of

methods, such that it does not confine itself to using a select set of methods in the collection and analysis of data (Creswell, 2007, p. 11). Unlike other worldviews, such as the post-positivists and social constructivists who have religious respect for a specified set of tools, the pragmatic worldview opens the platform for the use of an array of tools from either world, bringing complementarities into the study (Yin, 2009, p. 174). Due to this the research is highly objective, but at the same time captured details when they were needed. As will be seen, the REPMS and RI phenomena are taken herein as things that are in existence and require vigorous interrogation through various methods in order to get answers for the good of RI and REPMS as well as the world at large.

### 1.5 Definition of terms

The terms that form the backbone of this thesis are listed below. A section has also been included for an explanation of the definitions as understood in this thesis. These are the guiding definitions used throughout this work.

Table 1-3 Key terms and definitions

Term	Definition and Explanation
NTBs	These are things, besides taxes, that impede the flow of trade (Xiong, 2012, p13). This means NTBs are those things that are not pronounced in monetary terms that one will pay as tax when importing or exporting goods. These are things that revolve mostly around procedural and administrative issues that disturb the smooth movements of goods and traffic across borders. Some scholars use NTBs interchangeably with non-tariff measures (NTMs) (Sambo and Ubisie, 2006, p. 97), however Vanzetti, Peters and Knebel (2014, p. 1) defined NTMs as “policy measures, other than ordinary customs, that can potentially have an economic effect on international trade”, i.e. they took NTMs to be distinct from NTBs. NTBs are “impediments designed to restrict trade for the benefit of domestic producers” (Vanzetti, Peters and Knebel, 2014, p. 1).
Border	Borders are the physical lines that mark the perimeter of a state’s territory signifying the limit of its authority, which have been used as the basis for the state sovereignty principle in the international system (Zaiotti, 2011, p. 1). According to Zarnowiecki (2011, p. 38) “the border, if on land, separates two countries”. Therefore, a border is the outer boundary marking the perimeter of one country as the next territory begins.
Entry point	This is the point at which people get into a country. These are taken herein as not the same as a border, because “international gateways can be well inside national territory” (Zarnowiecki, 2011, p. 38).
Road entry point management systems (REPMS)	This has been coined for the purpose of this research to refer to the systems adopted in the management of “international gateways” for road traffic. The two management systems are the one-stop-border-post system (OSBP) and the two-stop-border-post system (TSBP).
Regional integration (RI)	RI entails the transfer of some powers from a state to a higher authority rooted in the transfer of loyalty, expectations and the power to make decisions (Dosenrode, 2010, p. 3). It is highly associated with the redefining of the state sovereignty concept. It can also be understood as “the process of establishing a degree of supranational authority beyond the nation-state within a particular geographical region – i.e. where governments of nation states decide to hand over some

	decision making capacity to a new, higher level of governance” (Diez, Bode and DaCosta, 2011, 187). This means that RI is the coming together of countries, qualified by their location, in forming a grouping to govern their operations in a chosen undertaking.
State sovereignty	This is the supreme or final authority of a political entity over its own affairs, frequently associated with a given territory (Diez et al., 2011, p. 215). It means the powers that states wield over their territories as demarcated by the outer boundary marking the end of one territory as the next begins.
Trade facilitation	Scholars have generally disagreed on what trade facilitation is. Most have settled on accepting that it is an “imprecise term”. The World Trade Organisation (WTO) takes it as entailing the simplification and harmonisation of trade processes (Kleitz, 2003, p. 64; Wolfgang and Kafeero, 2014, p. 3). Herein, trade facilitation is taken to be an attempt to set into motion the trading process. It also involves bettering the trade facilitation that will already be in motion.

Source: Sources as indicated in the table

## 1.6 Chapter overview

Chapter 1: This chapter provides a general summary of this SADC, REPMS and RI study. The first to be presented was the root of the REPMS and RI problem, which discussed the history of the issue at hand and exposed the rationale for conducting this study. Also presented in the overview was the character of the study, which included a brief literature review to place the study introduction into the context of the existing literature on REPMS. The research objectives and questions were also presented successively, showing the task at hand. An introduction of the methodology used for this study was made through the brief research design and worldview sections. The latter part of the chapter lists several documents that are part of this thesis. These documents are attached as appendices at the end of the thesis.

Chapter 2: This chapter lays out the CRT underlying this study, which shows its precepts regarding ontological and epistemological views. These are explained in-depth before the CRT inclined methodology is revealed. The methodology that the CRT assumes as suffice to investigate reality is one of the mixed methods used. This is explained as forming the backdrop of the methodology for this current study that will be presented in Chapter 5.

Chapter 3: This chapter introduces the literature on RI. The first section traces the African political economy in history, giving insights into the contacts with the outside world that have been in existence since time immemorial. Factors affecting RI are also given to show the problems that countries face in trying to deepen their integration. The factors are presented under political, economic, legal, historical and social factors categories. Peace, security and state sovereignty are discussed at the end of the chapter as factors that also affect RI. This chapter gives extensive insights into the region under investigation in this study, i.e. SADC.

Chapter 4: This chapter draws lessons from the literature on RI, REPMS and development approaches. This includes studies on RI and the movement of goods phenomenon from all over the world as well as the region under study. Of special interest are lessons from AIKS, which are presented as pre-colonial African wisdom. This section explains the way trade happened in the pre-colonial era, as it is important to look into AIKS as evidence to show the prior existence of long distance trade in Africa. Lessons are also drawn from the Schengen system, which is a very contemporary development that the world can learn from. Several methods in use or envisioned for the alleviation of border delays are also presented. These include tamper proofing, global positioning system (GPS) tracking, transit corridors, pre-shipment inspections, juxtaposed offices, and collaborative border management, amongst other. The latter part of the chapter explains SADC's place in the current REPMS study.

Chapter 5: This chapter opens with an explanation of an array of RI theories in common usage. The bigger part of the chapter then presents the two approaches that are also under investigation in this study - the 'piecemeal approach' and the 'holistic approach'. These two approaches come from two common RI and development theories: the neo-functionalist and modernisation theories. The latter part of the chapter discusses the use of variables in studying RI and REPMS. It is within this section that the variables being investigated in this study are also presented in detail.

Chapter 6: This chapter presents the methodology used in this REPMS study and shows the path that the researcher took in arriving at the chosen methodology. The first parts explain the pragmatic philosophical underpinnings which are the guiding worldview, and the embedded single case study which is the research strategy used herein. This is followed by the case study quality measures, showing the way the researcher ensured the case adheres to construct validity and reliability measures. The sampling method used is extensively explained, showing the sampling for the study site right down to the individual respondents. This study used three instruments to collect primary data, thus a section on instrumentation details everything that went into the construction of these three tools - the SSPAQ, SRAQ and the SSI. These tools were also subjected to quality control and a section detailing that is available. The data collection that brought out the information answering this study's questions is detailed, with snippets drawn from the researcher's diary being inserted to show the path followed during data gathering. The ethical considerations observed in this study are also listed. This study was not without its challenges, thus the limitations that emerged are listed with the actions taken to overcome them. This is followed by the delimitations of the study, before a section of data analysis that details the way data from the study, presented in chapter 7, were handled.



Chapter 7: This chapter assesses all the primary and secondary information gathered for this study, opening with a restatement of the research objectives and questions. This is followed by the presentation of the primary data and analysis. The section is further divided into two sections - one for the qualitative data and the other for the quantitative data. The primary qualitative data section presents findings from the SSI instrument analysed and presented using the thematic and matrix analysis. This is followed by the presentation of the primary quantitative data, which were analysed using the Stata Statistical software and presented using tables, graphs and charts. The last, but not least, to be presented is the secondary data, which is done so in tables with explanations. This is followed by a section on the triangulation of data; with each research question being explained from the information gathered using all the tools listed earlier. The last part of the chapter includes 22 tables that are explained within the body of the chapter but placed at the end to allow for a smooth flow of the discussion.

Chapter 8: This is the last chapter, which summarises the study detailing the contents of each of the seven chapters preceding it. This is followed by a discussion on policy implications and recommendations emerging from this study. The last part offers the conclusions that emerged from the study, ranging from the methodology to the findings.

### 1.7 Chapter conclusion

This chapter gave a general summary of this SADCREPMS and RI study. The first issue to be presented in the chapter was the root of the REPMS and RI problem, which brought out the history of the issue at hand and exposed the rationale for conducting this study. Also presented in this overview chapter was the character of the study, which put the study introduction into the context of the existing literature on REPMS, and the research objectives and questions. The next chapter will present the philosophical framework for this study, i.e. CRT.

## CHAPTER 2 CRITICAL REALIST THEORISTS' PHILOSOPHY

### 2.1 Introduction

This REPMS and RI study, as introduced in Chapter 1, have objectives to be achieved and questions to be answered. This chapter presents the philosophical framework underlying this study, which sets out the basis for the methodology and worldview that drive the fulfilment of the said objectives and questions. The first part gives a brief rationale for having a philosophical framework, while the latter parts explain the ontology, epistemology and paradigms emerging from the CRT. Illustrations will be given to show the visual path followed in the execution of this study. This discussion endeavours to reveal the rationale behind, *inter alia*, the use of the case study, mixed methods, and the study of RI levels adopted in this thesis.

### 2.2 Preamble to the Critical Realists' theory

The study overview presented in the foregoing chapter presented many questions in need of answers, some of which relate to the best approach to be taken by countries. This is the approach for understanding integration as well as embracing it. This chapter, as mentioned earlier, sets out the philosophical framework for the study of REPMS. In this thesis one meta-theory underlies the study while two theories inform the understanding of strategies for RI. The meta-theory is the CRT, while the other two theories will be presented as integration and development approaches in Chapter 5. Before taking the CRT on board, the researcher held a post-positivist and social constructivist stance. This will be clearly explained in the methodology chapter.

For any study there is need to set out a philosophical framework. It is, without doubt, a conspicuously emphasised requirement for the development of any thesis or research, especially in the social sciences. This is because any research inevitably builds on a particular ontology (how the world is), epistemology (how the world can be known), methodology (what methods to use in the world's inquiry), and etiology (what the world's underlying causes are) (Sousa, 2010, p. 456).

The CRT is a theory emerging from the ideas by Roy Bhaskar (Sousa, 2010, p. 472). Books and articles on this topic from various scholars offer an understanding of this philosophy and method. "Bhaskar's work provides the foundations for a realist meta-theory that is, in principle, compatible with a variety of social theories" (Wikgren, 2005, p. 14). Figure 2-1 shows the proposed two versions of the CRT theory: transcendental realism and critical realism (Yeung, 1997, p. 52). The

former is for the natural sciences whilst the latter is for the social sciences; this thesis falls into the latter category. In realising that there are antagonisms in the natural and social sciences over each other's importance, the CRT gives insights that anyone willing to understand their theory would find value in research from both fields. To solve the problem that arises due to the contradictions, the CRT argues that the world must be viewed using the lens of theories, as it is the society that constructs the reality but researchers must appreciate that there are sections that are not constructed socially (Easton, 2010, p. 120).

The role of the theory is to explain the underlying mechanisms that bring out the data that are studied, in spite of the way that one chooses to carry out a study (Wikgren, 2005, p. 12); theory informs the ontology, epistemology, etiology and paradigms for a particular study. A theory is necessary in social science because the way reality is viewed in social science is different from the way it is viewed in science based on the assumptions that it is stratified, yet with social science reality is taken as something that need theory as it not observable (Wikgren, 2005, p. 12).

In this study, the SADC REPMS and RI are studied using Zimbabwe as a case study. A case study is taken as representing just one occurrence (Easton, 2010, p. 119). In underlying this study, CRT promises to afford enough justification for the use of case research, which in turn guides the way it is used (Sayer, 1992). Yet this is not without its challenges, as some scholars have voiced concerns regarding the efficacy of CRT. According to Yeung (1997, p. 51), CRT is merely a philosophy not a method. The ensuing discussion will provide, among other things, an array of scholars' inputs into this reservation on the efficacy of CRT and a position justifying its usage in this study.

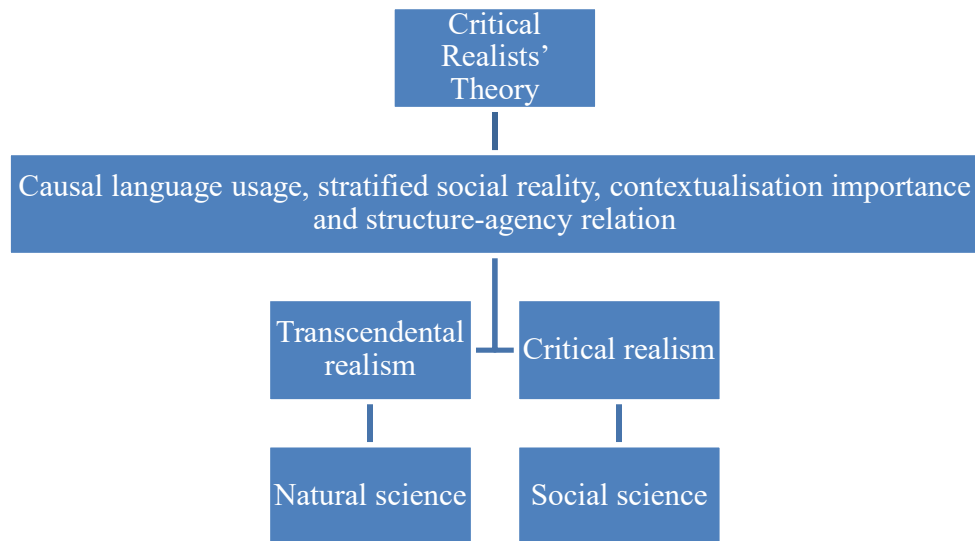


Figure 2-1 CRT fundamentals and divides

Source: Adapted from Easton (2010)

The CRT holds a tenet that there are connections that exist among the various aspects of the world (Easton, 2010, p. 118). Causal language is that which allows one to discover the cause of something and the evidence therefore. CRT has three central features: that reality is in layered form; that it puts things into context; and that it establishes the relationship that exists between the structure and the agency (Wikgren, 2005, p. 16). These are shown at the subordinate level in Figure 2-1. Understanding each of these is crucial in understanding the CRT theory. As such, the ensuing discussion will delve into the features until the methodology that emerges out of CRT, and the one used in this study, is discernible. CRT brings together what is in the natural world and the communications that occur in it about it (Wikgren, 2005, p. 14). CRT “distinguishes between a reality independent of what we think of it (the intransitive dimension) and our thinking of it (the transitive dimension)” (Wikgren, 2005, p. 14).

## 2.3 Instituting the study’s ontology, epistemology and paradigms

### 2.3.1 Nature as given by the Critical Realists’ theorists

CRT assumes the existence of the world in reality (Easton, 2010, p. 118). This view of nature is termed “ontology” in philosophical terminology. These “are assumptions which concern the very essence of the phenomena under investigation” (Burrell and Morgan, 1978, p. 1). This ontology, according to CRT, is “independent of observers” (Easton, 2010, p. 120). This means that CRT “assumes an ontological realism (there exists a mind-independent reality and truth is correspondent

with fact) and defends the possibility of causal explanation” (Bhaskar, 1975; Wikgren, 2005, p. 14). This means that, whether identified or not reality is already out there. As such, as the forthcoming section will show that CRT pushes for the adoption and bringing together of various methods as they are relevant to the various levels of understanding reality (Danermark, 2002).

CRT is more concerned with getting a deep understanding of nature and identifying the effectiveness of the operations therein (Wikgren, 2005, p. 13) As such, this helps in the understanding of the objects or entities existing in reality. According to Easton (2010, p. 12), things like organisations are objects that are useful in the CRT explanations of reality as they form the basis on which these explanations are built. These entities wield “causal powers and liabilities” (Easton, 2010, p. 12), with causal power being that which can cause something to happen.

According to Bhaskar (1978), the ontology of the CRT is stratified - strata are the things that can be counted and can even be tangible. This occurs “independently of the various ways in which they can be discursively constructed and interpreted by social scientists and other social actors located in a wide range of socio historical situations” (Reed, 2001:5). This occurs in two dimensions; firstly, there is a divide between the things that fall within our experiences and those that are not available to us in our direct experiences but still existing and their underlying causes (Wikgren, 2005, p. 16). The second dimension is that reality is assumed to consist of hierarchically ordered levels where a lower level creates the conditions for, but does not determine, the higher level.

The distinction between the levels lies not in the entities, but in the generative mechanisms that operate at each level (Wikgren, 2005, p. 16). It is critical for one to be able to positively identify these structures as this is the only way to understand the social world (Bhaskar, 1989); it would be an error of great magnitude to deny the existence of these structures. According to Willmott (1997), “to deny a stratified world is to deny the very possibility of social theory”. Different levels of RI exist and several RI across the world are in varying levels of integration. Studying the SADC in its regional context can bring out the level of RI in the region and reveal the areas that need intervention if the region is to attain total integration.

It is possible to investigate the relations between differing levels in reality because the CRT uses the stratification of ontology approach, which allows an investigation into the relations at different levels without the need to break them up (Wikgren, 2005, p. 17). The existence of these levels already point to the methodology that will suffice in studying such phenomena. According to Harvey (2002), it is

not possible to reduce the causes of what occurs to one level to those of another level (whether lower or higher), because at each level something qualitatively new emerges.

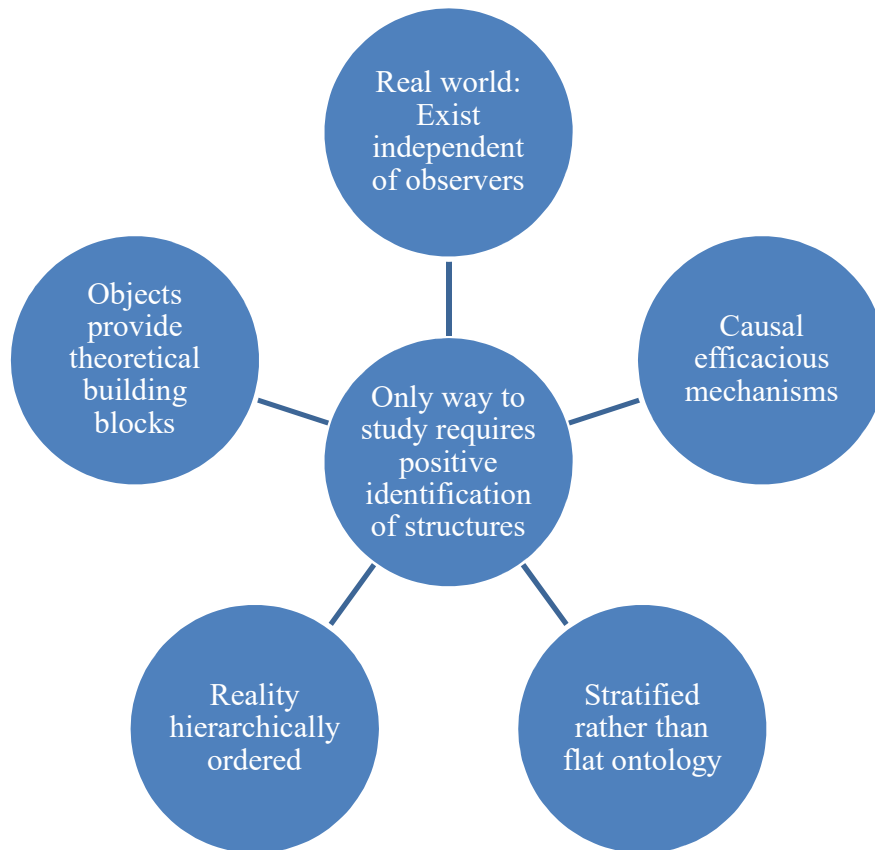


Figure 2-2 CRT ontological assumptions

Source: Adapted from Wikgren (1995) and Harvey (2002)

Entities are usually structured (Easton, 2010, p. 120). Structure represents a collection of objects that have an inherent connection (Sayer, 1992, p. 92), for example a single establishment may be made up of micro establishments that affect each other. This means that “structures are nested within structures” (Easton, 2010, p. 120). All these facets of CRT ontology are presented in Figure 2-2 below. The centre represents the method that must then be used in understanding in the CRT’s perceptions. The same applies when looking at RI, global governance at the international level and public administration at the national level. There are a lot of structures at the micro level that build into the macro level. A macro level at one point can even be a micro level to another level, building into the bigger international system.

### 2.3.1.1 Nature in REPMS and RI study

The above explained nature of reality as perceived by the CRT informs the understanding of REPMS and RI in several ways. The REPMS and RI in SADC are taken herein in the view that they exist out there, i.e. their existence is confirmed. The study seeks to bring out what constitutes these as structures existing. This means revealing what influences their operations and continued existence.

The REPMS can also be taken as objects that can be studied in the understanding of RI and other related subjects, such as international trade, global governance and international peace. This is consistent with CRT perceptions on reality as stratified.

When looking at the RI concept onto which this REPMS study builds, clear hierarchically ordered levels are discernible. These are discussed in greater detail in Chapters 3 and 4. These start at the lowest level with the FTA, which can be achieved through harmonising customs rules, creating procedures and eliminating NTBs (Kalaba et al., 2006, p. 41). The fifth and highest level of RI is political union.

### 2.3.2 The Critical Realists' conception of knowledge

The conception of knowledge is what philosophers' term "epistemology" (Burrell and Morgan, 1978). The CRT assumes 'an eclectic realist/ interpretivist epistemology' (Easton, 2010, p. 119). For the interpretivists, reality is perceived as multiple and relative (Hudson and Ozanne, 1988). To them knowledge is socially constructed (Carson et al., 2001, p. 5), which means that the knowledge is as the people define it; it is not objective as assumed by the positivists. Interpretivism is taken to be anti-positivist, having been developed in reaction to positivism (Mack, 2010, p. 7). The main tenet for interpretivism is that "research can never be objectively observed from the outside rather it must be observed from inside through direct experience of the people" (Mack, 2010, p. 7). This means the methodology to be used will need to be one that can extract information from people and the knowledge is to be understood as defined by the people. This points to an inclination towards qualitative methods that is open-ended, allowing the researcher to gain an in-depth knowledge as defined by the people who will be defining reality.

"For critical realists, the social world is an open system whose existence is largely independent of any knowledge one may have or develop and social science should be critical concerning the social world that aims to tentatively describe and explain" (Sousa, 2010, p. 457). This openness is indicative of the research methods that become associated with CRT that do not really have confinements but essentially deal with bringing out the best understanding of a situation. CRT believes, on one hand, in the social construction of the world, while arguing on the other hand that

this is not the scenario for the totality of the world's construction (Easton, 2010, p. 122). In so arguing, CRT accommodates the existence of both the natural and social sciences methods of knowing.

### 2.3.2.1 CRT knowledge conception's implication to REPMS and RI study

The epistemological position of the CRT given above has implications on the way knowledge is understood in this REPMS and RI study. Table 2-1 summarises the implications in relation to the focus of this thesis.

Table 2-1 CRT epistemological positions' implications

<b>CRT epistemological assumption</b>	<b>Assumption implication to REPMS and RI study.</b>
Multiple and relative knowledge (Hudson and Ozanne, 1988)	The knowledge is case specific so do not rely on generalisations.
Knowledge is socially constructed (Carson et al., 2001, p. 5)	Use methods that involve the people using the different REPMS to get their interpretation of objects
Knowledge is not objective (Sousa, 2010, p. 457)	Use qualitative methodologies that allow the extraction of open-ended responses.
World is not entirely socially constructed (Easton, 2010, p. 122)	There is need to utilise other methods that take care of the aspects of the society that are not socially constructed. These are scientific methods of knowing.

Source: Literature as cited

### 2.3.3 The Critical Realist paradigm and emerging study methodology

Having established that the CRT views nature as “being out there” in observable and unobservable forms, the researcher chooses to adopt methodologies that accommodate both these observable and unobservable forms. . The CRT advocates a departure from the use of prediction methods to those of explanation (Wikgren, 2005, p. 13). As such, CRT “advocates methodological pluralism, because the levels vary in regard to how mechanisms can best be analysed”(Danermark, 2002).In CRT ideas, the analyses of units can be done at varying level aggregations (Easton 2010, p. 121). However, this does not necessarily mean that units at a higher level can be understood by amassing the meaning of units at lower levels (Easton, 2010, p. 121). This means in this REPMS and RI study that it is possible to analyse integration starting at arrangements that are operating at bilateral level like REPMS. This is done using a mixture of methods as no method can best cater for knowledge on RI and REPMS that are occurring in different forms “out there”.

One method that is readily consistent with the CRT's given epistemology is triangulation. Yeung (1997, p. 64) postulated that triangulation as a method is “based on the conviction that there is no fundamental clash between the purposes and capacities of qualitative and quantitative methods or



data”. Triangulation is, in actual fact, “the preferential test for research” (Easton, 2010, p. 497). This entails using varied techniques side by side, enabling the results to be generalised to other situations (Sousa, 2010, p. 497). In this study, as will be explained in detail in the methodology section, data triangulation was done at different levels.

This research took a case study approach, which is also supported by CRT. Case studies can help to study any situation without putting emphasis on the number of units to be involved in the study, because it only concentrates on taking an in-depth study to understand the reasons behind an existence (Easton, 2010, p. 118). “The key constraint is its low (statistical) representativeness”, however, the case study allows a thorough understanding of an observable fact (Easton, 2010, p. 119), i.e. the Zimbabwean case study allows for comprehensive coverage of REPMS. As Zimbabwe is a landlocked country sharing borders with four other countries, it offers an opportunity to study the scenarios at those borders in-depth. A case study, therefore, can be taken as a research paradigm that uses multiple methodologies to study an individual scenario, giving a complete understanding in the end (Easton, 2010, p. 119).

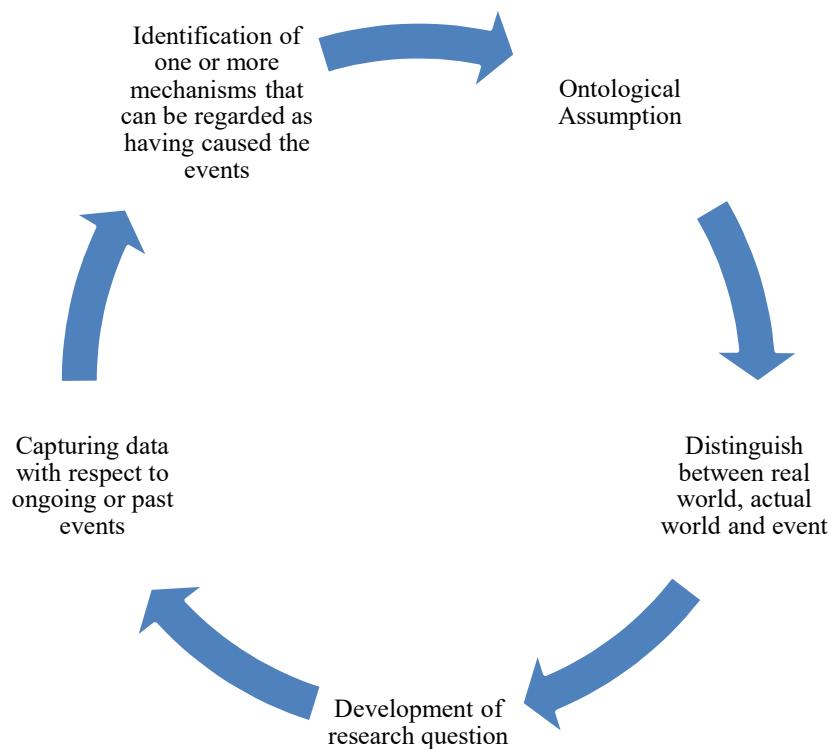


Figure 2-3 CRT methodology

Source: Adapted from Easton (2010, p. 128)

CRT investigates the way things occur or occurred in what can be seen of people and systems (Easton, 2010, 120). It is crucial to realise that CRT does not take the absence of an event as a wrong thing; the approach is very comprehensive in that it looks at everything. CRT believes that there is a need for an explanation when something that is expected to occur fails to, and also that the failure of an occurrence can be crucial pointer to the performance of the system (Easton, 2010, p. 120).

CRT has reservations regarding the use of observation research methods. Those who make observations, according to CRT, do so in the empirical domain; however it is in the actual domain that events happen (Easton, 2010, p. 123). This means that what we see is just a fraction of what must be known, so the observation method has a shortfall because it cannot give the desired full explanation (Easton, 2010, p. 123). Given this fact, the researcher opted for methods that could extract the extra information that observation would miss.

The CRT research methodology can best be imagined as cyclical. As shown in Figure 2-3, the research starts with an ontological assumption, which is followed by distinguishing events, the development of a research question, the collection of data, and the identification of the things that led to the events.

#### 2.3.4 Critical Realists' theory summary

Table 2-2 Critical Realists' theory basic assumptions

<ol style="list-style-type: none"> <li>1. "The world exists independently of our knowledge of it.</li> <li>2. Our knowledge of the world is fallible and theory laden. Concepts of truth and falsity fail to provide a coherent view of the relationship between knowledge and its object. Nevertheless, knowledge is not immune to empirical checks and its effectiveness in informing and explaining successful material practice is not mere accident.</li> <li>3. Knowledge develops neither wholly continuously, as the steady accumulation of facts within a stable conceptual framework, nor discontinuously, through simultaneous and universal changes in concepts.</li> <li>4. There is necessity in the world; objects – whether natural or social – necessarily have particular powers or ways of acting and particular susceptibilities.</li> <li>5. The world is differentiated and stratified, consisting not only of events but objects, including structures, which have powers and liabilities capable of generating events. These structures may be present even where, as in the social world and much of the natural world, they do not generate regular patterns of events.</li> <li>6. Social phenomena such as actions, texts and institutions are concept dependent. We not only have to explain their production and material effects but to understand, read and interpret what they mean. Although they have to be interpreted by starting from the researcher's own frames of meaning, by and large they exist regardless of researchers' interpretations of them.</li> <li>7. Science or the production of any kind of knowledge is a social practice. For better or worse (not just worse) the conditions and social relations of the production of knowledge influence its content. Knowledge is also largely – though not exclusively – linguistic, and the nature of language and the way we communicate are not incidental to what is known and communicated. Awareness of these relationships is vital in evaluating knowledge.</li> <li>8. Social science must be critical of its object. In order to be able to explain and understand social phenomena we have to evaluate them critically"</li> </ol>
---

Source: Sayer (1992, p. 5)

Points 1, 4 and 5 above set out the key CRT assumptions about ontology; Points 2, 3, 6 and 7 shows that “reality is socially constructed” (Easton, 2010, p. 120); and Point 8 speaks to the paradigm. “Scholars and researchers build often implicitly on one of the three metatheories” (Sousa, 2010, p. 498) - positivism, the postmodernism or the CRT. The CRT “acknowledges the largely mind-independence of the world, a world composed of multiple (complexly structured and powerful) entities and (structure less and powerless) events (i.e. critical realism)” (Sousa, 2010, p. 498). The fundamental limitation of the CRT is its epistemological assumption, which was indicated earlier as interpretivist. By taking the interpretivists’ stance the CRT seems to depart from scientific methods (Mack, 2010, p. 8), however according to Patomaki and Wight (2000, p. 223), CRT instead uses retroduction methods, which entail moving from an idea to the level of developing a model. This becomes an advantage because the results are transferable, i.e. the results can be applicable if taken and used in a different context from the one in which they were established (Guba and Lincoln, 1994, p. 108).

## 2.4 Chapter conclusion

The chapter has laid out the philosophical framework underlying this study which comes from the CRT school of thought. The CRT has been outlined to show its principles on the ontological and epistemological views. These were explained in-depth before the CRT inclined methodology was revealed. The methodology that the CRT assumes as suffice to investigate reality is one of the mixed methods of study. This was explained by forming the backdrop of the methodology for this current study, which will be fully presented in Chapter 5. The forthcoming chapter examines the literature on RI, with the first section tracing the African political economy in history. This gives insights into the contacts with the outside world that have been in existence over time.

## **CHAPTER 3 SOUTHERN AFRICA REGIONAL INTEGRATION**

### **3.1 Introduction**

The CRT philosophical framework set out in Chapter 2 pointed to the use of case study research methods in this research. In this thesis the area under study was the SADC region and the case study method was used, i.e. there was a need to understand the SADC region in order to set out the basis for the study. There are real factors that give character to the region we know as SADC today. These are mostly historical factors that stretch from the days of colonisation to date. This chapter goes back in history to situate the RI phenomenon development in SADC. To show the limitations faced as states pursue the RI path, this chapter explores literature on globalisation, RI, state sovereignty, state security, countries' borders, and NTBs, amongst other issues. This is because "the processes of state development, regional integration and globalisation are clearly interrelated, at times reinforcing, at others conflicting" (McGowan, 2004, p. 55). One cannot effectively look at RI without addressing these other issues; however it was not within the capacity of this thesis to extensively look at everything. Some issues were thus given more attention than others, depending on the value they offered in the understanding of REPMS.

### **3.2 Globalisation, regionalisation and development**

It is prudent to take into account the relationships that exist between states, regionalism and globalisation. This study took place at the regional level but used a case study at the state level (McGowan in Shaw, 2004, p. 57), while globalisation is the level associated with advances in integration at international level as well as interdependence (Panic 2011, p. 4). Figure 3-1 shows the relationship that exists between these three levels.

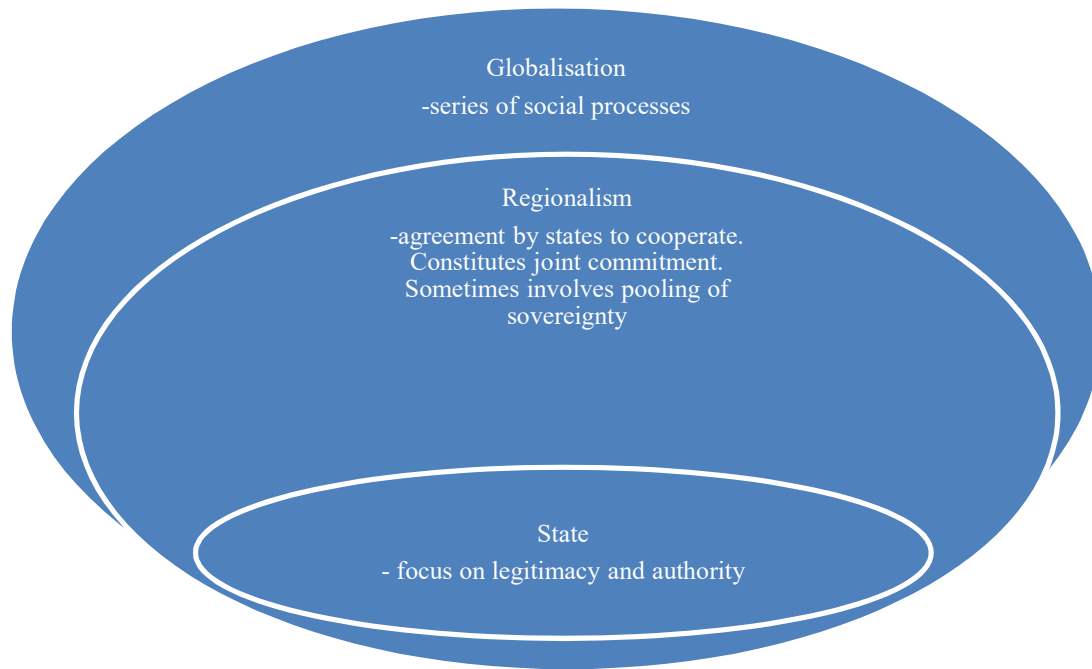


Figure 3-1 State, regionalism and globalisation

Source: Adapted from McGowan in Shaw (2004, p. 55)

“In some recent accounts the relationship between the global and national is seen as zero-sum game, globalisation impinging upon or constraining the autonomy of states while regional integration enjoys a more ambiguous status, as catalyst or constraint” (McGowan in Shaw, 2004, p. 55).

The relationship that exists between globalisation and poverty is not completely clear in the literature, but there is evidence that shows that poverty is reduced through positive economic growth (Pelaez and Pelaez, 2008, p. 35). This means that there is need to understand and put energy into things that impact positively on the economic growth of countries and regions if poverty is to be reduced. It has been established that one way of increasing economic growth is through enhancing openness in systems (Pelaez and Pelaez, 2008, p. 35). In this process of ensuring openness, McGowan in Shaw (2004, p. 5) argued that RI comes in-between the national and global systems as the link to achieve this openness.

However, there are groups that do not see globalisation as bringing about positive benefits to people (Lane, 2008, p. 5), thus it is critical to carry out studies like this one in order to ascertain if such pessimism is valid. Nicholson in Shaw (2004, p. 23) painted a rosy picture of globalisation, arguing that it raises the levels of interaction for people in far removed places. In that instance, the distance that is considered can be physical in the sense of geographic distance, as well as non-physical in the sense of political and social distances (Nicholson in Shaw, 2008, p. 23). This means that

globalisation is taken as a way of bridging any gaps in the interaction of states, be they physical or non-physical. At the regional level it is necessary to carry out studies like this, as countries, although potentially geographically close, have different political and social cultures, which means they have distances inhibiting their interactions. To get to the level of understanding and establishing the non-physical distances in the SADC region and their impact on RI, a review of literature on the region's history follows.

### 3.3 A history of the African political economy

The African continent has a unique history of internal and external interactions, which are principally due to the impact of the slave trade, colonisation and apartheid. There is a vast amount of literature showing the transformation of African values and systems by outsiders' influence, however many of these studies have been avowedly synchronic (Kottak, 1972, p. 351), i.e. they were carried out with a focus on a single point in history (Oxford Online Dictionary, 2016). "This synchronic approach was in the past accepted fully when it was erroneously believed that pre-colonial Africa was by and large static until impacted upon from about the middle of the last century by European economic and political imperialism" (Onunwa 2010, p. 31).

Yet whatever the case, Kottak (1972, p. 351) dismissed some of the findings, arguing that:

Even in those cases where the anthropologist has been privileged to conduct research within the same society over an extended period of time, the problems of social and cultural change which he documents generally involve modifications of "traditional" institutions and behaviour in the context of colonialism, post colonialism, and world capitalism.

This means that the findings could not be free from error, which leads to a very complex question that many historians and scholars have attempted to answer, i.e. what is African? These errors could be due to the different systems that make up societies: ideas, values, religion, breeds, attitudes, politics, and culture, among others.

The most overwhelming thought pertains to whether Africa was a *tabula rasa* when outsiders came, because some scholars present Africa as a recipient of everything that is part of it today. This raises even more questions, as there was life in Africa long before the return of outsiders. According to "fossil discoveries of 1924 that revolutionised the search for human ancestors" (Wayman, 2011), Africa is the cradle of humankind. According to Rodney (1973, p. 9), since man is originally from Africa, the continent has participated in all that humans have ever done when trying to eke a living

out of the environment. This warrants investigating AIKS so that a line can be drawn on where Africa ends and outsiders' takeover begins, and vice-versa. Moreover, African epistemologies exist on their own merit (Udefi, 2014, p. 108). African epistemologies can be defined as the African way of conceptualising, interpreting and apprehending reality in the confines of African cultures and collective experiences (Anyanwu, 1983, p. 60).

The "idea of African epistemology is based on their acceptance that such concepts as knowledge, truth, rationality etc. can be interpreted using African categories and concepts as provided by the African cultural experience without a recourse to Western or alien conceptual framework" (Udefi, 2014, p. 108). Of note are intriguing discoveries in the African context that cement the importance of African epistemologies. "There was a discovery of African system of astronomy, measurement and calculation of calendar, well developed pharmacopoeia, extensive principles underlying their social organisation" (Onunwa, 2010, p. 26). These became very important aspects in the understanding of African polities as "it is on these same principles that political and religious authority of the chiefs, religious leaders and elders rest" (Onunwa, 2010, p. 26). Having seen the African political economy's pre-colonial basis, a look at the contemporary situation will ensure a full understanding of the scenario.

### 3.4 Regionalism in contemporary Southern Africa and REPMS

A great deal of literature asserts that RI is desirable. Zwizwai (2007, p. 3) viewed RI as the force needed for sustainable development due to its capacity to promote growth, arrest poverty, enhance social development and work towards the protection of the environment. However, significant forces have been identified as limitations to the attainment of this desirable integration, which are over and above the challenges emanating from the colonial legacies discussed previously. States that intend to come together and integrate need to have a shared way of doing things, particularly when it comes to models of economic growth (Dosenrode, 2010, p. 15). These are some of the things that are lacking in SADC as will be explained forthwith as there have been continued low levels of trade within African regions (Barka, 2012, p. 2).

According to Poku (2001), in Southern Africa there is very high inclination towards the failure of economic arrangements at regional level, but at the same time there are more chances of stopping that occurrence of failure for the good of the region. This is because there are obstacles impeding the realisation of the region's transformation into a fully integrated one, however these are problems that countries can work on averting, thus the belief that the dangers are "reversible". Three such obstacles are: (a) an integration model that is not consistent with the region's demands; (b) the destabilisation

that comes from other member states like South Africa; and (c) the low levels of peace in some of the member states (Poku, 2001, p. 4). These same obstacles emerge in a variety of the literature as impediments to the adoption of other REPMS, such as the integrated management types of managing road entry points. However, before delving into explaining the obstacles, a presentation of the integration levels in Africa in general and SADC in particular will follow.

### 3.5 Levels of integration in SADC

The African Union (AU) recognises the existence of eight Regional Economic Communities (RECs) in Africa (United Nations Economic Commission for Africa, 2016, p. 12), namely: the Community of Sahel-Saharan States (CEN-SAD), the Common Market for Eastern and Southern Africa (COMESA), the East African Community (EAC), the Economic Community of Central African States (ECCAS), the Economic Community of West African States (ECOWAS), the Intergovernmental Authority on Development (IGAD), SADC and the Arab Maghreb Union (UMA). In terms of RI levels, the following table shows each RECs position based on the report produced by African Union Commission (AUC), the African Development Bank (AfDB) and the Economic Commission for Africa (ECA).

Table 3-1 Levels of RI across RECs in Africa

REC	Trade Integration	Regional Infrastructure	Productive Integration	Free movement of people	Financial and macroeconomic integration
CEN-SADC	0.353	0.251	0.247	0.479	0.524
COMESA	0.572	0.439	0.452	0.268	0.343
EAC	0.780	0.496	0.553	0.715	0.156
ECCAS	0.526	0.451	0.293	0.400	0.599
ECOWAS	0.442	0.426	0.265	0.800	0.611
IGAD	0.505	0.630	0.434	0.454	0.221
SADC	0.508	0.502	0.350	0.530	0.397
UMA	0.631	0.491	0.481	0.493	0.199
Average	0.540	0.461	0.384	0.517	0.381

*Scores are calculated on a scale of 0 (low) to 1 (high)*

Source: United Nations Economic Commission for Africa (2016, p. 16)

The above table shows that in Africa, “highest scores are on Trade integration with average REC scores of 0.540”, “lowest scores are on Financial and macroeconomic integration with average REC scores of 0.381”, “average REC scores are closest together on Regional infrastructure and Productive integration”, “average REC scores are furthest apart on Free movement of people and Financial



macroeconomic integration”, and “every REC has higher than average scores in one or more dimension” (Africa Regional Integration Index Report, 2016, p. 16).

Of interest to this study is particular are the scores for the SADC REC. From Table 3-1 above one can see that SADC’s trade integration is below average. Although the scores for the remaining dimensions are above average, they are on the weaker side of high as all are below 0.600.

To further expose the levels of RI, Table 3-2 below shows the standing of SADC members by country:

Table 3-2 SADC integration level scores by member

Overall classification		Dimension 1 Trade integration		Dimension 2 Regional Infrastructure		Rank
Category	Score	Category	Score	Category	Score	
South Africa	0.741	South Africa	1.000	Botswana	0.820	1
Botswana	0.559	Zambia	0.628	Seychelles	0.668	2
Namibia	0.555	Namibia	0.620	Namibia	0.666	3
Zambia	0.523	Botswana	0.611	South Africa	0.591	4
Swaziland	0.520	Swaziland	0.549	Swaziland	0.584	5
Zimbabwe	0.488	Lesotho	0.451	Mozambique	0.503	6
Mozambique	0.483	Mozambique	0.530	Malawi	0.466	7
Seychelles	0.481	Mauritius	0.513	Zimbabwe	0.456	8
Mauritius	0.466	Madagascar	0.499	Zambia	0.444	9
Lesotho	0.386	Malawi	0.491	Mauritius	0.444	10
Malawi	0.367	DRC	0.489	Angola	0.435	11
Tanzania	0.364	Angola	0.488	Tanzania	0.389	12
Madagascar	0.343	Tanzania	0.329	Madagascar	0.368	13
DRC	0.302	Seychelles	0.246	DRC	0.380	15
Angola	0.281	Zimbabwe	0.084	Lesotho	0.292	16
Average	0.457	Average	0.506	Average	0.502	

Key Red= <average, Blue = <50%, Black = >50%

Source: Adapted from United Nations Economic Commission for Africa (2016, p. 46).

The data in Table 3-2 show that in terms of overall classification of integration performance, a total of ten SADC members are performing below the 50% mark. Of these, six are below average. In this category the region’s average is also below 50%. In terms of trade integration seven countries are below average as well as below the 50% mark, while on regional infrastructure nine countries scored below average as well as below the 50% mark. Namibia and Swaziland show some consistency in their approaches as they maintained positions 3 and 5 respectively across all the measured indices. Malawi, Tanzania, Madagascar, the DRC and Angola are performing below average and below the 50% mark in all the measured indices. Zimbabwe is below the 50% mark in all the indices, although it is performing above average in the overall classification. South Africa, Botswana, Namibia,

Zambia and Swaziland scored above average and above the 50% mark in all indices, with South Africa scoring 100% in trade integration.

This information shows the low levels of RI in Africa in general and in SADC in particular. As such, the study will now present the factors that emerged from the literature as affecting RI in the SADC region.

### 3.6 Factors affecting regional integration

#### 3.6.1 Political factors affecting regional integration

##### 3.6.1.1 Pessimistic states' attitudes

Whilst the thrust of members is to have the SADC countries agreeing to harmonisation as a step towards the attainment of most of the regions' objectives, pessimism abounds. Trebilcock (1995, p. 132) confirmed this, arguing that harmonisation, while desirable, would be difficult to achieve in practice. There are fears that the harmonisation process would force standards down "to the lowest common denominator" (Trebilcock, 1995, p. 138). These fears also affect the choice and progress of REPMS. Several realist scholars have registered the same concerns regarding falling standards; however this is not a problem that is exclusive to Southern Africa.

"Important transformations happen to the nation state", argued Schirato and Webb (2003, p. 104), yet it is prudent to have at least an optimistic opinion about RI. Thinking that the harmonisation and integration of REPMS will, in fact, improve the standards of those below the average, i.e. considering the "highest common denominator" angle, can be healthier. Usually it is those who perceive themselves as better than others who try to guard their presumed high standards, however in this era of globalisation and associated interdependence, no country should be that inward looking and thinking. In fact, many scholars have argued that the opposite dynamic is highly likely, i.e. harmonisation will strengthen the weak rather than weaken the strong (Trebilcock, 1995, p. 138). The problem is that in reality, globalisation comes with its own challenges as it enhances the movement of people across borders and the flow of information. It can also lead to the proliferation of criminal and even terrorist tendencies (Polner, 2011, p. 50).

This brings back to the fore the issue of fairness. "Fairness refers to the propriety of distribution between burdens and benefits. Just outcomes are generally those that flow from fair processes" (Zampetti, 2006, p. 27). This implies that fair trade only occurs when things are done under equal conditions, thus it becomes critical to predefine those conditions. According to Jones (1991, p. 213), the issue of fairness presents an obstacle when "the costs and benefits of cooperation will be distributed unequally". This is because "experience has shown that without special preferential

measures favouring the less developed members of a group, the benefits of integration are likely to be concentrated in the more advanced countries” (Jones, 1991, p. 213). Since the levels of development are different in SADC countries, this impediment is imminent.

### 3.6.1.2 Intra-state peace deficiency

The absence of intra-state peace has also been identified as a constraint on RI efforts in Southern Africa. Poku (2001, p. 83) asserted that the problem can be traced back to weak political integration, the capacity of the conflicts to spread to other states, and the role of outside players in SADC problems. A lack of political cohesion is a key hindrance in that it is political will that informs the country’s actions. Integration projects fail to materialise due to an absence, at the national level, of the political will and competence necessary to implement proposals (Peteris, 2013, p. 7). The issue of lack of political will was also tackled by Kieck and Maur (2011, p. 245), who asserted that despite the promises of RI, political unwillingness is rife. They also traced the causes to the issue of state sovereignty, saying that “tensions between regional and national interests force national governments and their stakeholders to weigh the perceived loss of sovereignty against the benefits of regional cooperation” (Kieck and Maur, 2011, p. 245). According to Brannon (2009, p. 21), “threats to state security may derive from international and external sources and should link directly to the interests that are threatened”. The waning of political will translate to the loss of motivation, which affects even the REPMS because countries have inconsistent political ambitions.

The issue of spill-over of civil conflicts cannot be overemphasised; people are wary about how these will be contained, not only on their borders but also at the formal entry points into different countries, and REPMS policies can be affected by the lack of alternative security measures in developing countries. Trebilcock (1995, p. 387) asserted that in countries with weakly developed regulatory and legal systems, border controls maybe among the few effective ways of addressing some environmental hazards through monitoring the importation of potential pollutants. This means that countries may see some benefits in their way of managing entry-points, despite the NTBs this presents. If entry points are the only viable ways to control environmental hazards, then countries may not readily appreciate the adoption of newer REPMS.

Perceptions regarding the value of peace are also a limitation to RI. In Southern Africa, according to Poku (2001, p. 83), it is clear that to some parties within the member states war is more desirable than peace. This conclusion was derived from the fact that it might be the rationale as to why Savimbi continued with the war in Angola. This case from a SADC group member helps us to understand how people perceive war. Jonas Malheiro Savimbi was an Angolan politician who led

one of the active parties within the country (Brittanica n.d.), which fought, alongside others, for Angola's independence. However, after gaining independence Savimbi's party continued to fight the government. This left Angola in a protracted civil war for years until 2002 when he died. Most scholars attribute Savimbi's perpetual fighting to, among other reasons, the financing that he was getting from outside powers. This is taken as evidence that there are some who might see more gains accruing from war than peace.

As these negative perceptions of peace manifest in the region, so do negative perceptions about any peace-related initiatives. REPMS require harmony, so the presence of people who perceive peace negatively means hurdles when trying to establish a peace-related apparatus in the form of REPMS. Those who do not desire stability will continue to disrupt the efforts of those who do, or just shift the goal posts as and when it suits them.

### 3.6.1.3 Traditional perceptions of security

Another challenge is rooted in the traditional perception of security. According to Poku (2001, p. 109), the Cold War interpretation of security revolved predominantly around military security, which took countries into the realists' realm. This means that states concentrated on perfecting their fighting capabilities in anticipation of war (Poku, 2001, p. 109), which caused other countries to be suspicious. However, the contemporary perceptions of the holistic approach to security need to be embraced, as this will ensure that all the facets of human survival are guarded and provided for.

Nevertheless, Wyllie (2008, p. 78) asserted that things keep changing; what we call holistic and complete today, may not be so tomorrow. For this reason, states find it difficult to effectively define security or even establish security levels within their own states (Wyllie, 2008, p. 75). In this modern world there is a need to set out new security definitions and targets that include, among other things, economic considerations.

There are two sides to the security "coin"; things that make one state or person secure can make the next state or person insecure (Wyllie, 2008, p. 75), which complicates policy makers' positions. One's perceptions usually inform one's actions - if a state takes a certain measure as a threat to security, it becomes very difficult to reconcile it with those who take it as not being a threat. It is difficult to identify and measure all the variables that are relevant to the assessment of national security (Wyllie, 2008, p. 76).

### 3.6.1.4 The terrorism threat to peace and REPMS

The growth in terror attacks has changed many states' perceptions of entry points, borders, security and international politics, which has direct implications on the movement of people and goods across borders. Following the attacks of 11 September on the United States of America (USA) its government imposed dramatic measures, culminating in the Patriotic Act (Cameron, 2005, p. 134). This had the purpose of protecting the country's transportation systems, borders and facilities overseas, among other things. This was done regardless of the implications it had on economic growth; in fact, the administrators saw economic growth as the price that had to be paid if the country was to be secure.

This was met with criticism from employers who felt the impact as the movement of people and cargo into and out of the country were subject to lengthy delays; these security barriers replaced the trade policy barriers of the past. Delays become endemic on the USA-Mexico and USA-Canada borders (Hufbauer and Schott, 2005, p. 17), negatively impacting industries in Ontario, amongst others, and making that city increasingly uncompetitive (Hufbauer and Schott, 2005, p. 28). These border delays, as per much of the literature, "add to cross-border transportation costs, increased turnaround times at assembly plants and worsened border pollution as older drayage trucks idle in lines to clear customs" (Hufbauer and Schott, 2005, p. 28).

This goes to show how terrorism presents a dilemma for countries as they try to ensure state security on one hand, while regulating the movement of people on the other. Terrorism is an asymmetric and unconventional form of warfare, in that it makes use of unpredictable violence in an unequal manner (Matusitz, 2013, p. 5); this makes it difficult to differentiate terrorists from the rest of the crowd. According to Cameron (2005, p. 145), the thrust put in place to overcome terrorism is countered by the developments associated with globalisation, which include the opening of borders and increased trading. This also creates sceptical views towards economic infrastructure like REPMS. Cameron (2005, p. 197) also asserted that "the evolving international economic infrastructure would make countries susceptible to security threats. Borders will be more porous and the sovereignty of states will come under more pressure".

Another problem with terrorism is the definitional paradox; countries, organisations and stakeholders are failing to agree on how to define terrorism. Studies have found more than 200 definitions of terrorism (Matusitz, 2013, p. 2); however the best definition seems to be the "use of violence to create fear (i.e. terror, psychic fear) for (1) political, (2) religious, or (3) ideological reasons (ideologies are systems of belief derived from worldviews that frame human social and political conditions). The terror is intentionally aimed at non-combatant targets (i.e. civilians or iconic

symbols), and the objective is to achieve the greatest attainable publicity for a group, cause, or individual” (Matusitz, 2013, p. 4). This definition sums up a lot of critical aspects; the type of violence here is not specified. Any violence, be it political, religious or ideological, falls under the ambit of violence. The other very crucial part of this definition is the aspect of intention. Here the violence is intentional or well thought of and directed at non-combatant targets, who are people who will not be taking part in the fighting and have nothing to protect themselves and cannot retaliate.

### 3.6.2 Economic factors

#### 3.6.2.1 Divergent patterns of industrialisation

There is evidence of divergent patterns of industrialisation in Africa, and more so in SADC. When compared to other regions, Africa tops the list in harbouring the most divergent of all industrialisation patterns (Poku, 2001). This affects individual countries’ participation in intra-group projects. REPMS cannot be spared from this invariability in industrialisation paths and subsequent interest in group projects. However, the advice offered by Trebilcock (1995, p. 132) in this regard is that where valid reasons for differences exist, governments should seek the harmonisation of policies. In southern Africa very few reasons can be presented against harmonisation as valid; this is a region with a shared colonial history and legacies, which is highly interdependent.

The varied industrialisation patterns can also be traced back to the gaps that exist in capacities and skills, which could be due to countries’ levels of education and financial strength. “Such gaps delay implementation and frustrate progresses” (Kieck and Maur, 2011, p. 246). The issue of human capital is crucial for the success of any policy, as differing levels of literacy and human capital capabilities can slow down the pace and level of cooperation. However, these skills and knowledge disparities are the essence and rationale for RI; if manipulated well, the weaknesses in one system can be neutralised by the strengths in another.

The other problem emerging from unbalanced industrialisation is the issue of subsequent gains accruing to individual countries for any arrangements put in place, as this leads to disproportionate benefits (Poku, 2001). This means that when looking at gains accruing to member countries, the scenario will be such that some countries get more than others. Industrially advanced countries stand to benefit more than their counterparts, which affects how countries perceive any efforts to integrate. This can also be seen as a hindrance to the adoption of different REPMS. As long as states are suspicious of disproportionate benefits they are bound to be cynical of contemporary REPMS, thus there is a need to address this view of gains. According to Poku (2001), RI will not materialise in developing countries if action is not taken to address the issue of gains that accrue differently to

member countries. This shows the issue of state sovereignty also coming up. State sovereignty issues arise when states start to be concerned about what will become of their integrity in the event that the gains accruing to them will be different from those other countries will presumably gain.

This eventually leads to the ‘go it alone strategy’, which according to Jones (1991, p. 214), “many developing countries seem to prefer”. Jones traced the problems back to the colonial period, when “integration was forced on diverse neighbours by their European masters, such as the French-imposed West African Customs Union (WACU). Britain established a common market, a common currency and a common railway and other services in the East African colonies of Kenya, Uganda and Tanganyika” (Jones, 1991, p. 214). However, most of these are no longer in existence, with some being dismantled as African states gained independence. Despite this, the line of trade for developing countries have remained in the “go-it-alone” sphere, with states preferring to choose their own way of doing it, not the African way. “The lines of commerce and communication from most developing nations, thus, flow not to their neighbours but to the nations of the centre, like spokes to a hub” (Jones, 1991, p. 214).

### 3.6.2.2 Inadequacy in complementarities

There is also a complexity emanating from a lack of complementarities, which especially affects the REPMS under investigation in this thesis. According to Jones (1991, p. 213), this is when “the economic systems of neighbouring states may have a limited potential for integration” due to an array of factors. Sometimes the countries might have different cultures and languages as a result of colonial legacies. These “non-complementarities of developing economies explains their tendency to concentrate the volume of trade on distant, more advanced partners rather than on their neighbours” (Jones, 1991, p. 213).

The literature is replete with such trade policies, which reflect how developing countries can prefer distant partners to their neighbours. One such arrangement is the Brazil, Russia, India, China and South Africa (BRICS) trade partnership. “The group is not a natural, historical, cultural, political or linguistic construct. It is entirely an economic concept,” (Beausang, 2012, p. 2). This means that it is founded on things that are completely different from those guiding most groupings the world over. In Africa, for example, most groupings are regional, i.e. they are bound together by geographical and historical links. Such groupings are more “natural”. When a country like South Africa chooses to join such an ‘economic’ grouping, people start to question their sincerity to other groupings in their regions, such as SADC. This can be taken as a sign of preferring to work with distant partners than immediate neighbours. States also fear “backwash effects”. According to Poku (2001), this is when those states that get more than others in the group benefit and at the same time disadvantage the

weaker economies. Once this pessimism informs countries' ways of rationalising, then implementing REPMS becomes even more challenging. As countries share borders with neighbours who are more or less developed than them, this fear becomes inevitable. This comes from the realisation that countries in SADC share borders and there is one economically dominant partner in the group - South Africa (Holden, 2001, p. 155).

### 3.6.2.3 Trade restricting regulatory policies and democratic liberties challenges

Regulatory options that are less restrictive towards trade may be available in developed countries with sophisticated regulatory systems, but may not be available in developing countries (Trebilcock, 1995, p. 490), thus they rely heavily on border controls or inspections. There is a need to look into these alternative measures and carry out a cost-benefit analysis before dismissing developing countries as not able to implement or access them. Once losses accruing from the use of different REPMS are compiled, it becomes easy to present the case to the developing countries. They can then choose and make informed policy adjustments and adoptions accordingly.

Besides security, another factor that limits integration efforts is the issue of democratic liberties. When looking at integration, there should be an appreciation that it brings along some democratic liberties, however "democratic liberties can lead to increases in crime" (Marquette, 2003, p. 60). This happens, presumably, as the states lose the ability to use their coercive power. Implementing these measures has allegedly led to increased crime levels in several countries, including South Africa, Bulgaria, Russia and Jamaica.

## 3.6.3 Legal factors affecting regional integration

### 3.6.3.1 A plethora of regional arrangements

There are many RI arrangements within the SSA that have some common characteristics but differing tariff schedules (Behar and Edward, 2011, p. 13), which complicates integration efforts (Peteris, 2013, p. 7). Mozambique is the only SADC member state that is not affiliated to any other regional organisation (Peteris, 2013, p. 7). This dilemma of having many RI arrangements extends to other areas such as infrastructure, as different harmonisation paths will be pursued (Kritzer-van Niekerk and Moreira, 2002, p. 3). The resultant weak infrastructure set-up pushes up the transportation costs in the region while reducing interconnectivity. This will eventually lead to very high administrative costs, as the governance systems of countries in the region are too weak to monitor and curb such things (Peteris, 2013, p. 7).



The multiplicity of groupings with overlapping membership in Southern Africa is vast. The dominant groups drawing members from the same Southern Africa countries are the ‘Southern Africa Customs Union (SACU), the Common Monetary Area (CMA), the SADC, and the Cross-Border Initiative’ (CBI) (Holden, 2001, p. 152). According to Kassee (2014, p. 106), this overlap had a hand in the failure of the SADC Regional Transit Bond Guarantee, which had been put in place to aid transit issues.

Table 3-3 shows the membership overlaps. Some of the regional groupings in Africa are listed in the columns whilst the countries are listed in the rows. A star against each country’s row represents its membership in the grouping in the corresponding column.

Table 3-3 Select African regional groupings overlap

Country Name	Affiliate groupings						
	COMESA	SADC	EAC	IOC	SACU	CBI	CMA
Angola		*					
Botswana		*			*		
Burundi	*	*	*			*	
Comoros	*			*		*	
Djibouti	*						
DRC	*	*					
Egypt	*						
Eritrea	*						
Ethiopia	*						
Kenya	*		*			*	
Lesotho		*			*		*
Libya	*						
Madagascar	*	*		*		*	
Malawi	*	*				*	
Mauritius	*	*		*		*	
Mozambique		*					
Namibia		*			*	*	*
Rwanda	*		*			*	

Seychelles	*	*		*		*	
South Africa		*			*		*
South Sudan			*				
Sudan	*						
Swaziland	*	*			*	*	*
Tanzania		*	*			*	
Uganda	*		*			*	
Zambia	*	*				*	
Zimbabwe	*	*				*	
Total membership	19	15	6	4	5	14	4

Source: Kritzer van Niekerk and Moreira (2002)

The numbers and varying aims of the regional arrangements in Africa erode the gains that they are supposed to create, because the policies become contradictory thus eliminating any chances of creating anything of worth economically (Sharer, 1999, p. 1-2). The overlapping membership also affects countries' loyalties. From Table 3.3 above, it can be seen that Angola, South Sudan, Sudan, Djibouti, Egypt, Eritrea, Ethiopia, Libya and Mozambique belong to only one of the seven listed regional groups, however, Botswana, Burundi, Comoros, the DRC, Kenya, Lesotho, Madagascar, Malawi, Mauritius, Namibia, Rwanda, Seychelles, South Africa, Swaziland, Tanzania, Uganda, Zambia and Zimbabwe are affiliated to more than one of these regional groups. Of these, Burundi, Madagascar, Mauritius, Namibia and Seychelles belong to four different groups. To cap it all, Swaziland belongs to five of these seven listed groups. In terms of membership, COMESA boasts the highest number at 19, followed by SADC with 15 members. The IOC has the least members at only four. This means that of these listed groupings; COMESA is the most popular followed by SADC. The issue of having these overlapping memberships makes the handling of goods difficult in international trade (Holden, 2001, p. 155). In the same vein, Barka (2012, p. 1) asserted that these regional groupings have not made an impact because they have not made enough impact in all the spheres that was expected of them.

### 3.6.4 Historical factors

#### 3.6.4.1 Colonisation and its legacies

REPMSs in Southern Africa cannot be dealt with without unravelling the colonisation factor and its legacies. Colonial legacies entail all that the colonial system left behind in the system of a previously colonised state, which continue to manifest in the operations of the present day post-colonial states (Alemazung, 2010, p. 64). This means that issues have been passed on from the former colonisers to the independent states, which affect the political, economic, social, technological, legal and environmental aspects of the newly independent state.

“Africa took over the colonial heritage of political and economic ‘balkanisation’ which overlapped traditional interdependence in trade and cooperation”(Kiel, 1977, p. 257). Southern Africa, like the rest of Africa and other previously colonised parts of the world, has borders inherited from the colonisers. This follows the *uti possidentis juris* principle of international law, which seeks to ensure that “the principle of the territorial integrity of states is well established and is protected by a series of consequential rules prohibiting interference”(Shaw, 2008, p. 522). “It is more accurately reflected in the practice of African states, explicitly stated in a resolution of the Organisation of African Unity (OAU) in 1964, which declared that colonial frontiers existing as at the date of independence constituted a tangible reality and that all member states pledged themselves to respect such borders”(Shaw, 2008, p. 526). The basic dictates of the *uti possidentis juris* principle are that countries inherit borders as they are, and no border alterations are permissible at independence. The aim of this principle was to safeguard and maintain the independence that had come to African states in those inherited borders, as it was assumed that seeking to have the borders redrawn would cause more problems (Shaw, 2008, p. 526-527).

As such, Africa has inherited borders as drawn by the former colonisers. These are borders that were set out by Europeans with very little knowledge of the African continent in terms of its geographic and population makeup (Michalopoulos and Papaioannou, 2011, p. 1). The motives for the drawing of the borders were varied, but the basic rationale was the convenience of the colonisers.

Thomson (2004, p. 14) asserted that “many borders in Africa do not make economic sense”, when one considers how the borders disrupted the lines of communication and trade routes that existed before colonisation. These inherited borders created long term problems for the African states. “Decisions made in the capitals of Europe in the late eighteenth century, for example, have resulted in 15 African countries being landlocked”(Thomson, 2004, p. 14), i.e. Burkina Faso, Botswana, Burundi, Central Africa Republic, Chad, Ethiopia, Lesotho, Mali, Niger, Rwanda, South Sudan,

Swaziland, Uganda, Zambia and Zimbabwe. These are the “malicious long-lasting consequences” of the Berlin conference (Michalopoulos and Papaioannou, 2011, p. 1). To make matters worse, most of these landlocked countries are in the SADC Regional Economic Community (REC) (Kassee, 2014, p. 106), so they suffer the most when it comes to regional market failure because they are too dependent on their neighbours when it comes to transit issues (Kieck and Maur, 2011, p. 235).

This puts such states at a disadvantage in terms of trade, as they have to rely on the mercy of their “neighbours” willingness and ability to transport the bulk of their imports and exports’ (Thomson, 2004, p. 14). The African continent has the highest number of landlocked countries (Thomson, 2004, p. 1). According to Kassee (2014, p. 106), landlocked countries rely on moving their cargo across other countries for them to get to the markets. Zimbabwe, for example, accesses the Indian Ocean through South Africa or Mozambique. To get access to the Atlantic Ocean it has to go through Namibia via Botswana.

As a matter of emphasis, when it comes to trade, countries that do not have coastal borders depend more on other countries to get their goods into the market as well as receive goods for their use (Keane et al., 2010, p. 11). This means that these landlocked countries get a double blow when it comes to REPMS; once they think of exporting goods using the sea, they have to get through a border before getting them there, and the same applies when importing.

As if being landlocked was not a problem enough, the situation has worsened due to the failure of the instruments put in place to assist these countries. Kassee (2014, p. 106) claimed that the SADC Customs Audit that was carried out in 2011 showed that members are not implementing the SADC Regional Transit Management System.

In addition, the cost of shipping goods is more in SSA than in other regions, which contributes to the inability of goods from the region to compete effectively with goods from other regions (Hewitt and Gillson, 2003, p. 76). This problem has also been seen as more pronounced in landlocked countries; in countries without coastal borders it cost 50% more to transport goods, which is not directly associated to the distance by road that the goods travel (Hewitt and Gillson, 2003, p. 76). “It costs about US\$8,000 to ship a 20ft container from Durban to Lusaka and takes about 10-15 days – compare that to US\$1,500 to ship the same container from Japan to Durban” (Chaitezvi, 2011, p. 1). Such disparities in costs when comparing sea and land transport show how the landlocked countries have been put at a disadvantage. This means that “countries with better logistics can grow faster, become more competitive, and increase their trade investments” (Mustra, 2011, p. 24). This further justifies the need to invest in the study towards better understanding the REPMS existing in the

region and the world over. It is from this understanding that countries and regions can improve their logistics for growth.

In a study in Uganda, it was established that poor infrastructure can increase trade costs, especially for landlocked countries (Milner, Morrissey and Rudaheeranwa, 2000, p. 68). In that study the authors noted that “importers and exporters in Uganda will face higher transport costs than, for example, competitors in Kenya simply because they have to transport goods further to get to ports to ship goods overseas”(Milner, Morrissey and Rudaheeranwa, 2000, p. 68). This means that this cost is emanating not from the real transportation, but from elsewhere. “Trade costs consist of transportation costs— freight costs, time costs, and policy barriers—plus tariffs and nontariff costs, information costs, contract enforcement costs, costs associated with the use of different currencies, legal and regulatory costs, and local distribution costs” (Li, McLinden and Wilson, 2011,p. 81), i.e. the transportation costs are building onto the trade costs and pushing them up.

Having gone through colonisation, the way African states venerate sovereignty must be seen as a colonial legacy. Sovereignty “denotes absolute power. It is normally associated with the unlimited power of the state, so that some argue that states can only be identified through their sovereignty” (Hoffman, 2007, p. 171-172). This is why there is a clear absence of total commitment to RI projects, as well as a serious refusal by states to entrust their sovereignty to regional arrangements (Peteris, 2013, p. 7). This perception of sovereignty has led African countries to be extremely cautious when dealing with other countries, which can have a negative impact on RI efforts. In such a scenario it will serve to derail REPMS deliberations.

There is also a phenomenon called “the ‘us vs. them’ security tendency”, which is “usually captured in the nationalism logic” (Buzan and Hansen, 2007, p. 81). This is closely associated with colonialism and as such taken herein as a colonial legacy. This is when a state has serious links to war and thinks of the international arena as filled with detestation. It also introduces the tendency of perceiving threats as coming from outside, which prevents states from thinking of themselves as part of the problem and the solution as they continuously direct attention away from themselves.

A study by Nunn (2007) linked Africa’s underdevelopment with colonial rule and the slave trade, while several other studies affirm that “a country’s colonial heritage and the identity of the coloniser are important determinants of subsequent economic growth” (Nunn, 2007, p. 158). Currently African countries are yet to identify each other as individuals that linked to their former colonial masters. This can be traced to the way African countries were incorporated into the international system, because “Africa further inherited a colonial pattern of integration and cooperation schemes. In

economic terms, this pattern mainly consisted of monetary and customs unions which were continued after gaining independence” (Kiel, 1977, p. 257). Thus, the pre-colonial life of the African states was transformed significantly due to the policies used by the colonisers (Alemazung, 2010, p. 63). This transformation was championed by the Assimilation Policy that was implemented with the aim to change the African peoples’ ways. This assimilation for countries like France meant that the African people from their colonies were changed into French nationals in every aspect with the exception of their skin colour (Alemazung, 2010, p. 63). Through this process the Africans would let go of their ways for those of the colonisers. The Africans were transformed such that their mind and way of doing things replicated that of the people in the coloniser’s country (Alemazung, 2010, p. 63). In contemporary lives, this eventually makes it easier and more convenient for the African people to identify more with their former colonisers than fellow Africans.

The level of trade between developing and developed countries is more than between developing countries (Hanson, 2010, p. 10). Although the levels of African trade have increased, they are more with the developed countries than among African countries themselves (Barka, 2012, p. 3). This finding can only be linked to colonial legacies, i.e. the countries continue to have systems and structures that favour trading with their erstwhile colonisers. As explained in the foregoing paragraph, these problems are engrained into the African system. In SADC the member countries use the former colonisers’ official languages. This complicates trade, for example Zimbabwe and Mozambique are neighbours sharing borders, but use British English and Portuguese as official languages respectively. This explains why it would be easier for Mozambique to trade with Portugal than Zimbabwe. This language and business feasibility barricade can also affect the sincerity of states when it comes to REPMS.

The colonisation era had its out of the ordinary occurrences which even impact present day politics in SADC. This can best be understood in the context of Namibia’s history. The country known as Namibia today first underwent colonisation by Germany in 1884 and existed as a German colony for 31 years (Amoo and Skeffers, 2006, p. 17). The era of interest to this study is from 1915, when Namibia left German rule and immediately fell under South Africa’s control (Amoo and Skeffers, 2006, 17). South Africa ruled Namibia for 75 years (Hengari and Saunders, 2014, p. 169), during which time life in Namibia was no different to under their German colonisers. In fact, when Namibia was under South Africa’s control its people suffered serious human rights abuses (Amoo and Skeffers, 2006, p. 17). Thus, even after Namibia gained its independence, it “has viewed democratic South Africa since 1994 as the centrepiece of its economic diplomacy, yet has continued to be uneasy about its relations with its bigger neighbour” (Hengari and Saunders, 2014, p. 170). As such,

the high politics of Namibia after attaining her independence towards South Africa is with mixed feelings (Hengari and Saunders, 2014, p. 170). Now that these countries are both members of SADC, it brings mixed views to relationships and politics. States have always viewed each other with caution in the international system (Wyllie, 2008, p. 75), and such distrust and suspicion cannot be ruled out in SADC politics.

Even after the fall of apartheid, a lot of perceptions have not changed. States view the borders that South Africa has maintained as influencing the movement of goods in the region. 'It assumes therefore that states in the region exercise a closed, and a close, control over their sovereign affairs and, as they interact with their neighbours, they maximise their respective "national interests" (Vale, 2001, p. 19).

Due to their different colonial histories, countries also have different political cultures. Work on political culture has been well articulated by Almond and Verba (1989). Political culture is defined as those societal aspects that influence behaviour towards the political process (Encyclopedia.com n.d.). It is the coming together of the underlying thoughts and choices that affect control and power (Encyclopedia.com n.d.). There are several dimensions of culture that can be identified in the literature, and the way peoples' political, religious, educational and business culture, amongst others, differs, is the way the deliverables differ. Culture does not remain the same forever; it changes as people get socialisation for different angles (Dosenrode, 2010, p. 18). This means that common beliefs are built over years, and that "national differences in the patterns of business culture have a real impact on national differences in economic competencies" (Hanson, 2010, p. 17-18). As such, when looking at trade barriers there is a need to include an analysis of cultural differences.

However, having looked at some colonial legacies in Africa as a whole and Southern Africa as a region, many positive developments came out of these pressures. One of the strategies to bolster the pressures from the colonial legacies was enunciated in the position taken by Southern African states against apartheid South Africa. Finding ways to weaken colonial effects has been the spirit behind the formation of the then OAU and several regional arrangements in Africa.

### 3.6.5 Social factors affecting regional integration

#### 3.6.5.1 Change management and REPMS

Change is a topic that has been widely researched, especially in business management fields. It is also another critical topic in politics and administration, particularly when looking at periods when countries move from one regime to another. A change of regime brings a lot of associated changes in

such things as the political systems, ideology and culture, to name a few. In looking at the current REPMS study, it is inevitable to look into issues to do with change, as countries already have systems that they are currently using. It is these systems that present some of the challenges emerging in the literature, as change affects how countries make decisions and receive new ideas.

“The functionalist argument about change, and –more specifically- change at international level, is a complex one which includes all three levels of analyses” (Cooper, 1989, p. 548). The functionalist theory is one of the theories underlying and informing this thesis. These three levels are “the attitudes and loyalties of persons are expected to be refocused, the goals and capacities of states altered, and the structure and modus operandi of the international system transformed” (Cooper, 1989, p. 548). These are things that have to happen if integration as prescribed in the “piecemeal” strategy is to be successful. The “piecemeal” strategy prescribes how states can get integrated, starting with cooperating at simple levels and gradually moving to complex levels. As such, this requires a change in the aspects identified above.

“Most of us are averse to change” (Brown, 2002, p. 1), which means that we are not readily, open to change and at times not even interested in starting the topic. This is when people prefer maintaining the *status quo*, i.e. doing things as they have always been done. Unfortunately, the universe is ever changing although the paces may differ from hemisphere to hemisphere or place to place (Brown, 2002, p. 1). This applies to individuals, countries and organisations.

Brown (2002, p. 1) asserted that there are times when change is really needed, but due to our intrinsic fears we develop an inherent resistance. Resistance is usually passive (Jenkins and McLinden, 2011, p. 20) and can go unnoticed for a greater part of the change process, with those driving the change assuming that everything is on course. There will be conflicting desires among different stakeholders; change initiatives often fail because of the initiator’s failure to take note of existing conflicts, such that the change that comes will not produce the optimal results as anticipated (Brown, 2002, p. 2).

When looking at REPMS, change must be studied with an eye on making decisions to move from one system to another. In the event that countries choose to adopt coordinated systems, a lot of work on change comes into play. The systems, however, are bound to bring along new systems, which will see the loss of power within some circles such that to protect their interests those anticipating a loss of power will use any means to derail the system (Jain, 2012, p. 70). When efforts are sabotaged then governments will find themselves moving in circles and not making any meaningful progress. As



such, change can only occur when the government is fully and consistently pushing and supporting it (Jain, 2012, p. 70).

### 3.6.5.2 Cooperation in international system and REPMS

Thinking of revolutionising the existing REPMS in SADC will not be complete without looking at the principles and guidelines behind international cooperation. Cooperation comes with specific demands that separate institutions must be harmonious. This harmony happens as a process is put in place that ensures policies properly synchronised (Galbreath, 2008, p. 122). This means that parties must be prepared to change their behaviour in recognition of the other parties.

There are several problems faced by governments that require group efforts to overcome them (Saunders, 2005, p. 4). These range from political to economic, social, technological, legal and environmental issues. Within states problems emanate even as the state interacts with its citizens. Outside a country's borders the problems are also varied, although anticipated, due to the complexity of international relations.

There is a lot that goes into how states move from one level to another in international cooperation. Even though at times international cooperation occurs in "big bangs", the typical is incremental advancement (Abbot and Snidal, 2004, p. 50) when cooperation advances through one level to the other. This can take place bilaterally and multilaterally. "These incremental processes can be understood in terms of movement along three important dimensions of cooperation: substantive content, participation and legalisation" (Abbot and Snidal, 2004, p. 51). In this REPMS thesis the approaches to international cooperation are of keen interest. The upcoming chapter will look into this, detailing the neo-functionalist and modernist approaches to RI. An understanding of the available options towards regionalism will better empower policymakers embarking on these REPMS implementations.

The operations of the international system are sometimes based on principles that contradict the normal ethical dictates of cooperation (Galbreath, 2008, p. 122). In the international systems, states can be found cooperating for very contradictory reasons. It is also possible that states with a lot in common can fail to cooperate due to other reasons best known to their policy makers; therefore it is not surprising to have problems when it comes to REPMS cooperation. "Gaining genuine commitment to border management reform therefore presents significant hurdles. To secure the necessary political and administrative support for major modernisation, a well-considered and

carefully argued business case—including a robust cost-benefit analysis—must be prepared and sold to key stakeholders” (Li et al., 2011, p. 79).

Trust is crucial for the sustainability of cooperation (Galbreath, 2008, p. 122) as most things happen on the basis of reciprocity; if one state extends a favour to another state, which favour ought to be returned without being demanded. A state must be able to trust that whatever another state does is in the interest of all and is being done in good faith.

“There are uncertainties that actors commonly face regarding the nature of particular issues, the nature and capabilities of potential co-operators, and political reactions at home and abroad” (Abbot and Snidal, 2004, p. 51). These tend to affect how the states will progress in their cooperation efforts. In selling their gradual cooperation idea, Abbot and Snidal (2004, p. 51) identified some “stylised gradual processes”:

- Allow states to limit their commitments at any point in time to the level of cooperation they find appropriate given their uncertainty.
- Provide states with opportunities to resolve these uncertainties and undertake greater (joint) cooperative commitments as they are ready to do so.

Each of these paths has its merits and demerits, both of which vary from stakeholder to stakeholder, including states. “Domestic agencies, International Governmental Organisations (IGOs) and Non-Governmental Organisations (NGOs)” are set to benefit from the different pathways (Abbot and Snidal, 2004, p. 51). These benefits, however, are conditional on the presence of other enabling arrangements. Of utmost importance to the realisation of the working together are the prevailing institutions.

The essence of cooperation in international relations is premised on the fact that there are collective or common goals, i.e. the goals are attainable only when parties cooperate sincerely (Galbreath, 2008, p. 123). Examples of this are riparian states, i.e. states that share trans-boundary water sources (Madani, Zarezadeh and Morid, 2014, p. 305). The fact that they share a water source means they have to work out something together for the good of all. “Conflicts are integral to managing trans-boundary rivers due to the externalities associated with growing demand and development in riparian states” (Madani et al., 2014, p. 305). What happens upstream will have an impact on downstream states, and vice versa. This is in line with Jones’ (1991, p. 214) advice that “integration requires a sacrifice of unrestricted autonomy in favour of joint decision making, and this in turn requires mutual trust and a willingness to accept a shared fate”.

Cooperation follows a chain that entails the development of what eventually becomes the characteristic of integration. At the advanced level of integration it is difficult for one country to attempt doing things on its own, as all the facets will be intertwined at the multilateral level; countries will start by removing barriers to trade, expand their trade and then move to interdependence (Panic, 2011, p. 144).

In essence, according to Galbreath (2008, p. 124), states will let go of parts of their sovereignty if they anticipate gains from the group's pursuits, for example peace. Most states are strained in terms of resources when faced with problems, such that they see the need to come together with others to bolster their capacities so that no other state or organisation will be able to counter them (Galbreath, 2008, p. 124).

In any cooperation at the international level, the behaviour of the involved states remains of utmost importance. Abbot and Snidal (2004, p. 51) observed that "an international agreement is only effective when it alters the behaviour of participant states in ways that affect outcomes". For the behaviour to be altered there are three pre-requisites:

- The agreement includes some substantive content governing the area of behaviour that needs to be modified.
- The agreement includes participation by at least some states whose behaviour is consequential for the issue at hand.
- The participating states feel compelled to change some aspect of their behaviour because of the agreement.

The "absence of any of these conditions renders an agreement virtually meaningless" (Abbot and Snidal, 2004, p. 52), and any uncertainty stands as a stumbling block in states' quest for cooperation. States usually find it difficult to enter into legal arrangements due to this bleakness of conditions regarding what the future holds. States may have difficulties understanding the problem that is leading to the cooperation, let alone have the ability to ascertain its magnitude, which makes it difficult for them to make a sound cost-benefit analysis. States will not move to cooperation as a solution in that case, because in the absence of understanding the costs and benefits, there is no motivation to take a risk.

States are also cynical about their capacities. "They may not be sure they will be able to carry out particular commitments – for example, whether they will face serious domestic political opposition –

and they may doubt whether other actors will perform on their commitments” (Abbot and Snidal, 2004, p. 62). The fact that states are not sure of the other party’s sincerity worsens the situation. “Commitments may be trivial and involve doing things that are clearly in one’s interest to do”(Gaubatz, 2007, p. 45), while some commitments bind the state to take some set of actions as an international actor that do not look to be in its narrow self-interest. There is no way really to establish whether the other party will sincerely fulfil its obligations. “In circumstances like these, actors will be reluctant to bind themselves too tightly to particular solutions and will seek greater flexibility while they learn about the issue” (Abbot and Snidal, 2004, p. 62).

The bottom-line on cooperation is to find a way to make things happen, yet the challenge lies in the ability to find better ways to maintain relationships among the politicking bodies (Saunders, 2005, p. 4). At the same time, “the challenge is to develop, enrich, and sustain the relationships needed to deal with problems that no one group, government, or country can deal with alone and to overcome differences—often violently expressed—that would undercut their efforts” (Saunders, 2005, p. 4). The issue of sustaining these relationships is of utmost importance, because that is the lifeline for the continuity and survival of the arrangement.

### 3.7 Peace, security and state sovereignty as factors in REPMS

The talk about REPMS cannot be divorced from the peace and security concerns of the region. “National security strategy incorporates ends (goals and objectives), means (instruments), and ways (methods) as efficiently as possible in an effort to maximise resources and optimise results” (Brannon, 2009, p. 22). This in turn incorporates every facet of the country and entry-points cannot be spared.

“Nowadays there is need for authorities at entry points to be aware of what goods are heading towards their stations” because of two main reasons (Pugliatti, 2011, p. 4):

- The duty is placed in the hands of the people in charge of customs officials in trade facilitation through their speedy operations at the ports of exit and entry.
- The requirement that they establish a way of studying and understanding goods heading towards their ports of entry so that they can effectively search out undesirable elements.

Entry points can be the source of regional security problems on one hand, or a tool to bring regional peace on the other. One of the main culprits on how people perceive entry-points are regional wars, which have very diverse effects on economic growth (Pelaez and Pelaez, 2008, p. 48). The Southern African region is marred with a history of wars, however currently the

environment is relatively better than in the past (Poku, 2001). This comes as a positive development that must be utilised to further the facilitation of movements of goods and people through revolutionising REPMS.

Private players are also interested in REPMS and border-related issues, as they worry about supply chain security; there is a fear and scepticism regarding some of the measures adopted by governments. There is a general aversion to the conventional way of managing the movement of goods based on the fear that those seeking to subvert authorities and governments can penetrate those channels (Grainger, 2011, p. 66). Here the main concern is regarding terrorism, which has made it valid to demand that governments collaborate with the business sector in order to arrive at sound border control regimes.

Those against the role of integration have also presented their reservations when issues to do with state sovereignty are raised. Diez et al. (2011, p. 215) defined sovereignty as “the supreme or final authority of a political entity over its own affairs, frequently associated with a given territory”. States are increasingly losing their ability to fight various threats such as terror, criminal issues and the movement of people alone (Schirato and Webb, 2003, p. 111). For this reason, states need to pass their security role onto higher sovereigns in the form of regional arrangements if they are to adopt more integrated REPMS. “Realists perspectives favour trade policies that serve national security goals, such as sanctioning adversaries and strengthening allies” (Nau, 2012, p. 314). Such is the mentality that pulls forces against idealistic propositions, such as submitting to be bound by the dictates of a higher sovereign. This come as a challenge to addressing REPMS hurdles.

According to Maoz (2005, p. 21), the neo-realist approach to security limits it to the physical safety of states. This is evident when one looks at how states have invested so much in fighting off threats that come from outside their boundaries. The idea of having threats coming from within was seldom, if ever thought of, therefore the security priorities revolved around the actual fighting of wars (Maoz, 2005, p. 21).

According to Thomson (2004, p. 50), “the notion of sovereignty underpinned international politics throughout the 20<sup>th</sup> century and is still dominant today”. This concept gained a lot of respect internationally because it is based on mutually beneficial ideals; if one state recognises another as a state, then in turn it is also recognised. “Consequently an international system advocating ‘none interference’ in the domestic jurisdiction of other states has developed. Each sovereign state is attributed unfettered power within its own territorial borders, being recognised as the sole political authority within these frontiers” (Thomson, 2004, p. 50). This means when looking at REPMS that

the issue of state sovereignty has to be borne in mind. States are the final decision makers when it comes to issues to do with areas in their domestic jurisdiction.

“Sovereignty has important consequences, intended and unintended” (Simmons and Steinberg, 2006, p. 209). There is need, therefore, to establish how liberal democracies can reconcile the need to control the movement of goods and people and the desire to promote open borders, free markets and liberal standards (Lahav, 2004, p. 1). This has implications on the choice and effectiveness of REPMS.

The problem still goes back to the issue of sovereignty as it has been used as a trump card against many developments. Sovereignty has thus assumed the role of “political currency of the weak” (Simmons and Steinberg, 2006, p. 223). In this context, sovereignty is seen as being used by weak states to defend their independence that they got following a struggle.

By itself, reconciling democracies is not an easy task; however the total security of a state rests on the security of all its internal and outside aspects as well as its economic standing (Wyllie, 2008, p. 74). States seem to be doing very well when it comes to safeguarding all their other aspects except economic prosperity. This is when the sincerity of states in Southern Africa towards economic development is found wanting and becomes questionable. This economic prosperity cannot be divorced from REPMS as they are the engines behind the movement of goods.

Studies of the European integration have revealed problems and differences as continuing to exist, despite advanced levels of integration. These problems point to the weaknesses emerging when people try to manage immigration collectively (Lahav, 2004, p. 1). It also brings to the fore the existing diversity of cultures and political traditions in the region, particularly in dealing with concepts that are so close to the core of identity, i.e. questions of “us” versus “them” (Lahav, 2004, p. 1). The entry point becomes a point of contention in these identity debates.

Countries are unsure what will become their role versus that of their neighbours, which manifests in relation to security and ego. In Europe, according to Lahav (2004, p. 2), while many believe in the EU’s potential in matters of the purse, the sensitive issue of immigration resonates in matters of the heart, where nationalism, racism and xenophobia persist. These are issues that need to be borne in mind as countries approach REPMS projects. As movement is eased, so related social, political, economic and environmental problems emerge.

States’ ways of viewing the world is of great influence regarding how they approach security, and is centred on their perceptions (Brannon, 2009, p. 21). This involves whether they perceive people or

power as being at the forefront in decision making matters, and also has to do with security or the strategies they use in identifying what threatens their state security. This goes on to inform their plans to deal with the identified threats. This process “identifies national interests before addressing anything else. In the security dimension, national interests are usually those that define the parameters of survival: state sovereignty, individual security and defensibility of borders” (Brannon, 2009, p. 21). Accordingly, this puts the personal self of the state at the centre of any decision making to be made. As such, economic issues get relegated to secondary issues that will only be attended to in a cavalier manner.

However, regardless of what states believe, the international system has changed. Modifications in the international systems have been dramatic, whilst at the same time concerted efforts are being made by regions and researchers to redefine security from micro to macro levels (Maoz, 2005, p. 20). This is resulting in calls for a shift from the traditional perceptions of security to contemporary ones.

According to Raffo, Sriram, Spiro and Biersteker (2007, p. 1), the end of the Cold War led to some changes in states’ interactions in the international system. “We no longer live in a world of discrete national communities, but rather in a world of increasing economic, political and cultural interdependence, where the trajectories of countries are heavily enmeshed with each other, and where the very nature of everyday processes links people together across borders in multiple ways”(Raffo et al., 2007, p. 1). As things have changed in the international system, so must things in Southern Africa. Addressing REPMS will transform the region from being stuck in the “national communities” realm into the now relevant world of interdependence.

### 3.8 Chapter conclusion

Some of the factors affecting Southern Africa’s RI were outlined above, which are mostly historical factors that stretch from the days of colonisation to date. This chapter went back in history to situate the RI phenomenon development in SADC. The chapter opened by describing the African political economy in a historical context, tracing African life before colonisation to establish the interactions that existed then. The chapter then looked at the factors that affect RI in general. To show the limitations, this chapter presented literature on RI, state sovereignty, state security, countries’ borders, and NTBs, among several other issues. The forthcoming chapter will look at some solutions to the integration and development problem that SADC faces.

## **CHAPTER 4 LESSONS IN LITERATURE**

### **4.1 Introduction**

The foregoing chapter presented the factors that limit SADC's total integration and development, which demand some prescriptions. This chapter, as part of the literature review, presents some lessons on regional integration that can be of use to SADC. Examples include transit corridors, coordinated border management, juxtaposed borders and customs legislation reviews, which come from studies on the SADC region and beyond. Lessons will also be drawn from the pre-colonial AIKS. Further afield, lessons are drawn from the Schengen RI case. These lessons will also help to show the gaps in the literature, as they point to things that have been suggested as well as where research has been inconclusive.

### **4.2 Regional integration requisites**

Four things need to be borne in mind or done if integration efforts are to be successful (Peteris, 2013, p. 6):

- Clear objectives.
- Custom solutions to meet custom conditions.
- Tools that is relevant to modern demands.
- Rational targets.



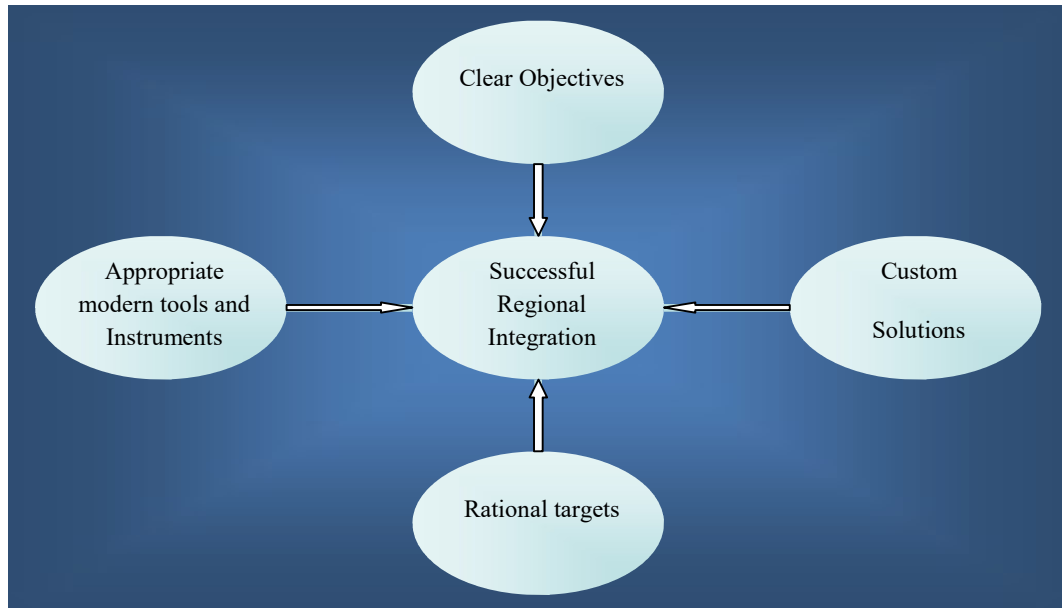


Figure 4-1 Requisites for successful integration

Source: Adopted from Peteris (2013, p. 6)

There are clear disparities in the performances of the different regions in terms of intra-regional trade, which are due to their varying accomplishments in fully implementing measures to free trade and improving the infrastructure that supports trade (Barka, 2012, p. 3). This means regions still have a lot of work to do to regularise their approaches to these issues of intra-regional trade. At this point a look at the grouping or region under discussion becomes necessary. The following section presents, in brief, the historical and current state of the region known today as SADC. This will give insights into what informs the members' decisions and the extent to which the group has gone in instituting measures to facilitate trade.

#### 4.2.1 Pre-colonial African wisdom in region-wide economic matters

The pre-colonial African polities offer insights into the “pure” African life, i.e. life before outsiders descended on the continent. It is in these studies that the AIKS are found. The most pertinent ideas from pre-colonial African polities relate to trade, power and the societies' structures. The market structures are also highly documented. Market issues have been documented by such scholars as Hodder (1965), who wrote about the origins of markets in the African region, focusing only on the traditional indigenous markets that were in existence before the arrival of Europeans.

According to Kottak (1972, p. 351), there has been a lot of interest among anthropologists in the societies and cultures of Africans, with the contributions of the British social anthropologists being highly evident. These have left an indelible trail in the records of African cultures and societies. Arguably, they have made many contributions regarding how African institutions, especially in the domains of kinship and marriage, political organisation, and most recently in urban studies, are understood (Kottak, 1972, p. 351). However, such studies do not seem to have been undertaken through a lens of African epistemologies but from westernised viewpoints. Kottak (1972, p. 351) pointed out that, contrary to popular belief which suggests that there was no internal development of a socio-political economy prior to European intervention on the African continent, “some of the world's most complex and tightly organised preindustrial civilisations...grew up on the African continent”. He added, however, that the converse is true in terms of technology. From an East African standpoint, Kottak (1972, p. 351-380) looked at the importance of the Biganda community of Uganda as it existed in the pre-colonial days, to help give insights into the evolution and development of African societies.

#### 4.2.1.1 Pre-colonial advanced monetary system

In pre-colonial African polities there is evidence of the existence of advanced monetary systems; certain of which have been labelled “complicated” by some scholars (Lovejoy, 1974, p. 564). To understand the complexity of ancient African ways of knowing monetary systems, the interaction and interdependence of human, non-human, environmental and spiritual worlds must be taken into account (Nabudere, 2011).

According to Lovejoy (1974, p. 564), with reference to West Africa, the monetary systems of such countries as Senegambia were predominantly based on bartering, although the use of coins was already in place. The monetary system was very complicated to an outsider and amateurs. This issue of the “complicated” monetary system shows the richness of AIKS; Africans had managed to attach desirable value to goods in their system long before the arrival of outsiders. The monetary system also outdoes the prevailing ones, as mentioned above, in that the prices were ‘fixed’. This means that people could better plan their budgets, unlike currently when inflation and devaluations offset most budgetary targets. As such, there is a need to appreciate how things were done then, i.e. it is not prudent to ignore the African systems of old. According to Lovejoy (1974, p. 564), it is important to understand the monetary systems of pre-colonial Africa as they help in the understanding of the capital market development of Africa.

#### 4.2.1.2 The livestock and bracelets ‘currencies’

Turning to Central Africa, the history of Rwanda gives insights into the trading that existed in pre-colonial Africa. According to Newbury (1980, p. 13), two commodities that dominated regional trade in Rwanda were livestock and bracelets made out of fibre, with the bracelets being the most traded. Its demand was pushed up by cultural beliefs as the bracelets were deemed to be of high prestige. “One bracelet, *butege*, which is a small ankle bracelet which was so much in demand that it became the currency of the day” (Newbury, 1980, p. 13). The issue of culture as a factor in trade is indicative of African ways of knowing. Nowadays, several scholars and institutions fail to appreciate the relationship between trade and culture; there have been suggestions that trade and culture opposes each other instead of complementing each other (Buri, 2011, p. 1). This generally comes from those who feel culture will be eroded by the ways and means of trade; however it is prudent to recognise, as did Buri (2011), the need to reconcile the two. This is a problematic issue in contemporary debates, but in AIKS this has always been accepted, given the oneness and unitary disposition that connects the human and material world from an African frame of reference. Scholars need to look to Africa and see how in areas like Rwanda culture worked alongside trade for the good of both.

#### 4.2.1.3 Ways to differentiate traders

An examination of *butege* trading in Rwanda brings AIKS on factors influencing participation in trade to the fore. “The commercial aspect of the *butege* trade did not involve specialised knowledge or technology, nor were large capital or social resources necessary (to organise caravans, for example)” (Newbury, 1980, p. 15). The traders were, interestingly, differentiated by their “physical stamina, friendship ties, language skills, and business acumen, but these were relative differences and did not serve as exclusive barriers to participation in the trade” (Newbury, 1980, p. 15).

With reference to southern Africa, this aspect of considering other facets of human life in trade is common in present-day SMEs in the form of cross border traders, and closely relates to REPMS. Muzvidziwa (1998) recounted the experience of a trip from Zimbabwe to and from South Africa carrying out participant observation on cross border traders. “In order to succeed in cross-border trade, women had to be innovative, resourceful risk-takers, and constantly on the lookout for new market niches that emerged from time to time” (Muzvidziwa, 1998, p. 43). When it comes to recruitment and initiation into cross border trade, relationships were identified as critical. “Friendship networks were most important for entry into the trade. Friends had initiated 85% of respondents, kin only 15%. First cross-border trips were generally undertaken with friends, although

usually on subsequent trips most women travelled on their own” (Muzvidziwa, 1998, p. 43).). These, as presented in the foregoing paragraph, can be traced back to the pre-colonial times. These are things already ingrained in Africans as AIKS that people continuously, consciously or unconsciously, tap into as they venture into trade.

#### 4.2.1.4 Pre-colonial African traders’ social problems

Some of the challenges faced in cross border trade today are consistent with those faced in pre-colonial Africa. This calls for an analysis of AIKS with regard to regional trade, in order to understand contemporary challenges and the opportunities of cross-border trade. The *butega* trade, as mentioned earlier, had its personal hardships and social costs. According to Newbury (1980, p. 16), the social costs were typically prolonged absence from home. To curb this problem “much of the trade was conducted through intermediary populations; this reduced the social and economic costs of extended absence, and assured that some trade, indeed, continued throughout the year” (Newbury, 1980, p. 16). The intermediaries came from such groups as the Hunde, Havu and Goyi, making it very informal and very diffuse (Newbury, 1980, p. 16).

The social problem associated with prolonged absences from home remains to date. According to Kurebwa (2015, p. 66), cross border traders spend a lot of time at border posts, as evidenced by the 85% responses affirming that in his study. A prolonged absence from their spouses and children could lead those engaged in trading across borders to get into short term sexual relationships that may end up exposing them to unbecoming social behaviours such as prostitution (Kurebwa, 2015, p. 65). To curb these long stays away from home and the social consequences, the same solution adopted during the pre-colonial system has been adopted by contemporary traders, signifying a return to, or the inherent longevity of, AIKS. Intermediaries in trade range from informal, less organised couriers to formal, organised ones. Examples of the informal and less organised couriers are *magumhagumha*, *malaitsha*, or *magweja* in various vernacular languages. There are also formal commercial courier companies and forwarding and clearing agents. These ship goods at a cost and traders can avoid travelling to all destinations where they source or supply goods. This is a leaf pulled out of the AIKS manuscript on the use of intermediaries in trade.

The exchange of items in the form of barter was not the only system of trade in Africa; Africa had ‘money’ in the form of items identified to work as such. Besides the *butega*, records have it that West Africa and Central Sudan effectively used cowrie shells as currency (Lovejoy, 1974, p. 563).

This, in fact, was the trend in what was then called the cowrie-gold zone. The cowries and shell were, in their own right, model currencies, as they held the same value that money holds today (Lovejoy, 1974, p. 563). The two were very scarcely available and could not be imitated -tenets that hold in the contemporary monetary systems. The essence of cowrie shells is of importance to this work as it points to trade across regions. The importance of cowries in interregional trade is evidenced by the way shells moved between regions (Lovejoy, 1974, p. 563). This monetary flow provides evidence for the existence of trade between the then Central Sudan and Guinea Coast (Lovejoy, 1974, p. 563).

According to Lovejoy (1974, p. 567), “oral tradition has it that the trade with cowrie shells began Benin in the 16<sup>th</sup> century. By the 17<sup>th</sup> century their use had spread to Sudan, Zamfara and Gobir among other places. This expansion was then accelerated by the Atlantic trade”. Cowrie shells were only replaced by imported nut called kola from Asante and Sierra Leone in the early 1880s (Lovejoy, 1974, p. 563), as it had the divisible trait needed in currencies (Lovejoy, 1974, p. 579). This divisible ability by the kola helped regions to effectively deal with inflation, however the colonial authorities also had a hand in pushing the cowrie gold out of the system. According to Hogendorn and Johnson (1986, p. 150), “colonial authorities considered the shell currency a primitive survival”, however they also had their own currency that would logically gain value as the indigenous currency was pushed out. What these scholars did not realise, however, was that in the absence of an African epistemological lens, both cowrie shells and kola nuts continue as instruments of divination for some African societies on the continent, as well as in the African diasporas (Bascom, 1993). This again points to the interconnection of trade, commerce and spirituality in African societies.

#### 4.2.2 SADC region-wide study findings

A region-wide study carried out by different researchers in their respective countries on the “Deepening integration in SADC” was commissioned by the Freidrich Ebert Foundation, and included Botswana, Madagascar, Mauritius, Mozambique, Namibia, South Africa, Tanzania, Zambia and Zimbabwe. This means that of the total member countries of SADC, 60% were included in the study; only six were not part of the study sample. Of interest to the current study are the findings from Botswana, Mozambique, Namibia, Malawi, South Africa and Zimbabwe. The challenges experienced in the region as people and goods move from one point to another are wide and varied. In this series of researches, Zwizwai (2007) carried out a study which had the main objective of providing a brief on what has been done and what is still outstanding in Zimbabwe in terms of trade policies. This was specifically with respect to targets that were set out in the Memorandum of

Agreement on Convergence (MOAC). The study established, among several other things that ‘time consuming customs procedures, excessive paperwork and bureaucracy, weak regional transport infrastructure’ were key barriers to trade (Zwizwai, 2007, p. 89). In an interview carried out by Zwizwai (2007), all but two companies interviewed indicated that time consuming customs procedures were a relevant barrier to trade. In the interviews, companies were asked to point out three challenges they face in trying to participate in the buying and selling of goods and services across borders. The ranking that came out of the findings was as follows (Zwizwai, 2007, p. 90):

1. Customs tariffs currently employed.
2. Import duties and taxes that have to be paid in cash.
3. Time consuming customs procedures.
4. Exchange rate uncertainty.
5. High transport costs.
6. Export/import licences.

From this, Zwizwai (2007, p. 91) then developed a framework for the classification of these barriers and gave them priorities in the form of four classifications: “High barriers with Low Incidence (HB/LI), High Barriers with High Incidence (HB/HI), Low Barriers with High Incidence (LB/HI) and Low Barriers with Low Incidence (LB/LI)”. The researcher then established that those barriers falling into the LB/LI range had less negative impact on the performance of companies, and those falling into the HB/HI category had dire consequences for industries. The following emerged in the HB/HI category:

1. Customs tariffs currently employed.
2. High transport costs.
3. Exchange rates uncertainty.
4. Time consuming customs procedures.

What emerged from this study was a recommendation to prioritise addressing all the barriers that are HB/HI in order that companies can be spared the pressures that accompany them. In the same vein of trying to understand the challenges prevailing in the SADC integration, Kalaba et al. (2006) carried out a study on South Africa, dubbing it “SADC’s economic engine”. Firstly, they noted that the SADC member states are sincere about the plan that will further their integration (Keane et al., 2006, p. 21). The research showed that the SADC Protocol on Trade had, among others, the objective to

ensure efficiency in cross border and foreign investment (Keane et al., 2006, 41). Accordingly, the Kalaba et al. (2006, p. 41) study presented the following strategies as adopted by SADC to achieve its objectives:

- Gradual elimination of tariffs.
- Adoption of common rules of origin.
- Harmonisation of customs and procedures.
- Attainment of internationally acceptable standards, quality accreditation and metrology.
- Harmonisation of sanitary and phyto-sanitary measures.
- Elimination of non-tariff barriers.
- Liberalisation of trade in services.

Of special interest to the current study is the attention given to the harmonisation of customs and procedures, as well as the commitment to working towards the elimination of NTBs. However, Kalaba et al. (2006, p. 129) indicated that “there has been serious attention on tariff barriers to regional integration” at the expense of NTBs. This is not to say that NTBs were supposed to be attended to at the expense of tariff barriers; one has just been given more attention but both have negative effects on the performance of business in the region.

Kalaba et al. (2006, p. 130) categorised NTBs into three broad groupings:

- Health, Safety and Environment. These are measures which include import and export bans, SPS requirements and standards and conformance requirements.
- Trade and Policy Regulations. This is the category in which broader policy measures are found.
- Administrative Disincentives to Export.

The section on Administrative Disincentives is of paramount interest to this study, as it is directly related to REPMS. These are issues that relate to how procedures are being carried out, and have been linked to some of the challenges faced in the movement of goods. They can be things that add to expenses or that delay the flow of goods/services, and they usually frustrate those who are willing to come on board. As administrative disincentives, the requirements for importing or exporting can become exorbitant, to the extent of derailing the movement of goods as well as bringing additional costs (Kalaba et al., 2006, p. 136). The costs brought by these administrative disincentives can be very clear, whilst some come indirectly but effectively add to the final costs of goods. The intensity of administrative costs is very pronounced in Africa, for example the number of clearance

procedures is very taxing, involving multiple transactions, parties and documents. It is these excessive administrative procedures that push up the costs of doing business in Africa. Eventually, all these lead to the utilisation of informal channels as people try to circumvent the deals and costs that come with all these procedures (Barka, 2012, p. 4).

When looking at border delays as part of administrative disincentives, it is critical to appreciate the presence of a variety of government officials at entry points. According to Polner (2011, p. 54), this means that travellers and traders must get clearance from various offices in an effort to comply with the law, which can culminate in border delays as people are expected to conform to different departments' demands. According to Jain (2012, p. 65) there are various reasons for delays, but what makes them more pronounced is the absence of a similar working approach among the people manning the borders, as the different agencies at the borders will be looking at different things in a different way to the next agent. Border delays frustrate travellers due to the creation of bottlenecks which lead to inefficiencies (Jain, 2012, p. 63 and Polner, 2011, p. 54). The challenges that bedevil the formal channels in cross border trade push people into opting for unorthodox channels (Barka, 2012, p. 9). In Kalaba et al.'s (2006) study, people were given 19 different barriers and asked to rank them. On these rankings customs procedures ranked fourth (Kalaba et al., 2006, p. 244). The conclusion presented in this particular research was thus that SADC border posts are highly taxing in terms of time wastage. The researchers also called for action that would effectively streamline the process.

The third study, for the purpose of this REPMS work, is one by Chipeta (2006) that focused on Malawi. The first of the several notable recommendations raised by this researcher was the need to "take into account the extent of harmonisation among member states" (Chipeta, 2006, p. 25). Not much will be mentioned from this research as most of the findings concur with those mentioned earlier; however it adds another voice to the findings by all the other researchers in the series. Fourthly, a "Deepening integration in SADC" series' study by Schade and Matomola (2006) focused on Namibia. This study's findings were more or less consistent with the findings of the rest, with the authors asserting that "NTBs are more serious obstacles to trade than tariffs because they are not transparent" (Schade and Matomola, 2006, p. 48). This presents difficulties for those doing business when they try to manage their costs.

The "gradual removal of NTBs within SADC could have the potential to add impetus to the regional integration process by reducing the costs associated with trade transactions" (Schade and Matomola,



2006, p. 50). This would entail taking incremental steps to remove the NTBs. The “gradual” part to this recommendation is of interest because it implies that it should not be expected to happen overnight, however it will eventually be achieved if the process of working towards their removal is set in motion. As a step in that direction, Namibia put an initiative in place called the Automated System for Customs Data (ASYCUDA), which is software that provides a platform for the better management of all administrative issues related to the importation and exportation of goods (UN-STATS n.d.). The system was installed by the Ministry of Finance at their head office as a measure aimed at increasing efficiency in the system for the facilitation of cross-border clearance procedures (Schade and Matomola, 2006, p. 50). In their Namibian study, Schade and Matomola (2006, p. 124) also established that time consuming customs procedures are the second most concerning barrier for the business sector. As indicated earlier, time is so valuable that losing it is tantamount to losing everything in trade.

Another of the studies in the series, as indicated earlier, was conducted in Mozambique (Sambo and Ubisse, 2006), where the issue of NTBs proved to be a chronic problem. The use of NTBs as a security measure in particular was evaluated, with the authors commenting that, “It would be most unfortunate if NTMs replace tariffs as a protection mechanism, because the non-transparent nature of NTMs render them more powerful trade inhibitors than import tariffs” (Sambo and Ubisse, 2006, p. 98). This comes after the two researchers’ realisation that countries have taken refuge in NTMs as protection mechanisms once the tariffs they used to utilise have outlived their effectiveness. Sambo and Ubisse (2006, p. 98) recommended that there be a thorough investigation of each border post in SADC, with the aim of improving transparency. Such an investigation would bring out the facts as they exist on the ground in order to map the way forward as to how the challenges at the borders can be alleviated. This investigation will encourage researchers to look at a lasting solution to the border woes bedevilling the region. “It is the generation of an effective long-term strategy for the region that will elicit success and the boosting of business within the region and must be seen as an integral part of that vision” (Sambo and Ubisse, 2006, p. 98).

A border post is defined in a variety of ways in the literature. Most definitions zero either on location or activities that go about at the border posts in trying to formulate its definition. His thesis took a working definition from Barka (2012, p. 5), who commented that a border post is the “location where one country’s authority over goods and persons ends and another country’s authority begins”. It is the location where a multitude of government agencies are involved in the control of various documents and goods, the calculation and collection of duties and taxes, as well as immigration. Sambo and Ubisse’s (2006) findings on Mozambique closely validate earlier findings by Pitcher (2002). “Like many countries in Africa, Mozambique’s fortunes have always been intertwined with

developments in other countries and regions”(Pitcher, 2002, p. 12). Border-related challenges were also identified as affecting Mozambican industry, with unregulated cross-border movements being cited as taking away Mozambican industries’ market share (Pitcher, 2002, p. 168). The 2002 study also established that Mozambique had subcontracted a private company to deal with border procedures, yet investors continued to ‘criticise corruption, processing delays at the borders and excessive bureaucracy’ (Pitcher, 2002, p. 197). Buyonge and Kireeva (2008, p. 45) defined corruption as “the abuse of public power for private gain” that occurs “when a public official or employee uses his or her power to solicit or extort bribes”. Corruption has been identified as being rife in the movement of goods across borders, with one of the reasons for this being the “high rate of duty to be paid” (Buyonge and Kireeva, 2008, p. 45).

The findings by Sambo and Ubissee (2006) also showed that Mozambique continued with some piecemeal measures to try to avert border problems. “In early 2005 Mozambique signed agreements of visa abolition with South Africa, Botswana and Swaziland” (Sambo and Ubissee, 2006, p. 132). This was an act of kindness for the travellers from these countries only as they crossed into Mozambique, however the effectiveness of such measures is not inclusive, thus showing the shortcomings of doing things alone. From Botswana, travellers to Mozambique by road must ordinarily pass through Zimbabwe, so travellers will not be free from the problems faced when crossing Zimbabwean borders, i.e. the measures probably work best for those using air as a mode of transport. The main reason for the weakness of the measures put in place being that they came as an individual country’s initiative not a regional one.

Finally, a study on Botswana -Botswana - a benchmark for the region - will be examined. Many of the issues in this study concur with those presented in earlier studies, however it is worth mentioning that “in Botswana, time consuming customs procedures garnered 50% and 72% from business and NSA respectively”(Tabengwa and Salkin, 2006, p. 5). This confirms the issues that arose in other countries, which leave customer procedures ranking among the top recurring barriers to trade.

The severity of border delays in the SADC region has been well articulated; from the sample of studies presented in this section, no country can boast that it is not suffering from this problem. However, the literature strongly presents countries in the region as supporting cooperative efforts. This is especially evident in the loyal membership that has been given to SADC since its formation and even during its days as SADCC. A look at the things that limit regionalism can give an understanding on why SADC has not had a breakthrough in attaining total RI.

The literature presented so far paints a gloomy picture regarding integration, the elimination of NTBs and revolutionising REPMS, however other regions have been successful. One such case is that of the Schengen area.

#### 4.2.3 Shared management leeway: lessons from the Schengen border system

Entry-points are found on countries' boundaries, which warrant looking at some of the literature on borders. Borders mark the outside perimeter of a state, delimiting its authority and laying the foundation for the state sovereignty concept (Zaiotti, 2011, p. 2). Zaiotti raised the importance of borders in his Schengen border systems study, as did Karanja (2008, p. 2), who stated that, "In general, border controls are geared towards reinforcement of national law". The same importance that can be extended to entry-points, as they are the only link between a country and the outside world. According to Karanja (2008, p. 1), "the advent of the Schengen cooperation internationalised the cooperation of sectors like police and border patrol which were previously a national affair". This signified a shift in the perception of state security and state sovereignty; areas that were previously revered as state domains were being elevated to being open to international cooperation.

Borders are in essence countries' skins, and the only perforations, or "pores", are the entry-points. They are also a very powerful symbol of identity and historical continuity (Zaiotti, 2011, p. 2). States control national borders for several common reasons in line with protecting national interests. National interests include national sovereignty, national security, internal order and immigration (Karanja, 2008, p. 2). Their protection is therefore a matter of "national security" and the exclusive responsibility of central governments. Of interest in Zaiotti (2011)'s study about borders in the Schengen area is that the moment countries began dealing with the shared border concept, many new questions arise. Questions regarding their governance became topical, which were never an issue during the days when countries were individually managing their borders (Zaiotti, 2011, p. 2). In essence, the study on REPMS get informed on these issues as the same concerns raised over shared border management may arise if states commit to choosing a shared REPMS. In his Schengen border study, Zaiotti (2011, p. 2) established that the solution became a unique system borrowing from various established systems, which can also be explored in the REPMS. The approach to dealing with border management at a multilateral level is also worth exploring. These negotiations need to involve countries sharing borders as well as the countries in the region generally, as this impacts on RI.

Freedom of movement has become the EU's tangible policy. According to Hanson (2010, p. 108), this freedom of movement has become the Schengen's best embodied agreement, which brings together key members from the EU. 'The effects can be seen in the continental train stations where the lanes for "EU passport holders", bypass all immigration checks' (Hanson, 2010, p. 108). In the EU's border management, a measure that is of relevance to REPMS is that "each Schengen member was to transfer part of its prerogatives related to border control to other partners, while at the same time assuming new undertakings on their behalf" (Zaiotii, 2011, p. 2). This is critical in an integrated entry-point management quest, because the issue of state sovereignty must be addressed. Just as with any 'social contract' there are privileges that states must surrender, and they must also be prepared to take up new responsibilities for the good of the arrangement.

To ensure that there were no disturbances to the zone's security once the internal border controls were removed, the members agreed to set out and strengthen the policing and the justice systems of the member states (Polner, 2011, p. 59). This was made possible by Article 39 of the Convention implementing the Schengen agreement and became the legal apparatus that allowed the members to improve their cooperation. This is also the provision that created the platform on which the *Les Centres de cooperation policiere et douaniere* (CCPD) was developed, covering areas like curbing the illegal movements of people (Polner, 2011, p. 59). This has, among other things, helped in the transmission of information and cooperation regarding the way to treat foreigners.

The Schengen regime's conception caused many changes in states' perceptions, signalling a fundamental break from the traditional nationalist approach to border control that had characterised EU politics for centuries (Zaiotti, 2011, p. 4). This is the same shift that is required for SADC and most developing countries, especially when looking at revolutionising REPMS. Once states take this bold step out of the traditional way of managing things, spill-over effects may start to fall in place, completing the integration puzzle. The issue of spill-over effects will be discussed in-depth in the ensuing chapter on the theoretical framework. These, as will be made clear, will also ensure that other forces hindering integration will start to fall away. "Such integration, though probably far in the future for many countries, indicates the possibility and efficiency of cross border integration and coordination...it also reveals the conditions necessary for effective cooperation" (Zarnowiecki, 2011, p. 65).

The other out of the ordinary issue that emerged in the Schengen initiative that is relevant to this REPMS study was the realisation that borders have different functions. This called for the

development of compensatory measures that differed accordingly (Brouwer, 2008, p. 13). As an example, ‘the idea that the abolition of internal border controls would give criminal organisations the opportunity to move wherever they please and that this would increase “cross-border criminality” was used to justify the development of Europol [European Police Office] and Eurojust [European Justice]’. According to Bures (2010, p. 237), Europol was developed in the early 1990s as a result of continued progress in policing. On the other hand, Eurojust was created in 2002 (Bures, 2010, p. 238), with its primary task being to set out the provisions of “immediate legal advice and assistance in cross-border cases to the investigators, prosecutors and judges in different EU member states” (Bures, 2010, p. 239). Every border initiative will come with its own challenges, thus in trying to address the movement of people and trade, countries must brace for unwanted developments, which will require custom measures to tackle them.

States should not be rushed into making such decisions. According to Zaiotti (2011, p. 4), ‘Schengen had to endure a long and tortuous gestation before it established itself as the new official approach in border control’. This is not peculiar to the Schengen matter, as all issues relating to states’ sovereignty need vigilance. States cannot be expected to implement ideas in haste, as there are many internal arrangements that ought to be put in place first for the good of the individual countries as well as the region. As such, when examining revisiting REPMS in SADC, countries need time. This is not the first study to examine such issues however, so the clock has already started. This is a ball that has been rolling for decades since the formation of SADCC, thus states need to start coming up with concrete plans on REPMS as the continued delay perpetuates the losses associated with traditional REPMS.

The coming together in managing borders has challenges, some of which were experienced in the Schengen area; there is a dilemma that comes with trying to remove internal borders while combating crime and illegal movements. According to Karanja (2008, p. 2), this dilemma is evident as seen in the legal and political debate that surrounded the establishment of the Schengen zone. “On the one side were the Schengen cooperation optimists who stressed the obvious benefits of free movement and crime prevention” (Karanja, 2008, p. 8), however the sceptics argued that “Schengen cooperation creates a police state and a fortress Europe” (Karanja, 2008, p. 8). This would mean intensified security in Europe whilst closing off the possibility of immigrants and those seeking asylum from other countries getting in. According to Zaiotti (2011, p. 7) “the emergence of a new regional approach to border control in Europe is the result of a negotiated compromise among the key European governments”. This was a give and take scenario in which states took a shift

backwards or forward in what they were doing individually. Creating the Schengen zone meant that the policy makers knowingly made decisions to have their nations' sovereignty adulterated (Zaiotti, 2011, p. 10). Can SADC states take "conscious decisions" of that magnitude? This was tested, and positively answered, in this REPMS research. Such decisions will bring states face-to-face with issues to do with change.

However, not all is rosy in the EU system. The events of 23 June 2016 brought a new dimension to the integrity of the EU, when the British people, through a referendum, voted to move out of the EU (Riley and Long, 2016). This means most of the things listed above have changed in the EU, for example the integrity of its borderless system has been revised. The move by Britain to leave the EU popularly referred to as "Brexit", have also triggered calls for a referendum by the Scottish community in Britain. According to Erlanger (2016), the outcome of the "Brexit" vote shows that Scotland was dragged out of the EU by the combined vote of England and Wales. This further reveals the fault lines that have always existed in the system, but were carefully camouflaged by the cover of a united EU.

#### 4.2.4 Tried and envisioned NTBs alleviation measures

There are several ways to alleviate challenges at entry-points, some of which have been tried in different parts of the world while some are mere proposals in literature. The effectiveness of the methods varies from situation to situation due to many other intervening factors. In some cases, these methods are used in combination for better results.

##### 4.2.4.1 Tamperproof containers and GPS tracking

Some scholars have pictured a border management system that would also promote countries' relations by making use of joint inspections. According to Hufbauer and Schott (2005, p. 17), this system would allow "joint inspections of low-risk trade to take place at a secure site at the point of origin and away from the border and then pass through the border with minimal delay". These inspections would be done by both parties away from the border, where the consignment will be originating from. Once this is done the containers will then be sealed with all parties in agreement. Containers that have tamperproof sealing will help to ensure that the cargo reaches its destination securely (Hufbauer and Schott, 2005, p. 17). This method is envisioned to lessen the strain at the borders significantly. Once trucks are inspected and both parties are in agreement, an express route

would be used that would mean there would be very minimal delay, i.e. there would only be the driver's exit and entrance clearance.

#### 4.2.4.2 Transit corridors

Landlocked countries suffer the most on transit charges. According to Jain (2012, p. 66), putting in place regulations for the movement of goods across other countries' territorial areas that do not have flaws is crucial for those countries that do not have coastal borders, as it ensures that the cost of moving goods is kept to a minimum. Practical solutions such as corridors for the movement of goods across several countries, and the coming together of countries in a region to work together and change some key policies, can go a long way to lessening the impact of being landlocked (Hewitt and Gillson, 2003, p. 77). Transit corridors can ease movement problems as they expand the existing infrastructure and also increase the capacity of transport networks. This will aid in speeding up the time taken to deliver goods, however "every border infrastructure investment should follow a comprehensive re-engineering of systems and procedures, and it should be designed specifically to support the adoption of modern border management" (Zarnowiecki, 2011, p. 37).

Ghana's transit corridor initiative can be a learning point on how to alleviate border-related problems. The country's Economic Recovery programme had, among several intentions, the desire to revive the country's economy. As part of that programme, Ghana adopted the Gateway Project (Bohene-Osafo, 2003, p. 105), which included an initiative by the Ministry of Roads and Transport and the Ministry of Trade. The "Ghana Shippers Council, under the auspices of the Ministry of Roads and Transport, liaised with the shippers' councils in some of the landlocked countries in the sub-region to negotiate agreements that would facilitate the establishment of a transit corridor through Ghana to these countries" (Bohene-Osafo, 2003, p. 105). This saw the Ministry taking up the task of improving the road network of the country.

#### 4.2.4.3 Multiple initiatives legislation

In 1999, six Asian countries set out and signed an agreement regulating their trade (Barka, 2012, p. 10), which was a very complex initiative with a lot of proposals. This included regularising the procedures for people moving across borders, such that they ended up having similar standards and measures (Barka, 2010, p. 10). This culminated in Joint Customs Controls at border sites that were identified for the programme (Barka, 2012, p. 10).

#### 4.2.4.4 Pre-shipment inspection

To curb corruption at borders, some countries have also implemented a pre-shipment inspection (PSI). This is a practice in which private companies check details of shipments “such as price, quantity and quality of goods” before they are dispatched, to help ‘compensate for inadequacies in administrative infrastructures’ (WTO Publication n.d.). This entails carrying out inspection procedures to check compliance to the set regulations before goods are exported (Hewitt and Gillson, 2003, p. 78). This practice of inspecting before exporting helps to curb the loss of revenue through customs fraud, such as the undervaluing of goods, classifying goods in a way that will make them appear in an incorrect category so that they pay less taxes, and several other related issues (Hewitt and Gillson, 2003, p. 78). This lessens the burden on the border, as instead of going through all the inspections, the border authorities just check that the tamperproof seal installed after the PSI has not been broken. This goes a long way in easing traffic delays at the entry points.

When it comes to dealing with corruption, a case from the Philippines gives some insights. According to Ndonga (2013, p. 30), “customs reform in the Philippines started in 1992 with the election of President Fidel Ramos”. Among other things, the president called for the restoration of “sanity” in customs, which led to the introduction of reform programmes (Ndonga, 2013, p. 30) that re-engineered key customs processes. The system was also automated and a “cashless” system was adopted. “This new cashless system ensured that customs cashiers did not get an opportunity to abscond with their cash collections,” (Ndonga, 2013, p. 30). Ultimately, “the introduction of the various systems played a key role in reducing the extensive discretionary interfaces that customs officials enjoyed and consistently manipulated for their personal gain” (Ndonga, 2013, 30).

In Ghana, over and above the transit corridor initiative, a computer-based Risk Management Systems (RMS) was also introduced to select imported goods for examination (Bohene-Osafo, 2003, p. 108). As such, targets were established to significantly reduce the physical examinations of cargo (Bohene-Osafo, 2003, p. 108). “Based on risk assessment, shipments are separated into three examination categories, namely, high risk (red channel); medium risk (yellow channel); and low risk (green channel)” (Bohene-Osafo, 2003, p. 108). This sees goods getting priority clearance depending on their level of risk. Those goods with low risk will go to a channel where the inspection process is less rigorous than the other two categories, which is a step towards ensuring that measures and inspection infrastructure can be customised depending on the level of risk of a shipment.



#### 4.2.4.5 Juxtaposed offices

Another arrangement is one between Switzerland and France, i.e. “juxtaposed offices”. In this arrangement an agreement at the bilateral level was adopted, in which countries sharing borders with Switzerland were co-opted so that their officers could be legalised to work in another state in offices specifically designed to deal with movement of goods and people and their subsequent clearance (Polner, 2011, p. 58). This arrangement saw exporters from France accessing customs clearance in Switzerland, i.e. they were given clearance services for export and import documentation under one roof. This arrangement reduces border delays because commercial fleets do not have to stop twice for clearance. The arrangement of juxtaposed facilities comes in two forms; in addition to the one explained above, there can be an arrangement in which two countries merge their processes (Zarnowiecki, 2011, p. 64).

The use of coordinated border management is another measure espoused to ease the movement of goods and people. This can be done in two approaches. The first, according to Jain (2012, p. 65), is to aid the movement of goods by using a system that is created to ensure that agencies communicate information among themselves, which will reduce the repetition that is common in processing. This works well when the parties are involved under a combined arrangement that takes care of all the agencies’ plights (Jain, 2012, p. 65). The second approach is coordinated border management, which brings together countries sharing borders to work together in order to reduce the repetitions that come with doing the procedures independently (Jain, 2012, p. 65). This, however, requires good inter-agency coordination.

#### 4.2.4.6 Customs regulations and infrastructure reforms

In Afghanistan, a programme for reforming the customs systems was initiated in 2004 with some input from the World Bank. The programme was focused on “infrastructure improvement, automation of customs procedures, clarifying and reforming the roles and responsibilities of the various government agencies operating at the border” (McLinden and Durrani, 2013, p. 7). This produced very good results. “Revenue collection increased (from USD77 million in 2003-04 to more than USD900 million in 2009-10) and truck release times decreased substantially (for Kabul ICD from 428 minutes for Customs in 2003 to 277 minutes in 2006). At border stations such as Torkham and Hairatan, truck release time fell to 39 and 26 minutes respectively (from an average time of almost a day or more)” (McLinden and Durran, 2013, p. 7). However, despite these reforms, corruption has remained rife in the Afghanistan system. This shows that there is a need for more

concerted efforts across the system, as some of the causes may be deeply ingrained into the government structures and people's culture.

#### 4.2.4.7 Collaborative border management

A measure that has been termed “collaborative border management” is also espoused in the literature. According to Doyle (2011, p. 11), the collaborative management of borders is rooted in the formulation of proper guidelines for the regulation of the interactions of the business and government communities, throughout the supply chain that goods pass through from the producer to the end user. This is a scenario whereby the issues to do with the management of the border are developed in consultation with all the involved players, both public and private. Collaborative border management has benefits for both the government and the private players. In this arrangement an imaginary border inspects goods, qualifying some to proceed across the border and disqualifying those that do not meet the regulations long before the goods get to the actual border (Doyle, 2011, p. 14). This means that agencies have to work together and share information. Ordinarily this sharing of information will go a long way to reducing duplications and unnecessary delays; however this collaborative border management system is not arrived at through forced organisational change. It “requires strong political will and commitment and appropriate incentives and disincentives” (Doyle, 2011, p. 14). This system has a lot of benefits, as shown in Table 4-1.

Table 4-1 Collaborative border management benefits

<b>Benefits to the government</b>	<b>Benefits to the private sector</b>
Lowering of overall costs of border management	Cutting costs through reducing delays and informal payments
Enhancing security. This extends to supply chain security	Enabling faster clearance and release
Improving intelligence and enforcement	Explaining rules, making their application more predictable and consistent
Increased trade compliance	Reduced unforeseen supply interruptions
Allowing the more effective and efficient deployment of resources	
Increasing integrity and transparency	
Accurate and improved revenue yield with less leakage	

Source: Doyle (2011, p. 11) and Li (2011, p. 86).

The last three items on the table above show benefits that accrue to both sectors in a similar way. These are benefits like increased integrity and transparency. This means that collaborative border management has some benefits that are specific to the government, others specific to the private

sector and some benefits can be attributed to both. Clear steps are needed to arrive at the collaborative border management indicated above. These steps start from the creation of a vision to that stage when stakeholders define the process and determine capacity.

Table 4-2 Transformation considerations for collaborative border management

Step	Action	Explanation
1.	Creating a vision	<ul style="list-style-type: none"> <li>- A simple vision understandable to all needs to be developed and owned by all stakeholders</li> <li>- It need to be seen as a win for all participants</li> </ul>
2.	Establishing leadership and governance	<ul style="list-style-type: none"> <li>- Leadership at each border management agency must agree to the vision and commit to delivering the agreed business outcomes</li> <li>- Leadership needs a mandate from government</li> <li>- A governance structure is needed to direct and monitor performance</li> <li>- Create a common mission</li> </ul>
3.	Making the business case	<ul style="list-style-type: none"> <li>- The case for change needs to be approved</li> <li>- A clear vision with associated business outcomes can start this process</li> <li>- Governments, and all the stakeholders that interact with border management agencies, need to understand the benefits of collaborative border management</li> </ul>
4.	Conducting diagnostic assessment	<ul style="list-style-type: none"> <li>- An agency's current position must be assessed against its target position</li> <li>- Lessons from within and outside the country should be incorporated</li> </ul>
5.	Defining processes and determining capabilities	<ul style="list-style-type: none"> <li>- Mapping all the key processes associated with collaborative border management promotes seamless integration</li> <li>- Can reveal duplications and redundancies in business operations, identify best practices, and distinguish between core and non-core processes</li> <li>- A well designed capability assessment should focus on operations efficiency and having a knowledgeable, skilled and motivated workforce in the right place and right time</li> </ul>

Source: Doyle (2011, p. 17-18)

With multi-sector collaborative benefits in mind along with actions centred on transforming such collaborative border management, the discussion now turns to the new regionalism dimension.

### 4.3 New regionalism dimension

The development of a “new regionalism” philosophy has transformed the way states must approach RI. According to Keane et al. (2010, p. 2), ‘new regionalism moves beyond static trade creation benefits and emphasises the potential dynamic trade and welfare gains from reductions in administration, transaction costs and the elimination and/or harmonisation of other types of NTBs’. This is one approach that put emphasis on making RI really feasible. It takes a holistic approach by looking at all the facets of countries’ economies. “The reduction of NTBs and harmonisation of other non-tariff measures (NTMs) such as standards and customs clearings procedures constitute a deeper form of integration, with the potential for more dynamic gains in terms of trade creation if harnessed correctly” (Keane et al., 2010).

There is a lot of potential in the area of employment creation that can come out of intra-African trade, as well as enhancing Africa’s economic growth (Economic Development in Africa Report, 2013, p. 2). These are the things that policy makers need to be cognisant of when looking at revolutionising REPMS. Ever since African countries began to be liberated from colonial rule in the 1960s, they have taken it upon themselves to get the best out of the available trade by committing themselves to the upholding of the African Union’s dictates (Economic Development in Africa Report, 2013, p. 2). However, nothing at that level will really come to fruition without work being done at the grassroots levels. This requires, among other things, working on ways to alleviate NTBs at the regional level. Barriers at entry points need to be addressed, together with several other issues, with urgency. The regional trade performance in Africa has been classified as weak due to several reasons. One such reason is that the continent as a whole has put more emphasis on finding ways to remove hurdles to trade, paying less attention to the issues that focus on the betterment of the systems so that they perform optimally to enhance trade (Economic Development in Africa Report, Africa 2013, p. 2).

Generally, when talking about productive capacities, economists are looking at the maximum that can be produced from a system. Reaching the maximum possible productive capacity is the desire of all, and there are things that enhance the productive capacities of the regions that need to be addressed. Although the removal of issues impeding trade is crucial, the efforts will not yield optimum results in the absence of legal framework to push up and release the countries’ potential (Economic Development in Africa Report, 2013, p. 2). This shows how the new regionalism ideology comes with a new way of thinking; previously the emphasis was on eliminating trade barriers. This

way of looking at trade demands that there are policy measures in place, which will help in the quest to remove barriers.

New regionalism, as mentioned, brought about a new way of looking at trade and effectively changed the trading environment. According to Makocheke (2013, p. 4), the changing trade environment exposed the inefficiencies of border procedures and their impact on economies. This brings to the fore the need to look at REPMS - the thrust of this thesis. New regionalism highlights how governments face illegal business procedures like fraud, and business has to deal with compromised supply chain efficiencies which lead to losses (Makocheke, 2013, p. 4). These issues come down to the cost of goods, which has been troubling the SADC region since inception. As such, it is important to improve the management of customs and other border procedures (Economic Development in Africa Report, 2013, p. 121), as this will help to reduce the time spent at borders. Once this time is reduced it translates into a lot of benefits, as “time is money”. According to Li et al. (2011, p. 82), ‘the delays and uncertainty encountered in moving goods across borders are among the most vexing impediments for traders in many countries’. This is because, together with the goods depreciation factor, time affects a firm’s ability to penetrate foreign markets as well as its volume of trade (Li et al., 2011, p. 82). It thus becomes critical to devise ways to reduce the delays emanating either from modes of transport or the procedures related to the transportation of goods.

#### 4.4 SADC’s place in the current REPMS studies

SADC’s predecessor organisation, SADCC, formed in April 1980, before becoming SADC in 2001. SADC has, to date, 15 member countries. Originally, SADC was created with the main aim of safeguarding countries from the brunt of apartheid policies (Keane et al., 2010, p. 10). This is because its main objective at its formation was to look for ways to empower member countries so that they did not continue looking to South Africa for anything (Zwizwai, 2007, p. 11). “The original members of the community were Angola, Botswana, Lesotho, Malawi, Mozambique, Swaziland, Tanzania, Zambia and Zimbabwe. On its independence in 1991, Namibia joined the community and became the tenth member” (Holden, 2001, p. 153-154).

With the fall of apartheid in 1994, there came a point when the states realised the need to move beyond cooperation towards RI (Zwizwai, 2007, p. 11). This culminated in “rule-governed cooperation”, which came with advantages. According to Zampetti (2006, p. 18), “the unfolding of rule-governed cooperation also reinforces states willingness to act with a sense of community, to

develop a collective dignity”. This is the drive necessary for the sustenance of any cooperative arrangement.

It is the nature of statutes that they include responsibilities that are key in the setting up of organisations of international cooperation (Simmons and Steinberg, 2006, p. 44). As such, SADC was formed with the aim of bringing together countries to work towards enhancing trade amongst them, as well as to improve the infrastructure and the members’ parameters (Zwizwai 2007, p. 11). When states come together in such organisations, they become socialised into community life. “Through their socialisation into a community states develop and rely on some form of ethics, defining their members’ rights and duties” (Zampetti, 2006, p. 18). For the then SADCC, just like any other organisation, this was made possible by an agreement which had the power to call members into action, which all members approved and agreed to abide to (Poku, 2001, p. 99).

In philosophical terms, when parties come together like this they are making what are known as covenants. The process of making these covenants is called “covenant building”. In Hobbes’ (1588-1679) perception, covenant building entails a multitude of men coming together and engaging in a mutual transfer of certain rights to some other person or persons (Covell, 2004, p. 29). Thomas Hobbes is best known for his work, *Hobbes’s Leviathan*, in which he articulated the “Social Contract” theory. Hobbes preferred to call this process the “formation of a commonwealth”. According to Covell (2004, p. 29), “the right that was so transferred through covenant was natural right, and this was defined by Hobbes as the right of men to use their own strength and power as they willed to the end of their own defence and preservation, and to do this with such means as they determined through their own reason and judgement”. No coercion was to be used on states to ensure cooperation.

This whole process of commonwealth formation, covenant formation or contract-making “is considered akin to participating in a contest or game and the rules of the game serve to regulate the way the contest is conducted” (Zampetti, 2006, p. 28). Of interest to this REPMS study are the Southern African states’ community’s principle objectives. These include (SADC, 1997):

- Development, economic growth, poverty alleviation, life quality enhancement and support for the socially disadvantaged.
- The promotion of and maximisation of employment and resource utilisation.
- To ensure the natural environment is protected and utilised sustainably.

However, cooperative institutions come with their own challenges and demands, which call for the putting of other measures in place. The traits that incline states towards cooperation come as a result of principles of discipline that all states identify with and agree to conform to (Zampetti, 2006, p. 18). In order to have these objectives, the SADC community proposed some driving steps, namely:

- The harmonisation of member states' policies and plans.
- Mobilisation of the region's peoples in taking initiatives to develop the region holistically, as well as optimum participation in, and the implementation of, organisations' programmes.
- To work towards enhancing free movement by removing existing obstacles.
- Human resources development promotion.
- Technology development and transfer.
- The use of regional cooperation to enhance the performance of economic management (Poku, 2001, p. 99).

SADC has done much towards achieving these objectives; according to Behar and Edward (2011, p. 2), the impediments to trade that existed between members were removed due to the SADC Free Trade Agreement (FTA). As a region, SADC continues to work towards the total implementation of a policy that will push members into deeper integration, enhancing trade between the region's members and beyond (Behar and Edward, 2011, p. 2). This is a positive development considering that this is a region under pressure from colonial legacies, amongst others. Managing to have a breakthrough despite such a background is a landmark achievement worth applauding.

The SADC Trade Protocol of 1996 did its share in setting the RI ball rolling. According to Keane et al. (2010, p. 27), it was set up to remove the impediments that hindered trade among countries within the same geographical location. In this document NTBs were defined as anything that acted as a hindrance to trade, with the exception of taxes that people pay for the importation or exportation of goods (Keane et al., 2010, p. 27). Coming into force in 2001, the protocol saw states working hard to remove their NTBs. Unfortunately, the efforts have not been as positive as far as REPMS is concerned, and there has been very little evidence of progress towards road entry point integration. Entry point integration can go a long way to the achievement of several objectives, such as protecting the environment from the negative impact of vehicles when they spend long hours at borders waiting to be cleared. The harmonisation of policies govern the way states relate to each other in the political, social and economic spheres, and plans of member states comes as the creation of an enabling environment for REPMS integration.

The development of ways to eliminate obstacles to free movement is far from being realised however, with the levels of NTBs persisting at entry points. In trade there is a need to address both the barriers at the border and within the borders (Trebilcock, 1995, p. 1). As such, revolutionising REPMS can be the long awaited answer to the NTBs at entry points. This will also see the improvement of regional economic management. In this way, REPMS fits securely into the region's integration context.

The integrated REPMS has advantages as evidenced in the regions already using them. According to Poku (2001, p. 10), the leverage that can work in favour of African countries occurs in two broad categories. Firstly, the markets will benefit from, and become more effective due to, the elimination of losses that arise due to the operations of the parties, the costs coming from the handling of trade-related procedures, and the costs associated with doing business (Poku, 2001, p. 10). These are costs associated with such things as:

- small market size;
- market distortion; and
- Barriers to the movement of productive factors as well as goods/ services resulting from productive national policies.

This is in addition to transportation, communications bureaucratic red tape and transshipping because of customs and border regulations (Chirathivat, 2008, p. 90).

Secondly, there are gains to be made due to scale. These occur in the setting aside of capital for various tangible and non-tangible projects that come from the programmes at the regional level (Poku, 2001). According to Chirathivat (2008, p. 90), 'if transaction costs among prospective members of a bloc are low, trade creation is likely to be large and trade diversion small'. The impact of transaction costs can foster market widening (Chirathivat, 2008, p. 91), which comes with tangible benefits as it leads to increased returns of scale. According to Li et al. (2011, p. 81), "enhancing trade through reducing trade costs thus promises to enhance welfare. In lowering fixed and sunk trading costs one unleashes dynamic gains of comparative advantage, economies of scale, and productivity improvement through resource reallocation".

However, before all that can be realised, there is a need for the region to improve its levels of harmonisation. Trebilcock (1995, p. 132) stated that "it is highly desirable to define in common, as rapidly as possible, procedures for checking conformity to standards established. Procedures for



checking conformity to standards should be mutually agreed so as to be applied by one country to the satisfaction of the other”. This is a very valid point and fundamental for the establishment of contemporary REPMS. The countries that wish to be involved must come together and compare notes, and wherever possible the areas of conflicting procedures must be harmonised. Once this has been done, there is a need to put in place measures to ensure that both partners adhere to these stipulations. This will ensure that the adopted REPMS performs the desired end of furthering integration, removing NTBs and protecting countries’ sovereignty.

The principle of fairness or the duty of fair play, as developed by Rawls and Hart, also come in handy. According to Zampetti (2006, p. 26), this is the principle used “to justify political and legal obligations, even beyond those based on consensual acts, promises and contracts”. It is in the dictates of this principle that parties appreciate that a benefit comes with a liability to the benefactor; the benefactor has to contribute towards the cost of that benefit’s production. In the event of some not abiding to this obligation, they will be taking unfair advantage of others. This violates the reciprocity and fair play principles at hand. Roughly, the principle of fairness (or fair play) compels those taking part in the cooperative schemes to do their part without being forced (Zampetti, 2006, p. 27).

Despite understanding the fair play principles, there is scepticism when it comes to harmonisation which is the cornerstone of revolutionising REPMS. “Sweeping claims of international harmonisation of many domestic policies in the name of trade or investment do legitimately engage concerns over excessive constraints on political sovereignty and democratic accountability by privileging competitive markets over competitive policies” (Trebilcock, 1995, p. 14). This is because “each stage of economic integration has political costs as well as benefits, and inevitably some elites will gain from a merger while others will lose” (Jones, 1991, p. 213). This is the same problem, as raised in earlier sections, which arise from the way individual states revere their state sovereignty.

So far, the literature has recognised SADC’s efforts and challenges to date, however there is a new school of thought that is emerging - the “new regionalism” - which also needs to be understood. This is a contemporary way of looking at RI, appreciating that some of the regional groupings were founded decades ago. There is need for a new lifeline in the way states perceive such organisations. A look at this phenomenon in the forthcoming section gives these and more insights.

#### 4.5 Chapter conclusion

Many solutions for alleviating border-related problems come from the literature, which were presented in this chapter. This is literature from studies on RI and the movement of goods phenomenon from all over the world, as well as the region under study, SADC. Of special interest are lessons coming from AIKS, given as the pre-colonial African wisdom. This section explained the way trade happened in the pre-colonial era, having realised that it is important to look into AIKS as evidence of long distance trade in Africa. Lessons were also drawn from the Schengen system, which is a very contemporary development that the world can learn from. Several methods in use or envisioned for the alleviation of border delays have also been presented. These include tamper proofing, global positioning system (GPS) tracking, transit corridors, pre-shipment inspections, juxtaposed offices, and collaborative border management, among others. The latter part of the chapter explained SADC's place in the current REPMS study. The forthcoming chapter presents approaches that can be taken by regions or countries as they develop or integrate. This is given the understanding that countries and regions are working towards deeper integration.

## CHAPTER 5 APPROACHES TO STAGING REGIONAL INTEGRATION

### 5.1 Introduction

The last three chapters presented the CRT philosophy, the challenges to RI, some lessons that can be taken from AIKS, and contemporary systems in literature towards addressing RI and REPMS challenges. In trying to find the answers to the RI problems, countries can adopt one of several RI and integration approaches. In this thesis, two integration and development approaches will be combined and explained. These are the piecemeal and the holistic approaches, as emerging from the functionalist and neo-functionalist theories and the modernisation theory respectively. First will be the presentation on common integration and development theories in common usage. This will then be followed by several sections on the piecemeal and holistic approaches.

These two are not to be confused with the philosophical framework presented in Chapter 2. The philosophical framework laid out the methodological foundations for this research by setting out the ontological and epistemological views guiding this research, which led to the adoption of the case study and mixed methods. The theories to be presented herein are theories giving approaches that countries can follow when approaching RI and revolutionising their REPMS. This is against a pragmatic worldview background in which the researcher refuses to be limited in methods or tools, and would want to look at both the fast and slow approaches to RI and development before deciding on the best approach.

### 5.2 Theories of integration in common usage

Interest in understanding RI through theories can be traced back to the early 18<sup>th</sup> century. “Regional integration is not a new phenomenon. Examples of *Staatenbunde*, *Bundesstaaten*, *Eidgenossen-Schaften*, leagues, commonwealths, unions, associations, pacts, confederacies, councils and their like are spread throughout history” (Mattli, 1999, p. 1). Since then, various studies have been conducted on RI, with some establishing that certain organisations of the old days have been voluntary, while others have been involuntary. According to Mattli (1999, p. 1), the earliest voluntary integration can be traced back to the days when Prussia and Hesse-Darmstadt formed a customs union. This development was then followed by initiatives of “the Bavaria Wurttemberg Customs Union, the Middle German Commercial Union, the German Zollverein, the North German Tax Union, the German Monetary Union, and finally the German Reich” (Mattli, 1999, p. 1).

If this process is based, among other things, on geographical terms, then regional integration is a suitable term. RI entails the transfer of a country's powers to a higher institution (Dosenrode, 2010, p. 3).

Most researchers on RI have used the federalism and inter-governmentalist theories. Works in this vein of great interest to this thesis are Dosenrode (2010) and Moga's (2009) research. According to Dosenrode (2010, p. 11), "*federationis* derived from Latin *foedus* meaning pact, alliance, covenant an arrangement entered into voluntarily and implying a degree of mutual trust and duration". As such, federalism attempts to explain the emergence, organisation and functioning of federations (Dosenrode, 2010, p. 11). Examples of states that have successfully implemented the federation concept are Switzerland, the USA, India and Nigeria. According to Dosenrode (2010, p. 13), federalism and neo-functionalism share some assumptions.

Table 5-1 brings these assumptions together, which range from interests to attitudes and the nature of the participating states, which they take to be democratic.

Table 5-1 Federalists and neo-functionalists shared assumptions

1.	Integration aim towards creating a unit stronger than the members were before they joined others
2.	The process is not driven by ideology, rather it is driven by the interests of the states
3.	Something that is not within the systems' confinement may be necessary to stimulate the coming together of states
4.	Elites' attitudes are crucial
5.	The states that will be taking part in the system will be democratic states

Source: (Dosenrode, 2010, p. 13)

However, federalism is not associated with the spill-over concept (Dosenrode, 2010, p. 14). It is the functionalists and neo-functionalists that put emphasis on the "spill-over" effects as they focus on explaining the development and integration process (Gehring, 1996, p. 229). The "spill-over" concept is one of the fundamentals of the neo-functionalist theory, which this thesis will explain in detail.

Also common in international relations related to regionalism is the neo-realism theory. This, according to Soderbaum (2004, p. 18), is "still the most influential approach". It takes a standpoint of analysing "the formation of regions from the outside in" (Soderbaum, 2004, p. 18). This theory of neo-realism is associated with Kenneth Waltz, who wrote an array of works on this topic. He emerged in the late 1940s when he completed his first degree and advanced to become a renowned

professor in the field of Political Science in the late 1950s (Waltz, 2008). His ideas on realism, neo-realism and international politics are well presented in his collection; *Realism and International Politics*.

This REPMS study builds into deepening integration in Southern African scholarship. The gist of the study, as indicated earlier, is in part taking off the functionalism and neo-functionalism theories presented herein as the “piecemeal strategy”. Among other things, this will be used to establish the relationship between (a) REPMS and NTBs and (b) state sovereignty and the level of RI in a region.

The other theory commonly used in RI studies is inter-governmentalism. Its main proponent was Andrew Moravcsik. According to Diez et al. (2011, 190), inter-governmentalism describes the type of integration that arises due to the desires of the participating states. Inter-governmentalism recognises the emergence of the community through the help of the international system, and thus attempts to present a way of analysing arrangements that are of international cooperation in nature (Gehring, 1996, p. 225).

This is a very contemporary theory that was preceded by all the other theories that this thesis has used. Moga (2009) worked with the aim of emphasising the extent to which the two grand theories - neo-functionalism and inter-governmentalism influenced the process of integration in Europe, which culminated in the European Union (EU). The author argued that both theories are at the higher level of international relations, having been set-up to explain and foresee the coming together of European member countries (Moga, 2009, p. 796).

Inter-governmentalism asserts that “integration is not an effect of spill-over or the interests of a supranational agent, but of member states’ interests” (Diez et al., 2011, p. 190). This is one argument that drove this researcher into engaging the functionalist and neo-functionalist ideas alongside the modernisation theorists’ ideas for this thesis. These are the main proponents of integration happening as a result of “spill-over”. This and more, stood to be tested in this REPMS thesis.

### 5.3 The ‘piecemeal’ integration approach

One of the strategies developed and considered for this REPMS study was a piecemeal strategy. The researcher borrowed this term from Cooper (1989, p. 548), who asserted that the “functionalist approach is gradual and the institutional development piecemeal and experimental”. To get into the intricacies of this strategy, the functionalism and neo-functionalism theories will be detailed and explained hereafter.

This researcher decided to develop and explain a strategy from these two theories in order to help expand the body of knowledge on RI. A focus on these theories reveals how several regions have approached RI. The analysis will also extend to other developmental issues that are not at the RI level. These theories will show how even at micro levels, organisations can approach developmental issues.

The functionalist and neo-functionalist theories offer a strategy that presents a gradual way of integration. This is because, according to Dosenrode (2010, p. 1), neo-functionalism is not in a position to explain the type of integration that happens swiftly, but is rather confined to explaining that which is slow. The functionalist and neo-functionalist theories are presented together herein because functionalism, as will emerge in the discussion, “influenced thinking on regional organisations only in a ‘neo’ form” (Brown and Ainley, 2005, p. 120). The neo-functionalist theory argued that “economic, technological, and other developments during the twentieth century have driven peoples and nation-states towards peaceful economic and political integration at both the regional and global levels” (Gilpin, 2001, p. 350). The researcher saw fit to assess the two theories together, as either is incomplete without the other.

### 5.3.1 Requisite elements for setting up an organisation

There are certain requisite elements for an organisation that aims to encompass more than one country’s affairs. A regional integration arrangement aiming to be supranational must have strategies for the maintenance of peace, the attainment of multi-purpose capabilities, specific task accomplishment and the development of a new identity (Dosenrode, 2010, p. 5). Each of these elements will be addressed forthwith in order to gain an understanding of them.

Table 5-2 puts together the elements that are key in the formation of a supranational unit. The order of listing, however, does not correspond to the worth of the element. As explained earlier, this is an incremental process so each element is of great worth at its particular level.

Table 5-2 Elements of the supranational unit formation strategy

<b>Element</b>	<b>Explanation</b>
Peace maintenance	This is the ultimate goal of all unions, because in the absence of peace a lot of things will fall apart.
Greater multipurpose capabilities attainment	States broaden aims and aim higher.
Specific tasks accomplishment	The tasks are not to be tackled randomly. Each unit will have a task allocated to it per functional capability. The achievement of these specific tasks builds into the achievement of bigger tasks.

Gaining new self-image and role identity	Once the three above fall into place it becomes inevitable to deal with identity issues. Some transformation will have taken place from the previous selves of members to the one emerging out of the new exposure. This automatically gives a new image.
--	--

Source: Dosenrode (2010, p. 5)

These four elements, as explained, show an incremental approach; the “piecemeal” and “experimental” aspect that is advocated for by functionalists and neo-functionalists is evident. This makes it easier as states would be undertaking easily “digestible” tasks at every point.

### 5.3.2 Rooting the Functionalist and Neo-Functionalist theories

These two theories are rooted in the liberal institutionalism theories which are varied. Some of the theories under this category are very old, whilst some are relatively new. Their common trait is their analysis of “regions through the inside out and with emphasis on institutional and liberal aspects” (Soderbaum 2004, p. 20). Functionalism and neo-functionalism are “primarily strategies (or normative methods) designed to build peace, constructed around the proposition that the provision of common needs and functions can unite people across state borders” (Soderbaum, 2004, p. 20).

The neo-functionalist approach has its origins in the functionalist school of thought. “Functionalism stands in the liberal tradition and follows the conceptualisation of politics as a result of the struggle to satisfy individual and societal needs” (Diez et al., 2011, p. 64). According to Brown and Ainley (2005, p. 120), “peace in parts describes the hoped-for collective outcome of these individual cases of functional cooperation”. This means peace will emerge from the different parts making up the whole.

According to Dosenrode (2010, p.22), the founder of the neo-functionalist theory, Ernst Haas, began his work through a rigorous analysis of the functionalism theory that had been set out by David Mitrany in the 1940s. In turn, the functionalist theory is reported to have come about as a reaction to the approaches to peace like federalism and collective security that were viewed as being state-centric (Brown and Ainley, 2005, p. 119). Moga (2009, p. 797) added that Ernst Haas was the first to elaborate on the neo-functionalist theory. The main focus of these theories was on giving a “socio-scientific” understanding “of existing integration processes among states, as for instance the European integration process” (Diez et al., 2011, p. 63). Mitrany considered nationalism and the political organisation of societies in nation-states to be the main problem behind Europe’s war torn history. In order to achieve peace, he advocated the “rise and spread of functional organisations where international problems would be tackled by those affected” (Diez et al., 2011, p. 63). This

would effectively bring specialisation and all its associated advantages to the managing of different pieces of the system.

According to Brown and Ainley (2005, p. 119), “functionalism is the most elaborate, intellectually sophisticated and ambitious attempt yet made not just to understand the growth of international institutions, but also to plot the trajectory of this growth into the future, and to come to terms with its normative implications”. This pits it not only as a theory but also a model. “It is an original set of ideas, parallel in scope to realism, but, unlike realism, it has little contact with past diplomatic tradition” (Brown and Ainley, 2005, p. 119).

The use of the neo-functionalist theory in studying international systems dates back to the 1960s, when it was used in the work of global financial banking institutions by Sewell in 1966 (Diez et al., 2011, p. 63). It claims that countries must cooperate first in specialised or “functional” areas to nurture trust, eliminate conflict and lay the foundation for further cooperation (Roskin, Cord, Medeiros and Jones, 2006, p. 384). In so doing, countries will be identifying areas in which it is feasible for them to work together before moving to the more complicated and volatile areas. This cooperation is how “commonwealths” are established. This means the process becomes guided by principles underlying the formation of a commonwealth, which were discussed in Chapter Two. Among other things, “the covenant instituting the commonwealth was such that, under its terms, the individual men who were parties to it were understood to agree to give up the right to govern themselves in accordance with their own will, reason and judgement, and to transfer this right to some man or assembly of men” (Covell, 2004, p. 29).

Neo-functionalism presents a way to study the existing REPMS in SADC, as the theory revolves around common interests and needs issues. It takes a cue from the functionalists who argued that “integration was necessary because states were unable to cope with the effects of modernisation” (Steans, Pettiford and Diez, 2005, p. 38). These two theories can thus be used in the development of the “piecemeal strategy”.

Many scholars have put forward that functionalist and neo-functionalist theories both inform RI and strategies to be implemented towards attaining RI. The theories describe an aspect of “spill-over” effects that this study seeks to establish in the REPMS in use in the SADC region. The neo-functionalists believe that the interdependence that is created by working together will spread from economic sectors to other sectors (Ozen, 1998, p. 2). Neo-functionalists call this automatic process “functional spill-over”. The neo-functionalists attach great importance to this concept; most of their arguments revolve around ways to get to the stage where there will be “spill-over”.



### 5.3.3 Problem making in the international system

Cooperation in the international system is justified by the daily exploits of the member states. According to Steans et al. (2005, p. 38), “functionalists argued that interaction among states in various spheres created problems which required cooperation to resolve”. States interact on several areas on a daily basis, such as road entry points. This interaction creates a lot of problems for the concerned states and their nationals. “Neo-functionalists emphasise the deliberate design of regional institutions”, as these are viewed as being able to find solutions to the everyday problems of the system (Soderbaum, 2004, p. 21). Some of the issues, as raised in the last two chapters, are to do with delays at entry points that arise due to immigration and ports’ administrative work. Other problems are environmental, as the time trucks spend detained at entry points have a negative consequence on the roadside environment. To solve such problems there needs to be cooperation; no one country can attempt to effectively solve these problems on their own, particularly as these problems arises due to the interaction of more than one state.

### 5.3.4 Problem-solving stages in the international system

The theories, by and large, tried to get responses to queries regarding why and how states come together to cooperate. Among other things, the theories also sought to reveal what stages, if any, that states followed in the integration process. According to Mitrany (1975), the neo-functionalism theory has proved to be very useful ‘in studying the cooperative aspects of international relations’. Functionalism and neo-functionalism are concerned with the development of a “working peace system” (Mitrany, 1975), which means the theories’ ideas seek to develop something that yields results because of the peace that each constituent brings.

This is why, according to Brown and Ainley (2005, p. 119), to understand functionalism one must take it as a road to be used in tracing the growth that happened in the past, as well as insights into the future even though this is not the real mission of the functionalist theory. Instead, the theory is an outline of peace requisites. The theory sought to give answers as to how states can achieve international peace. According to Steans et al. (2005, p.38), the “functional interaction would, in turn, have effects on international society, enhancing peace and making war so disruptive and costly that it would no longer be considered a ‘rational’ means for states to realise their aims and interests”. The theories, however, have proven to be multi-purpose, as they have successfully explained how states can develop international institutions.

The issue of bringing peace to the international system drives both the functionalist and the neo-functionalist theories, as they try to predict how peace will be ensured in the international system. According to Jones (1991, p. 558), “in the long run, peace is preserved by growing international trust and reciprocity constructed around specific common objectives of states”. This means that when states work together they start to understand each other; they start to have faith in each other due to the sincerity that each shows to the system’s objectives. This will see the international system reaching peace because all will have faith in all. The theories have been very useful and greatly utilised by those “directly concerned with the practical work of setting up international institutions, such as UN and specialised agents” (Mitrany, 1975). This is when states and people agree to a civilised way of doing things because there is something of real worth in it for them.

According to Cooper in Mathew et al. (1989, p. 548) “the functionalist argument moves through four phases or steps”. These phases start from that point in history which brings conditions “which give rise to new functions, which in turn necessitate novel types of institutional arrangements in government, especially at the international level” (Cooper, 1989, p. 548). These emerging new functions call for new responses and responsibilities. This demand the implementation of necessary “adjustments required in specific circumstances” (Cooper, 1989, p. 548). Once the adjustments have been made to cater for the emerging changes, the next step presents itself.

The next phase comes as the “ramification or enlargement of this functional administration is envisioned, with its impact on peoples and states” (Cooper, 1989, p. 548). This is when the involved members start to think of extending the areas they are working in together. Finally, “the cumulative effect of this process of expansion is a functional international order bringing peace and international government to a world community- an effect tantamount to transformation of the international system” (Cooper, 1989, p. 548).

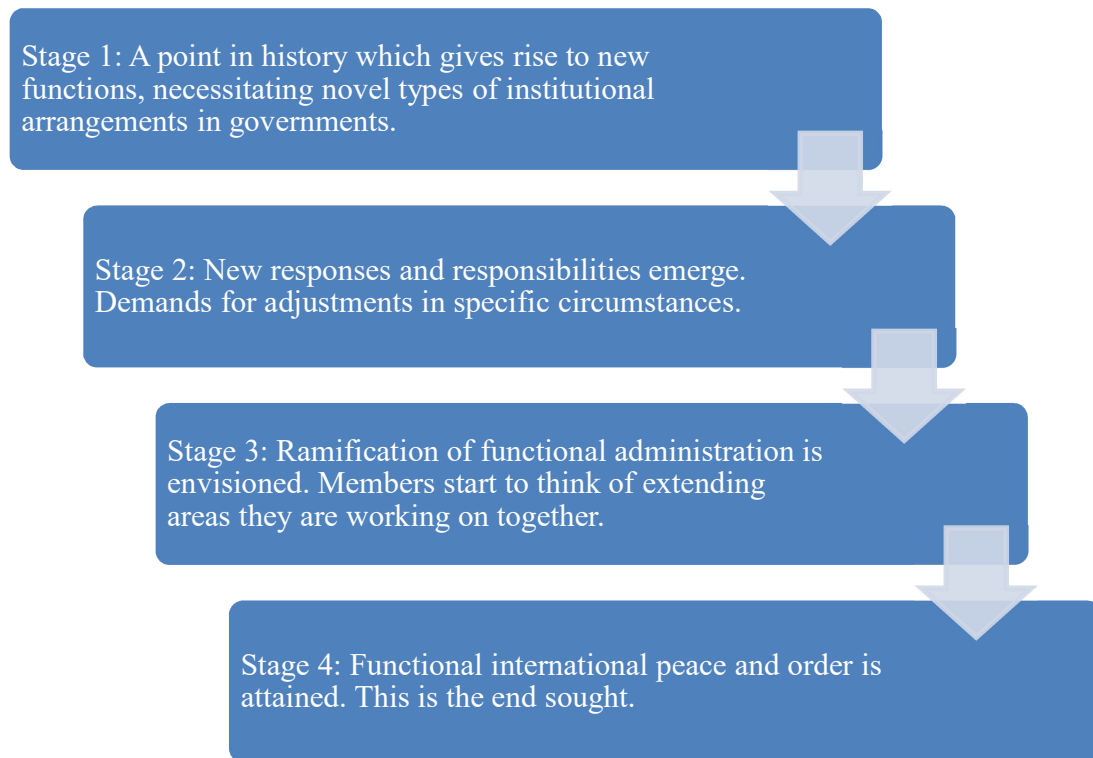


Figure 5-1 Stages of the “piecemeal” developmental approach

Source: Cooper (1989, p. 548)

Figure 5-1 shows that this stage signifies the end sought, where peace prevails in the international system because states are working together. The international system is changed as there is a new institution created and given powers by states; states readily submit to the dictates of this new institution as there are benefits accruing to them. These four stages can be visualised as presented above.

The existence of these four stages offers a roadmap that states will consciously or unconsciously follow. It must be noted that in reality the divide between the stages is not as neat as presented in the model (Dosenrode, 2010, p. 5). States can purposefully give in to each stage’s demands by anticipating greater benefits in the next stage. On the other hand, states can be pushed into adjusting to the demands of the stages by what will be happening around them, i.e. they will be carried by the tide. Whatever the case might be, the end sought will be peace and order.

### 5.3.5 General implications of people's attitudes to the strategy

When looking at functionalism and neo-functionalism as theories partly informing this thesis, a look at change is also necessary. According to Cooper (1989, p. 548), "the functionalist argument about change, and more specifically change at an international level, is a complex one which includes all three levels of analysis -the attitudes and loyalties of persons are expected to be refocused; the goals and capacities of states altered; and the structure and *modus operandi* of the international system transformed". This means the transformations will involve and lead to changes in states' perceptions, actions and competences among other things.

This adds character to the "functionalist argument" presented diagrammatically above. The issue of refocusing "attitudes and loyalties" must be taken seriously; because once this is not done there will be resistance to change, which will in turn lead to failure at the implementation stage. When looking at changing the *modus operandi* in the international system, it means that all states must be prepared to give and take. The way the system will operate from that point going forward cannot remain unaltered as if nothing new has happened. The realisation of the new functions added to the international system's responsibility will mean a change in the way it operates.

### 5.3.6 The "spill-over" concept

The "spill-over" concept as presented by functionalists and neo-functionalists stood to be tested by researchers in SADC; whether different REPMS have any effects on the type of NTBs in the region and any effects these also have on other downstream related aspects in countries' economies and the region. This spill-over became the central point from which the analysis began. The concept moved with the claim that when integration occurs in one area, it will, with time, stimulate the integration of the other economic areas (Dosenrode, 2010, p. 23).

According to Ozen (1998, p. 3), Haas and neo-functionalists saw the political field in two distinct parts- the high and low politics distinctions. High politics would entail, *inter alia*, such things as diplomacy, strategy, defence and national ideologies. These represent areas that are "hard" to take as integration starting points, i.e. cooperation should ideally start in the areas of low politics. States are less willing to change vital or high politics areas like foreign policy; these are the areas that states inevitably do not readily want to surrender to a common management or authority (Moga, 2009, p. 801). In fact, states tread with caution in such matters to ensure they remain in control when it involves such vital interests (Moga, 2009, p. 801).

According to Mitrany (1975), starting from basic integration, the functional approach has the capacity to entangle states in a web of more cooperative arrangements. This is how they can spread to areas of high politics, because “as trust (is) built around relatively non-political interests, it will spill over to the crucial political interests of governments” (Jones, 1991, p. 558).

Functionalists and neo-functionalists present an incremental approach that separates high and low politics, urging states to start with the low politics areas. As states work together in areas of low politics, it is assumed that they will develop trust. It is upon this trust that peace that can bring states to work together in other areas is developed (Gehring, 1996, p. 229).

In looking at spill-over issues, this researcher also had in mind the issue of trade facilitation. Having mentioned in the preceding chapters that REPMS fall under trade facilitation, this thesis wanted to link this aspect to economic growth. According to Hewitt and Gillson (2008, p. 86), based on the assumption that as trade facilitation occurs there will be benefits of positive growth, the spreading of these benefits to all sectors must help developing countries to address some of their problems. This assumption shows the expected spill-over effects; if it happens in this way, there will be positive spill-over effects.

However, some scholars are of the opinion that high and low politics are two sides of the same coin and must be assigned equal worth. Accordingly, it is important to realise that a country’s security policies result from the state’s responsibilities on both the international and domestic fronts (Barnet, 1990, p. 530). Here the author is referring to the importance that must be given to both high and low politics. High politics in this case is represented by the international realm of politics, whilst the low is represented by domestic security policies. In this perception, the state’s security emanates from both international security policies as well as domestic security policies. Barnet (1990, p. 531) consequently dismissed the separation that has been deemed to exist between the two. This leaves the neo-functionalist theory with some explanation to do to rationalise their advocacy which favours giving attention to low politics areas first, and then moving to high politics issues.

Nevertheless, according to Diez et al. (2011, p. 63), functionalism is “an approach that is used in different areas from sociology to architecture. Despite their differences, all functionalists- as the name suggests- emphasise the function of an entity”. When looking at things as entities, functionalists introduce the importance of specialisation. This is when each aspect of a system is appreciated for its specific worth and duty. Thus, “functionalism as an approach in International Relations is central to the study of international integration” (Diez et al., 2011, p. 63).

Figure 5-2 shows the “spill-over” concept and the functional integration as imagined by the researcher. Cooperation starts in less volatile areas, but as this happens, the cooperation will inevitably spread to other areas setting the whole ‘wheel’ integration in motion.

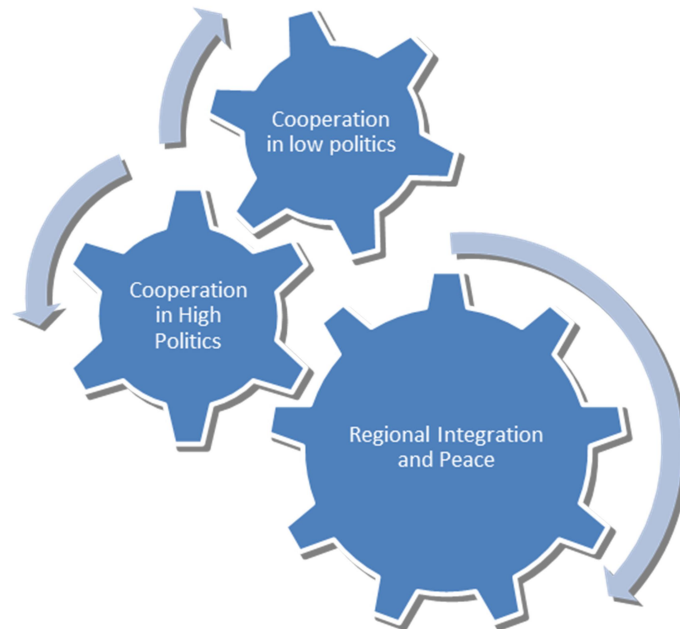


Figure 5-2 Functional “spill-over” concept

### 5.3.7 Theorists’ views on state sovereignty

The neo-functionalists posit that states are reluctant to lose their sovereign authority in the fields of high politics (Ozen 1998, p. 3). As per Chapter 3 where the perceptions of SADC members when it comes to state sovereignty issues were tackled, SADC countries, due to their colonial history, revere state sovereignty. Therefore, as Haas would have it, neo-functionalists propose that integration be approached from the economic and technical spheres that are on the low politics side. Accordingly, integration in the high politics field would come as a natural consequence of the spreading integration process. As such this theory becomes critical in the consolidated study of state sovereignty and REPMS which are high politics and low politics respectively.

State sovereignty is of serious concern when dealing with integration issues. As such it is also a topical concern in this REPMS study. According to Brown and Ainley (2005, p. 120), “the functionalist model of sovereignty stresses the primacy of the political dimension of sovereignty. Sovereignty is a bundle of powers. As these powers are gradually shifted away from the state to functional organisations, so, gradually, the capacity of the state to act as a sovereign will diminish”.

This will mean that the state's capacity to make some unilateral decisions would be limited. This, in the perception of idealists, is good for development, as power will no longer be concentrated in one place, however in the perception of realists, this would mean the erosion of the only reserve of power that the state has, i.e. the state will shed its decision making powers and the progression of the state's programmes will predominantly depend on other members of the system's inputs.

The complexity that state sovereignty presents to the international system can also be traced to psychological explanations. Brown and Ainley (2005, p. 120) posited that "there is an element of political psychology involved here; the assumption is that the loyalty individuals give to states is a product of the things states do for them and, as other institutions take over the performance of particular activities, so loyalty will drain away". This can be interpreted in the positive or in the negative, depending on one's underlying philosophy and view of life. As explained in the foregoing paragraph, for idealists this can be a very positive development. Once people's loyalty to the state is reduced it means the "functional parts" will get that loyalty and effectively build peace. These areas of new loyalty, however, in the realists' perspective will mean the state will have lost its relevance. These different philosophies emerge and persist as contesting factors in the application of the functionalist and neo-functionalist ideas.

#### 5.3.8 Notes from the European Union integration

Risse (2005) explained Haas's theory in the context of European integration, i.e. that "transferring loyalty to Europe and the EU [was possible without giving up one's national identities]" (Risse, 2005). Although very idealistic these emerging findings can be useful in understanding RI, and can be corroborated by the lessons from the Schengen border system presented in the last chapter, i.e. that individual Schengen members were to surrender some of their powers in terms of controlling the exit and entry points of their countries, and consequently also take up other responsibilities in line with the shared control of borders (Zaiotti, 2011, p. 2).

As this happens, according to Brown and Ainley (2005, p. 120), "gradually the territorial state will come to exercise fewer and fewer functions – instead states will be anomalous institutions attempting to be multi-functional and territorial in a world in which most of the business of governing and administration will be carried out by bodies that are functionally specific and non-territorial". This can be a very big advantage in that the state will have more energy at its disposal to look at other domestic issues that are to remain the sole responsibility of the state. Instead of having states duplicating efforts on things that they can share responsibility over in the international system, this duplication will be tremendously reduced.

This happens as political actors are persuaded to transfer their loyalties to a higher institution that will have jurisdiction over their individual national interests (Haas, 1958, p. 16), such as when the Schengen states surrendered their border management to the institution they had formed. This is despite the previous members' perceptions that "border controls are geared towards reinforcement of national law" (Karanja, 2008, p. 2). This affirms the rationale behind the reason for having international institutions. According to Steans et al. (2005, p. 38), "international institutions were thought to be increasingly necessary as a complement to states, whose individual capabilities to deal with problems generated by new technologies were decreasing".

### 5.3.9 A spill-over analogy from African indigenous knowledge systems

To simplify the theoretical framework presented thus far, an analogy has been identified from common life events. The "piecemeal" strategy presented herein has striking similarities to the African marriage process. Putting this into the picture of any analogy can help in the better understanding of the theory. This, in effect, is using the African Indigenous Knowledge System (AIKS) in the simplification of the theory. It also helps not only with making the theory digestible, but with revealing that the process is not new to Africa.

The African marriage and courtship process differs from country to country, and even within a country, the practices tend to differ from region to region. Nevertheless, there are things that are generic in most areas. This researcher found some parallels of the marriage process to the "piecemeal" integration strategy developed herein.

In the African culture the initial stages for any marriage involve getting to know each other. This is when a boy, having scouted for a probable fiancée, develops a relationship with the chosen girl. The boy finds and creates time to be with the girl. In the process the two will learn about each other's characters, and in the meantime the boy will plan the best strategy to present his case for the two to elevate their relationship from friendship to people in love. Emissaries can be part of the process in the form of go-betweens and chaperones. The exchange of small presents commences. In some communities, visits to the other person's homesteads to help in household jobs are instigated, which will warm people's hearts to the developing friendship.

With time, almost automatically, the two will be in love. The friendship will have been elevated to courtship level and they will have developed trust in each other during their days as friends. This can be taken to represent how a strategy of approaching integration from low politics issues happens in the international systems. As time progresses, all things being equal, the two will eventually get to a



point when they want to move from mere courtship to marriage. Yet marriage is not a simple thing; this is a highly “political” arena as it involves the immediate and extended families of the interested parties. However, the way any potential suitor will be received depends on the views the family holds over him. These views will, more often than not, have been built during the period when the two were still courting. Marriage, to this researcher, typically represents a ‘high politics’ realm.

In essence, if a girl or boy anticipates a marriage, the foundations are to be laid during the courtship stage. This is when trust, respect and love are built between the two parties and their families. No one, in their sober senses, would approach a girl’s family to talk about marriage without having gone through courtship first, as people would question his sincerity and sanity. Although debatable, the length of the courtship period also plays a role towards the durability of the marriage. As such, this marriage process has parallels to the piece-meal strategy developed herein. These emerge from the prescriptions and assumptions of the functionalist and neo-functionalist theories. Taking a leaf from this AIKS analogy can help bring the integration process, as described by the functionalists and neo-functionalists, to life.

#### 5.3.10 The “piecemeal” strategy’s shortfalls: a critique of the theory

The strategy presented above is not without its pitfalls. Most of these emerge in other theories that have been put forward to help explain integration. Other pitfalls come from the practical use of the theory and critical thinking when analysing reality as it occurs. According to Diez et al. (2011, p. 64), the most immediate opponent of functionalism is federalism, which rejects the assumption of effective and efficient international institutions created according to functional requirements by postulating the idea of a territorial entity, composed of nation-states as constituent political units and a central government authority. The reservation presented here is that it is not viable to try to create international institutions following the “piecemeal” strategy; the nation states must remain key players handling their affairs with maximum autonomy.

The functionalist and neo-functionalist approaches erode state sovereignty; the failure of these two theories is due to the fact that they pretend to work towards promoting state sovereignty yet in actual fact they are inimical to the state sovereignty doctrine (Brown and Ainley, 2005, p. 119). This shows how the issue of state sovereignty remains a topical issue in international relations. The critique here suggests that if these theories are to deliver they have to maintain the integrity of state sovereignty. When states give up some of their functions to the international system it can be interpreted in different ways - some see it as tampering with the sovereignty that it seeks to strengthen. This is especially true when looking at one of the major principles of functionalism, which talks about the

capacity that cooperation at the international level has to eventually erode one's loyalty to a given state (Mitrany, 1975). This, to an extent, is negative, because when states take up initiatives at international level it means they expect them to enhance their state sovereignty rather than erode it. So, by producing results that seemingly reflects a loss of some degree of state sovereignty, the theories fall short.

That is why, in reality states have put mechanisms in place that ensure that inasmuch as they join an international networking system, they still maintain their sovereignty. Although a lot of organisations have emerged, the state remains important with the state sovereignty principle still fairly intact (Brown and Ainley, 2005, p 121), i.e. states have somehow managed to ensure that their sovereignty remains unshaken. This is because "functionalism does not treat the nation-state and therefore the international system as an ontological given, and instead is seeking ways to overcome the organisation of politics in sovereign states" (Diez et al., 2011, p. 64). When the changes in the organisation of politics yield good results it is beneficial, however states tread with caution because they do not want to expose themselves to danger by experimenting with their sovereignty.

Accordingly, states have remained cautious when dealing with other states in the international system. This also confirms the states' perceptions that the realist scholars present, i.e. that states are self-centred and will not trust anyone in the international system. Whatever they do they remain suspicious and cautious, watching every step they make without letting go of their sovereignty. States have effectively set boundaries for the cooperation that occurs and protected it from the effects of functionalism (Brown and Ainley, 2005, p. 121).

States are the only entities that can protect their people. There are things that, to date, only states have been able to do for their people, such as the protection of their inhabitants from outsiders. According to Brown and Ainley (2005, p. 121), the protection of their people from outsiders is one thing that states will not readily surrender, and it is on this strength that states continue to win people's loyalty. In addition, a "state has the ability to retain some influence in shape and outcome of politics despite being weakened by globalisation", defeating the neo-functionalists' assumption that more cooperation emerges out of "spill-over" effects (Rosamond, 2000, p. 38). This becomes critical when looking at REPMS, as entry points are key and states cannot readily relegate them to international control as they are pivotal to state security.

Further studies show that there are other less conspicuous reasons why some integration has taken place that the neo-functionalists cannot account for. A study by Ozen (1998) sought to establish whether neo-functionalism remains valid in explaining different kinds of integration movements

towards a political end or not. Adopting a case study method, the researcher applied the neo-functionalist hypothesis to the Turkey-EU integration process. The study was divided into two phases: the critical dynamics that were observed in the phases included the Soviet threat and the Greek factor as political aspects hastening integration, while on the economic front there was the issue of the difficulties Turkey faced in accessing funding from the United States, i.e. Turkey saw the European Communities as a viable option to give her credit. The study established that the Turkey-EU integration process departed from the neo-functionalist hypothesis in many ways, as there was a different relationship between the economic and political integration processes. These findings offered new way of looking at the reasons for integration and expanded the understanding of how countries become integrated, rationalising the need to study region by region because examining different cases will help one to understand better what has influenced the processes there.

The issue of “spill-over” is also another not so clear issue in the functionalist and neo-functionalist theories, as there remains a question regarding the course of action that needs to be taken to deal with negative “spill-over”. This is because, realistically speaking, actual results can be different from those envisioned. Some of the studies presented above that have used the neo-functionalism theory established that it does not provide a way to foresee and arrest negative “spill-over”. It is possible that a “functional” area can have unintended effects on the system, yet neo-functionalism assumes that ‘spill-over’ will “automatically deepen cooperation” (Diez et al., 2011, p. 64).

The functionalists thought that once states get to international cooperation they will never move out of it. According to Steans et al. (2005, p. 38), “functionalists believed that, as the level of cooperation and integration increased, it would be more and more difficult for states to withdraw from the commitments they had entered into, since their people would be aware of the benefits achieved by cooperation”. This is highly questionable as history is awash with cases in which states have moved out of esteemed international arrangements. The case of Zimbabwe’s withdrawal from the British Commonwealth is such an example; in 2002 Zimbabwe made a deliberate choice to move out of the Commonwealth in order to retain its state sovereignty (Hove, 2012, p. 76). In fact, the best way to advise states is to give them the assurance that they will still have the option to move out if they so desire. This will be one way that states can really see that there will be a way of dealing with integration in case of negative “spill-over”.

Nevertheless, the functionalist and neo-functionalist approaches still find some support in the institutionalists’ philosophy. According to Slaughter (2011), “Institutionalism relies on microeconomic theory and game theory to reach a radically different conclusion—that co-operation

between nations is possible". Realists believe that such cooperation can only be sustained through the use of coercive power (Slaughter, 2011).

The assumptions and stance of the realists argue that cooperation and integration are impossible without coercion. On the other hand, institutionalists postulate that institutions have the capacity to survive pressures that can attempt to derail cooperation (Slaughter, 2011), because they see a lot of benefits arising from such institutions. "Countries agreeing on ad hoc tariffs may indeed benefit from tricking their neighbours in any one round of negotiations. But countries that know they must interact with the same partners repeatedly through an institution will instead have incentives to comply with agreements in the short term so that they might continue to extract the benefits of co-operation in the long term" (Slaughter, 2011). As such, despite all the criticisms, it is worth exploring integration and cooperation at the regional level, even in volatile areas like REPMS that under normal circumstances will be viewed as impossible. This is consistent with the functionalists thinking; "At a deeper level, functionalism implies far reaching political changes which amount to a transformation of the nature of politics, the state and the international system" (Cooper, 1989, p.547).

The hope for REPMS in functionalists' ideologies comes in their preference of organisations that involve more than one country. 'The rewards would be greater if the organisation worked, where necessary, across national frontiers, which very frequently cut into organisation's ideal working area (Mitrany, 1975, p. 3). This means countries need to consider strategies that enable them to up their cooperation to such levels. This is the only way they can enjoy the rewards of working together.

### 5.3.11 Rationalising the "piecemeal" approach

According to Brown and Ainley (2005, p. 119), utilising the functional approach is viable because "form follows function"; cooperation will prevail if it is taking a specialisation approach whereby each member does what they do best. Those things that no individual state will be good at will be tackled from a united front. This explains how some things that states are doing individually are better done at a shared level. The way in which this shared execution will be done cannot be the same for everything; each task and "function" can command a different approach and each participant must be trained to be able to deal with the demands of its area of speciality (Brown and Ainley, 2005, p. 120). By their nature, SADC member countries are inclined to follow the gradual approach; the extra caution that is associated with this approach is consistent with countries that revere state sovereignty. These are states that have been through colonisation and apartheid who know the downside of losing one's sovereignty.

### 5.3.12 Conclusion to the “piecemeal” approach

The critique presented thus far shows that this “piecemeal” strategy towards integration has its shortcomings. It has failed to give prior prescription in the event that the “spill-over” will be negative. The assumption that peace in functional parts will lead to greater peace can be taken as an overstatement. The issue of other reasons that have driven integration as emerging in the case of Turkey-EU integration also leaves the theories wanting. Nevertheless, the theories enlighten integration studies and as such will be used in this study on REPMS and integration in SADC. This researcher approaches this thesis with an understanding of these shortfalls that other scholars have highlighted. However some of these shortfalls also stand to be investigated in this research in order to uphold or to affirm them as valid critique against the theories.

## 5.4 The “holistic” approach to regional integration and REPMS

The second theory underlying this study, as mentioned earlier on, is the modernisation theory. This researcher, as per the literature, created the “holistic approach” as the preferred term for the approach emerging out of this theory. According to Dosenrode (2010, p. 20), the neo-functionalist theory cannot explain an integration that happens swiftly, referring to the “piecemeal” strategy explained in the foregoing section. This means that there is need to look at other theories to understand a swift integration process. This is why this researcher opted to examine the modernisation theory alongside the functionalist and neo-functionalist theories. The modernisation theory offers a roadmap for the transition of states from uncivilised societies to civilised and modern ones (Chaudhary, 2013, p. 35), and revolves around the adoption of new conditions and cultures (Wucherpfennig and Deutsch, 2009, p. 1).

### 5.4.1 Origins of the modernisation theory

The modernisation theory can be traced back to the period after the Second World War (Tipps, 1973, p. 200) when there were a lot of changes in the international system. This was also the time when Third World countries started to gain prominence in world politics (Tipps, 1973, p. 200). The first independent African country, Ghana, gained its independence in 1957 (Legum 1965, p. 44), which signified the entrance of countries that were previously without an independent voice. Its foundations also trace back to the Enlightenment era, which saw many philosophers adopting an opinion that focused on examining the changes and progressions that happen in societies (Chaudhary, 2013, p. 35).

According to Kunst (2014, 2/22), the Western world became preoccupied with the promotion of economic growth and development in the less developed countries as well as the emerging states. It is a grand theory that encompasses several disciplines in an attempt to explain and account for the progression that states make from traditional to modern societies (Chaudhary, 2013, p. 35). The theory focused on the modernisation type of integration that can be traced back to European countries in the 17<sup>th</sup> century, when technological developments gave them an elevated status in the transformation of states (Chaudhary, 2013, p. 35).

#### 5.4.2 The Modernisation theory's underlying assumptions

Bernstein (1971) laid out the assumptions of, and objections to, the modernisation theory. Essentially the theory recommends that developing countries must follow the route taken by the European countries in order for them to develop (Matunhu, 2011, p. 65). According to Bernstein (1971, p. 141), the principal assumptions of the modernisation theory are that modernisation is a process entailing the complete inclusion of all the countries' facets for development as set out by the preconditions; and the process of development follows a worldwide blueprint.

These are more or less the same points established by all recent scholars of the modernisation theory. Another scholar, Chaundary (2013, p. 36), claimed that the theory was premised on the fact that changes in societies were rooted in the advancements that a generation makes in its technology, production and consumption. The assumptions, as they recur, become assumptions that can be elevated to the level of prescriptions as they have become the custom way of thinking associated with modernisation theorists.

There is also an assumption that states are more likely to move towards becoming democratic states as modernisation increases (Wucherpennig and Deutsch, 2009, p. 4), i.e. democratisation becomes imaginable due to modernisation. However, there have been objections to these assumptions, which will be presented after the forthcoming section that exposes the "holistic" view of society put forward by modernists.

#### 5.4.3 Understanding society as a "package"

Rooted in Hegel, modernists argue that all facets of society come together as a package, changing and moving in same direction (Roskin et al., 2006, p 31). Modernisation entails a process of transforming the social as well as the cultural aspects of a society (Chaudhary, 2013, p. 34). Hegel and Marx thought that the underlying causes of change were spiritual and economic respectively. Conversely, Max Weber argued that the cause was cultural, while others emphasised the growth of

education, communications and the middle class (Chaudhary, 2013, p. 34; Dallmayr, 1993, p. 17/29; Matunhu, 2011, p. 66; Tipps, 1973, p. 200), yet all agree that it happens as a package.

Today's modernisation theorists see the process as complex, multi-causal, and not amenable to outside guidance (Matunhu, 2011, p. 67). This study sought to access the validity of such views. The modernisation theory does not have the scenario where parts of a system are modernised whilst others remain (Dallmayr, 1993, p. 18). They take this as the affliction suffered by most developing countries: modernising one or two facets leaving the rest traditional (Wucherpfennig and Deutsch, 2009, p. 5). This happened to be of interest to this study of REPMS in the SADC RI equation. The clash between the neo-functional approach and the modernist approach towards modernisation and integration is evident, as whilst the neo-functionalist approach advocates for a functional approach, the modernists recommend a holistic approach.

Matunhu (2011) carried out a critique of the modernisation theory that is of significance to this study, in that it aimed to establish the influence of modernisation theory on Africa's development. Africa's poverty can be attributed to the theories of development, including the modernisation theory included (Matunhu, 2011, p. 65), because the way societies operate in dealing with underdevelopment is premised in these development theories. However Matunhu created a simplified explanation of the development and/ integration roadmap to be followed by African countries, which established that modernisation, entails the de-culturisation and replacement of old with new approaches. In rejecting that position set by Matunhu (2011), Mukucha (2013, p. 67), asserted that "the road to development is not always smooth, it has ups and downs". The current study took these simplified ideas to work out a roadmap to development or integration, as the researcher sought to establish the effects of state sovereignty and REPMS, presented earlier as functions, on the levels of integration and types of NTBs in the region respectively.

#### 5.4.4 Modernisation theory and change

This theory comes with changes that cut across all the facets of a system (Chaudhary, 2013, p. 34). The desire for change comes as states try to secure their survival and continuity by enhancing their ability to adapt to the progressing systems (Dallmayr, 1993, p. 5/29). Table 5-3 shows dimensions of changes through modernisation.

Table 5-3 Changes in different facets of a system

<b>Dimension</b>	<b>Changes that come through modernisation</b>
Political	Creation of modern nation states Development of key institutions
Cultural	Adherence to nationalistic ideology Belief in equality, freedom and humanism
Economic	Industrialisation Monetisation of the economy Increased division of labour Implementation of management techniques Improvement in technology usage Service sector expansion
Social	Universalistic principles Social and geographic mobility Urbanisation Erosion of traditional authority

Source: Adapted from Chaudhary (2013, p. 34)

The changes depicted in Table 5-3 seem to affect division of labour. On the aspect of increased division of labour that comes with modernisation, the society grows subsystems to support the parent system, while in terms of the changes in the cultural dimension, the society progresses towards embracing science and technology while getting rid of traditional ways and beliefs (Dallmayr, 1993, p. 5/29). According to the modernity theorists, the policies that will improve the living standards of the poor come with the spreading of information regarding the upside of adopting more efficient production techniques (Matunhu, 2011, p. 65). On the extent of the changes, Ingelhart and Baker (2000, p. 20), show that the changes are inevitable as there are higher chances of further changes to the systems that will come once industrialisation is on course.

The industrialisation that has been indicated as a change in the economic dimension came as the epitome of the changes that will accrue to the developing countries. According to Kunst (2014, p. 2/22), industrialisation would guarantee that the theory will yield results similar to those experienced in the developed countries. This is regardless of the fact that developed countries went through this process long before the participation of developing countries in the international system as independent states. Most scholars take this industrialisation as being linked to the transformation of states into urban settlements (Chaudhary, 2013, p. 35).

#### 5.4.5 Arguments for and against the modernisation theory

The changes that come with the modernisation theory's precept have advantages and disadvantages, as per Table 5-4 below:



Table 5-4 Positive and negative effects of modernisation

<b>Dimension</b>	<b>Positive aspect</b>	<b>Negative aspect</b>
Culture	Encourage development of new forms of expression	May lead to cultural erosion
Business	Technology enhanced speed, accuracy and efficiency	Lead to negative hybrids
	Increase global trade and openness allowing businesses to sell anywhere	May stifle domestic businesses as they may not be able to compete with the international companies penetrating their market
Environment	Processing of natural resources into better products and building of high-rise buildings that demand less land	The associated industrialisation is responsible for climate change
Communication and travel	Instant communication from anywhere and ability to travel to any place in the world	Contacts with foreign cultures can lead to cultural erosion and unchecked migration lead to social problems like xenophobia

Source: Adapted from Chaudhary (2013, p. 36)

Another advantage of the modernisation theory is the way it changes peoples' values. According to Wucherpfennig and Deutsch (2009, p. 2), the changes that it brings makes people open to new values of cooperative and mutual benefits, which eventually do away with conflictual tendencies. This can work in the establishment of international peace, as modernisation "increases ordinary people's capabilities and willingness to struggle for democratic institutions". The theory's ability to push globalisation has also been taken as an advantage related to building world peace in some spheres. According to Chaudhary (2013, p. 35), the theory encompasses globalisation which leads to the universalism of cultures, and peace can be built on such conditions of universal culture. In this study, the issue of values is key in that it affects the way people view the existing REPMS and the way they can view the changes that can be proposed to the status quo.

#### 5.4.6 Modernists' roadmap to development

The "piecemeal" strategy presented above stipulated that countries must start cooperation in areas of "low politics" then move to areas of "high politics" as they develop. However, according to modernisation theory, countries should copy the ways of the Western world (Thirkell-White, 2008, p. 147). This means that states must simply study the way the West developed and copy that into their systems, however this is an assumption that does not appreciate the different aspects of different political systems. It further states that the powers to develop rest in the hands of the concerned states and they are the ones to blame for any failure that occurs (Thirkell-White, 2008, p.

147). This does not take into account the impact of things that states do not have control over, however.

In this development process countries will go through five stages as shown in Figure 5-3.

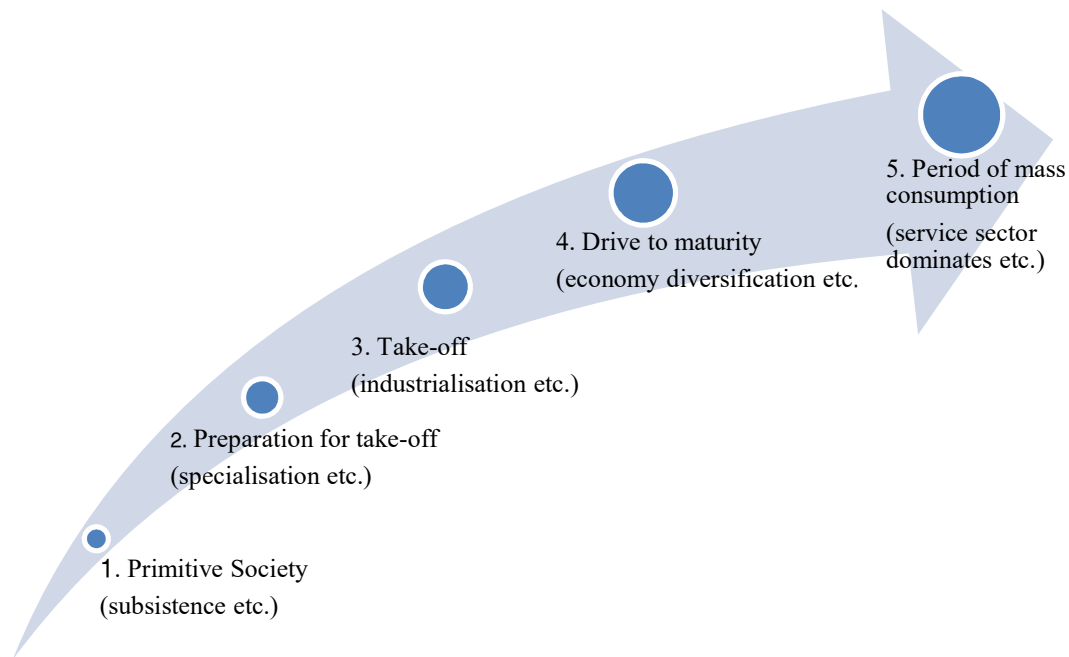


Figure 5-3 Rostow's roadmap to development

Source: Adapted from Matunhu (2011, p. 66)

Figure 5-3 above shows the development roadmap; at the lowest stage is the primitive society which represents the starting point, after which a country will progress upwards through the illustrated stages until it reaches a “period of mass consumption”, which signifies the epitome of development. By that stage a country will have become a capitalist society, which is a desirable trait in the development of countries (Kunst 2014, p. 5/22). States must thus follow this linear path if they are to develop (Matunhu, 2011, p. 66).

#### 5.4.7 Objections to the modernisation theorists' assumptions

Two critical points were presented in literature raising objections to the modernisation theory: the traditional-modern dichotomy and ethno-centricism (Bernstein, 1971, p. 146). First, regarding the traditional-modern dichotomy, the objection is premised in the methodological procedure used in which what is traditional is deemed negative in relation to what is modern. According to Bernstein

(1971, p. 146), this approach depicts a process whereby new things replace old things, which in the author's view is wrong.

Secondly, Bernstein (1971, p. 146) objected to modernisation theory, arguing that "the question of ethno-centricism becomes central when it is asked from which historical source the paradigm of modernisation is abstracted and universalised". The modernisation theory benchmarked the development that will happen in any developing country against the Western standard (Kunst, 2014, p. 4/22), i.e. the way Europe developed has to be taken as the standard to be applied to other regions. This means following in the footsteps of those states that have already achieved modernity (Chaudhary 2013, p. 35). These objections also appear in most works of the modernisation scholars that came in the late 1970s right through to the early 21st century. According to Tipps (1973, p. 200), the modernisation theorists tried to twist the terminology to avoid recommending countries to follow the European way of development, but the approach they present is one that has existed in the Western countries in the form of the "developmentalism" perspective. In essence, the Western countries have been taken as the custodians of African countries' development (Matunhu, 2011, p. 66). This sets this approach as 'top-down', with things being forced on the developing countries (Matunhu, 2011, p. 71).

In this REPMS study, this researcher also looked at establishing the validity of the assumptions presented herein as underlying the modernisation theory, as well as the given objections considering that the chosen units of analysis - TSBP and OSBP - represent an old and a new system respectively.

The theory also recommends the deculturation of a people. According to Matunhu (2011, p. 67), deculturation occurs when people are faced with the need to adopt new cultures in order to embrace the changes that come with development. This, by itself, is a shortfall. Any change that comes to humanity must not seek to take a person out of his domain, but rather to enhance the person's survival in their existing identity. The moment culture is eroded then the change can easily be similar to colonisation, as people will lose their identities. This shows that the modernisation theory comes with the imposition of a strategy that is not able to embrace the heterogeneity and uniqueness that already exists in a system (Matunhu, 2011, p. 67). This exposes the theory as inclined to work only in homogeneous environments, which are very difficult to find in developing countries considering the multiplicity of ethnic groups and cultural differences as explained in Chapter 3.

According to Matunhu (2011, p. 67), the modernisation theory has flaws in that it over-simplifies changes that happen in societies, and it does not take into account the fact that people tend to resist change. As mentioned earlier, the modernisation theorists assume that people will become more

receptive to what is happening, yet people may resist the changes. By prescribing a linear progression towards development the theory fails to realise that there are hurdles like wars and natural disasters that can change countries' development courses at any time (Matunhu, 2011, p. 68).

#### 5.4.8 Conclusion to the modernisation theory

The modernisation theory is thus seen by the researcher as a theory as well as a prearranged approach to be followed by countries; it helps to explain how developed countries developed and also guides those that seek to develop how to go about it. However, the modernisation theory's assumption that countries move in the same direction can be quickly dismissed - as countries' and regions' histories differ, so will their direction. The history for SADC presented in Chapters 3 and 4 is testimony to that; SADC has unique colonisation and post-independence problems that can only be understood from the SADC point of view. As such, neo-functionalists and modernisation theories present opposite ways for countries to develop. While the former prescribe giving attention to specialised functions, dealing with low politics first then high politics, the latter advocates dealing with the whole system at once in a European certified manner. This brings out wanting areas in as far as the efficacy of both theories in the context of REPMS and RI in SADC.

#### 5.5 Study variables operationalisation

There is need to look at the variables that will be at play in order to understand the outcome of any research. This is also ideal when using the functionalist, neo-functionalist and modernist ideas being done herein. In Risse's (2004) study, a dependent variable in the integration relationship was identified, namely "the collective identification with the community". This was taken as one indicator of the degree of integration that is wholly dependent on the other parts of the system, i.e. collective identification comes or goes with the operations of other factors.

In this thesis a two-type dependent variables reflecting the same effect were identified: RI levels and NTB types. These two dependent variables are assumed to depend on the functioning of other independent variables, namely state sovereignty and REPMS. To test the relationship between these variables this researcher used the CRT methodology to establish their relationship. This will be discussed in further details; however the essence is in taking the independent variables RI levels and NTBs as "functions" that states can choose to work together in. Once done, the effect on the dependent variables—state sovereignty and REPMS- will then be assessed. The assumption is that cooperation in the identified functional areas will lead to a positive improvement in RI levels. At the

same time this will lead to a considerable reduction in NTBs. Once this happens there will be ‘spill-over’ effects to other sectors of the involved countries’ political and economic spheres.

## 5.6 Chapter conclusion

This chapter has discussed the key theories guiding the RI and development approaches. Two strategies coming out of three theories have been presented, the first being the ‘piecemeal’ strategy from the functionalist and neo-functionalist theories. These theorists recommend that development must be approached in stages like a puzzle; each piece must be attended to on its own. The fitting in of another piece in the puzzle depends on the way an earlier piece was arranged. In the same way, the development or integration process must be approached in different functional areas. Once progress is made in those functional areas, the benefits will “spill-over” to the rest of the system. In this REPMS and SADC RI study this was tested alongside the “holistic” approach.

The ‘holistic’ approach comes out of the modernisation theory. This, as explained earlier, is a straightforward theory that expects all countries to follow the way the path of the developed countries. This development strategy recommends doing away with all the old systems for new ones; however the old system (TSBP) is still in place in SADC, whilst the new system (OSBP) is coming into effect. This means that the reality for the SADC countries is already a departure from what the theory prescribes.

In the next chapter the methodology employed will be presented. This was used to find answers to the grey areas coming from the literature review that signalled gaps in the literature that constitute the research problem regarding road entry point management. This led to the research questions and research objectives both of which are undergirded by the philosophical framework presented thus far. In accordance with the previously discussed CRT, the methodology section will detail, among other things, the pragmatism aspect of philosophical underpinnings of the study, the instrumentation, the limitations of the study and the measurements.

## **CHAPTER 6 RESEARCH METHODOLOGY**

### **6.1 Introduction**

This chapter is a comprehensive presentation of the methodology used in this study. Having explained the REPMS concept, RI and the CRT philosophy in the preceding chapters, this chapter elaborates on the path and tools that the researcher followed and used in obtaining the data. The chapter opens with the philosophical underpinnings before getting into the design, in order to shed light on how the researcher arrived at the methodology used in this study. This will help in laying the fundamentals on how the CRT informed the research strategy, study site, population, samples, measurements, ethical issues and limitations of the study. All these and more will be explained in the subsequent sections of this chapter.

### **6.2 The study's pragmatic philosophical underpinnings**

A worldview “defines the nature of the world, the individual's place in it, and the range of possible relationships to that world and parts” (Guba and Lincoln, 1994, p. 107). As such, the researcher believed it was better to use methods from both the qualitative and the quantitative disciplines of thought. The beliefs of this researcher agree with post-positivists in some way; according to Creswell (2007, p. 7), post-positivists base their thinking on the assumption that there is always a causal relationship. This brings to the fore the issue of dependent and independent variables. This study identified two dependent (REPMS and state sovereignty) and two independent variables (types of NTBs and levels of RI).

It is critical to mention worldviews at this juncture as it helps to present the parameters that guided this researcher. According to Saunders (2005, p. 10) “our worldview determines how we instinctively think about experience. It is the collection of assumptions about how the world and human interaction work that most of us absorb in childhood and carry through life in our minds, almost without recognising them”. These worldviews are an intrinsic part of us; “It is the mental filter that helps human beings to organise and give meaning to their experiences. It shapes our way of thinking about – interpreting –experience” (Saunders, 2005, p. 10). These habits effectively become our inclinations when doing research. When one habitually prefers qualifying or qualified work, that person is predominantly of the qualitative school of thought and thus inclined to the social constructivists' worldview. One who habitually prefers statistics and looks for objective answers is inclined to the quantitative school of thought and inherently holds the post-positivists' worldview.

Post-positivism is premised on the idea that reality can be understood through the use of observation and measurement methods (Pershing, 2006, p. 746). Post-positivists thus start by identifying a theory before setting out to collect data, and then go on to collect data for use in supporting or rejecting the theory. This is followed by adjustments to the theory, with new additions being inserted and some sections being discarded (Creswell, 2007, p. 7). It is inherently biased towards the use of quantitative methodologies (Pershing, 2006, p. 746). This researcher chose to subject the neo-functionalist and the modernisation theories to that same process, which made the worldview informing this study, to an extent, post-positivist.

However, in looking at this study, the researcher also had some inclination to the social constructivist worldview. Social constructivists assume that people seek to understand their surroundings (Creswell, 2007, p. 8), which is, to a degree, what this researcher believes. Accordingly, the methodologies from the qualitative side, being based on constructivism, are bound to be influenced by the researcher's personal experiences, which are based on interpretations from their previous knowledge (Pershing, 2006, p. 746). Constructivists use inductive reasoning, which entails "observations, ascertaining patterns, identifying general principles, and then outlining a basic conceptual or theoretical framework" (Pershing, 2006, p. 746). Whilst deductive reasoning moves from the unknown to the known, inductive reasoning moves from the known to the unknown (Pershing, 2006, p. 746). The post-positivists discussed in the preceding paragraphs use this deductive reasoning.

Still, this researcher's disagreement with social constructivists persisted, especially regarding their goal. According to Creswell (2007, p. 8), the goal of their research is to rely on the way the participants see the scenario under study. Knowing that participants can be subjective, this researcher disagreed with that stance. As a consequence, this researcher felt the need to use an approach that took the strength of the post-positivists to corroborate the social constructivists' weaknesses and vice versa. This left this researcher with a pragmatic worldview.

The pragmatic worldview does not limit itself to a single set of beliefs as it does not see the world as one complete entity (Creswell, 2007, p. 11). The pragmatic worldview does not bound one to any method of collecting data as it accommodates many approaches (Creswell, 2007, p. 11). Unlike the post-positivists and social constructivists who have a religious respect for a specified set of tools, the pragmatic worldview is open to the use of an array of tools from either world. This brings complementarities into the study (Yin, 2009, p. 174). By so doing, the research will be highly objective but at the same time capture detail when it is needed.

Figure 6-1 summarises the link between the post-positivists, the social constructivists, the CRT and the pragmatic worldview. The post-positivists, social constructivists and CRT are taken as components of the pragmatic worldview; individually they are small worldviews with individual limitations, but put together they enable a bigger worldview with less limitations as they combine elements from all, i.e. the pragmatic worldview.

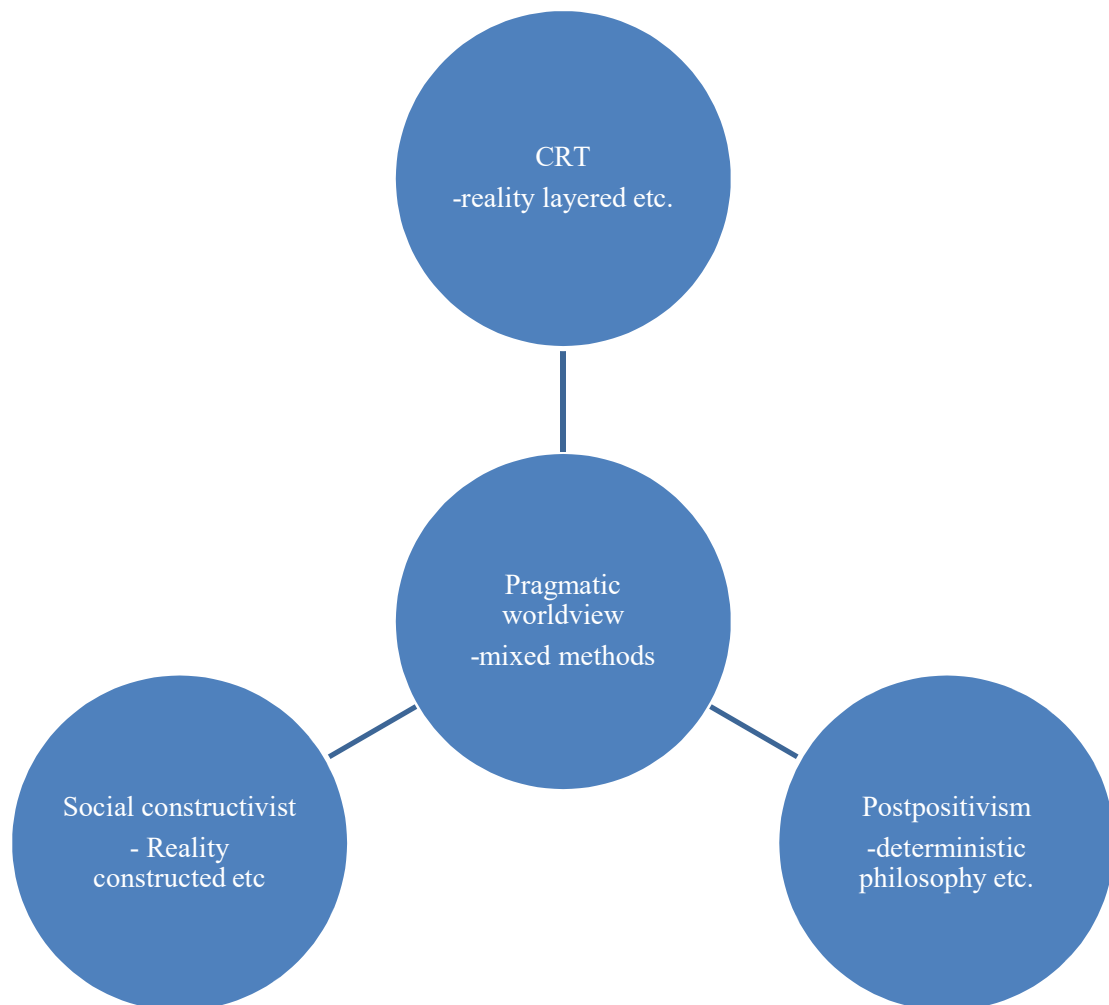


Figure 6-1 Pragmatic worldview development

Source: Author

### 6.3 The research design

It is against this pragmatic worldview setting as interrogated in the CRT discussed in Chapter 2 that the use of a mixed methods research design was preferred, recognising, as Creswell (2007, p. 14) noted, that all methods have their individual weaknesses, so by using more than one method the



weaknesses in one will be solved by the strengths in the other. The rationale of blending the approaches, as explained, is that no approach is better than another (Pershing, 2006, p. 747). When the approaches are blended they put emphasis on the pragmatic approach, with the understanding that it is the question that drives the method and not the superiority of the method that is of essence (Pershing, 2006, p. 747).

The mixed method research design lends a hand to solving the “etic/emic dilemma”. This is when the qualitative aspects uncover the useful emic (insider) views on the REPMS and RI in SADC, whilst the quantitative aspects bring the etic (outsider) objectivity (Guba and Lincoln, 1994, p. 106). This research design furthermore solves the “nomothetic/idiographic disjunction”. “Generalisations, although perhaps statistically meaningful, have no applicability in individual cases...Qualitative data...can help to avoid such ambiguities” (Guba and Lincoln, 1994, p. 106).

The researcher used semi-structured interviews (SSI), semi-structured participant-administered questionnaires (SSPAQ), and structured researcher-administered questionnaires (SRAQ) in order to bring together and mix qualitative and quantitative data to get a good analysis of the problem at hand (Creswell, 2007, p. 140). These data collection instruments are introduced in section 6.8 and the data collection activities in section 6.9.

Table 6-1 is from the researcher’s field diary. It shows that the researcher delivered 130 SSPAQs to SME’s at a workshop in Harare on 15 October 2015. The researcher solicited permission to collect data from the SME&D ministry which was granted, and bookings were made to administer the survey to the workshop participants on the said date. To ensure that all the participants were well informed, the researcher created a flyer for the exercise. The researcher used a census method to recruit the SMEs subgroup workshop participants, which will be detailed later in this chapter.

Table 6-1 SSPAQ returns diary

Date	Questionnaires issued out	Questionnaires returned
15 October 2015	130	124

Source: Author’s Field Diary

The researcher then instigated data collection using the SRAQ. These were administered to truck drivers and assistants at sampled entry points with the help of four research assistants. The dates when data collection was done at the different REPs are shown in Table 6-2.

Table 6-2 SRAQ administration and returns diary

Entry point	Collection commencement	Data collection end date	Total
Plumtree	24 <sup>th</sup> November 2015	28 <sup>th</sup> November 2015	66
Beitbridge	3 <sup>rd</sup> December 2015	7 <sup>th</sup> December 2015	78
Nyamapanda	9 <sup>th</sup> December 2015	13 <sup>th</sup> December 2015	46
Chirundu	14 <sup>th</sup> December 2015	18 <sup>th</sup> December 2015	64
Total			254

Source: Author's Field Diary

Soon after getting the data from the sites, the researcher engaged the ministry officials for the SSIs. The interviews commenced on 30 March 2016, as shown in Table 6-3. The researcher carried out two interviews per day.

Table 6-3 Semi-structured interview schedule

Ministry	Interview dates	Number
Ministry of Finance's ZIMRA	31 March, 1 April, 6 April, 6 April	4
Ministry of Industry and Commerce	30 March, 31 March, 4 April, 4 April	4
Ministry of SME&D	30 March, 1 April, 8 April, 8 April	4
Total		12

Source: Author's Field Diary

The researcher settled for this type of design having reviewed the literature, which established that earlier studies on entry-point management systems were predominantly qualitative. This mixed method was also desirable in that it “forces the methods to share the same research questions, to collect complementary data, and to conduct counterpart analyses” (Yin, 2009, p. 62). By using the mixed methods design the researcher used both approaches in tandem, giving the study an overall strength greater than either qualitative or quantitative research, and collecting an array of evidence that could not be accomplished by a single method (Creswell and Plano, 2007; Yin, 2009).

The methods used herein, as will be shown, were given an equal weighting.

#### 6.4 Embedded single case study research strategy

As indicated in Chapter 2, this study adopted the embedded single case strategy, i.e. it utilised an individual case which involved more than one unit, or object, of analysis (Roland et al, 2002, p. 10). In this case, Zimbabwe was taken as the individual case. Four road entry points (Beitbridge, Chirundu, Nyamapanda and Plumtree) were selected as the units of analysis, using the sampling method to be detailed later in this chapter.

According to Gillham (2000, p. 1), a case study is:

- a unit of human activity embedded in the real world;
- which can only be studied or understood in context;
- which exists in the here and now;
- that merges in with its context so that precise boundaries are difficult to draw.

The motive for choosing a case study was that it allows the examination of a situation without removing it from its natural setting using various data collection methods (Benbasat, Goldstein and Mead, 1987, p. 370). It is also very flexible (Schell 1992, p. 1), which allows for the retention of the holistic nature of events. Case study research has been found to work well with trending events in which the behaviour cannot be stage-managed (Rowley, 2002, p. 17). As will be explained later, the study used multiple sources, multiple investigators, multiple data collection sites, and administrative documents, amongst others. The case study method was also desirable because it brings out answers to the “how” and “why” questions, as it allows for in-depth studying (Rowley, 2002, p. 17).

Gillham (2000, p. 1) put forward that “a case can be an individual, it can be a group –such as family, or class, or hospital ward, it can be an institution –such as a school or a factory, or it can be a large scale community –a town, an industry, a profession, be abstracted and collated to get the best possible answers”. In this study the chosen case was a country, i.e. Zimbabwe. One case can be enough to give insights into the understanding of outlier cases (Schell, 1992, p. 6).

According to Yin (2009, p. 50) an embedded single case study is a scenario whereby one case has components within it that become the units of analysis, as a single case will have constituent parts that can be studied separately. This occurs when, within a single case, attention is also given to a subunit or subunits. The units of analysis looked at herein were the REPMS. This makes it an embedded single case study in that the researcher looked at the TSBP and OSBP systems in Zimbabwe and SADC.

The Zimbabwean case study met the rationale for use given by Yin (2009, p. 2), i.e.:

- A scenario where the “how” or “why” questions are being posed.
- The investigator has little control over events,
- The study focused on a contemporary phenomenon within a real life context.

This research matched the above rationales well, as one of the main research questions was: “How do non-tariff barriers affect different types of border posts?”, and the researcher had no control over the REPMS in the region. These systems were studied *in situ* and no effect whatsoever was inflicted by the researcher on their course. Finally, the contemporary nature of the REPMS phenomenon cannot be overemphasised. As indicated earlier, the use of both TSBP and OSBP is a recent development in SADC; before 2009 all countries were exclusively using the TSBP. This also helped in studying the neo-functionalist premises, especially the spill-over effects assumed in their theory. The Zimbabwean case qualified as unique, prototypical, salient, or revelatory to the understanding of a phenomenon or a problem (Roland et al., 2002, p. 11). According to Yin (2009, p. 4) the case study strategy allows for preservation of the meaning of events. This was desirable in this study as the REPMS are complex. Using the case study approach allowed the problem to be dealt with in its holistic sense, as there are several functional components that cannot be understood as detached components.

The other advantage of a case study is that it goes beyond the efficacy of such methods as historian repertoire, which some might be tempted to recommend for this study. The case study rather uses methods such as interviewing people and observing events (Yin, 2009, p. 11). This was advantageous in this study for which, as indicated in the foregoing section, a mixed-methods design was chosen. Also, according to Gillham (2000, p. 2), “no one kind of source is going to be sufficient (or sufficiently valid) on its own. The use of multiple sources of evidence, each with strengths and weaknesses, is a key characteristic of case study research”. As a result, the researcher was able to use, as will be explained in the section on tools, the SSI guide, SSPAQs and SRAQs in this REPMS study. This shows that the case study has a hold over other methods because it has the ability to make use of various sources of evidence, which is something that historical studies will not be able to do (Yin, 2009, p. 11).

### 6.5 The case study quality measures

The researcher made a concerted effort to guarantee that the case study fulfilled the quality measures to ensure the study would be of real significance and repute. The four critical conditions related to quality are: “(a) construct validity, (b) internal validity, (c) external validity, and (d) reliability” (Yin, 2009, p. 24). These basic concepts inform the standing that this work will have when subjected to rigorous valuation to establish whether the information it brings is worth including in the REPMS and RI body of knowledge (Rowley, 2002, p. 20).

### 6.5.1 Construct validity

This pertains to the reduction of biased judgements through linking the methods of data collection and the questions that the research sets out to answer (Rowley, 2002, p. 20). According to Yin (2009, p. 41), one way to ensure construct validity is through the “use of multiple sources of evidence during data collection”. This approach “from different methodological standpoints is usually known as triangulation” (Gillham, 2000, p.13). This researcher employed SSI, SSPAQ and SRAQs which were used in a well guided manner to ensure they gathered what they were supposed to gather. This will be evident once the full methodology has been presented. As such, validity is the level to which an instrument correctly obtains information on what it set out to (Leedy and Ormrod, 2010, p. 28)

### 6.5.2 Reliability

According to Rowley (2002, p. 20), reliability is achieved by paying comprehensive attention to the documenting of all the processes that are carried out, showing how and when they were done. In this REPMS research everything was well documented and a clear and meticulous case-study protocol was developed. This entailed noting down in a clear format how the sample and respondents were chosen, and how the information was gathered and analysed, among other things. This will help repeat the results in the event that “anyone else in future, for some reasons, would want to repeat this study” (Yin, 2009, p. 45). It also allows a clear chain of evidence to be visible, and reliability was increased through the use of mixed methods which were then triangulated (Benbasat et al., 1987, p. 383). The researcher kept a diary that was religiously updated on everything that transpired. These updates were also periodically shared with the supervisor who would assist in keeping the researcher on track.

## 6.6 Data quality control

### 6.6.1 Qualitative data quality control

The qualitative data herein came predominantly from the interviews. The researcher sought to ensure that the data met the generic qualitative data quality measures: trustworthiness, credibility, conformability, dependability and transferability. To ensure trustworthiness the researcher followed Bergman and Coxon’s (2005) advice and conceptualised the research question. This entailed choosing a meta-theory; the CRT outlined in chapter 2. This then guided the methodology that the researcher adopted. There are also crucial assumptions that the researcher made as outlined in latter parts of this chapter associated with the problem under investigation. This helped in the focusing of

the research. By so doing trustworthiness is achieved as the research is grounded in theory (Morrow, 2006, p. 250).

There was careful tracking of the research design to ensure dependability. According to Morrow (2006, p. 250) this can be achieved by “keeping an audit trail”. The researcher clearly documented the steps taken, in a chronological manner, gathering data as outlined in the data collection section in this chapter. Extensive measures were put in place to also ensure descriptive validity and credibility. This means the “data must accurately reflect what the participant has said or done” (Thomson, 2011, p. 1). The researcher audio recorded all but three interviews. The researcher also jotted down notes during the interviews. The data transcription was done following sound data transcription principles. The transcribed notes were checked against the jotted notes. For the three respondents who chose not to be audio recorded the researcher made extensive verbatim notes of the interview.

#### 6.6.2 Quantitative data quality control

The researcher put measures to ensure that the data conforms to the validity and reliability expectations of research. According to Drost (2011, p. 106) “reliability is the extent to which measurements are repeatable – when different persons perform the measurements, on different occasions, under different conditions, with supposedly alternative instruments which measure the same thing”. This point to the consistency of a measure of a concept (Bryman, 2008, p. 148). Reliability can be determined through the test re-test, alternative form and the internal consistency. The test re-test is done through administering the scale twice to same respondents. This helps to establish whether the scale will fluctuate or not (Bryman, 2008). The scale must not fluctuate.

Internal consistency can be measured, as done herein, using the Cronbach’s alpha. “Cronbach’s alpha is a function of the average intercorrelatedness of items and the number of items in the scale” (Kimberlin and Winterstein, 2008, p. 2276). The Cronbach’s alpha was used to test the SRAQ and the SSPAQ giving a close to one score in both instances (0.75). This falls within the acceptable range pointing to the good reliability of the tools. According to Zikmund, Babin, Carr and Griffin (210, 306) scales with a coefficient between 0.80 and 0.95 have very good reliability, those between 0.70 and 0.80 have good reliability, those between 0.60 and 0.70 have fair reliability while those below 0.60 are considered to have poor reliability.

The other aspect of concern is validity which “is concerned with the meaningfulness of research components” (Drost, 2011, p. 114). Validity “is the extent to which the interpretations of the results of a test are warranted, which depends on the particular use the test is intended to serve” (Kimberlin

and Winterstein, 2008, p. 2276). This researcher checked context validity through engaging experts in the field. This is because there is no statistical test to determine this (Kimberlin and Winterstein, 2008, p. 2279)

The researcher also utilised data triangulation in ensuring validity. Triangulation is readily consistent with the CRT's given epistemology discussed in chapter two. Yeung (1997, p. 64) postulated that triangulation as a method is "based on the conviction that there is no fundamental clash between the purposes and capacities of qualitative and quantitative methods or data". Triangulation is, in actual fact, "the preferential test for research" (Easton, 2010, p. 497). This entails using varied techniques side by side, enabling the results to be generalised to other situations (Sousa, 2010, p. 497). In this study, as will be exposed in various forthcoming sections, data triangulation was done at different levels.

#### 6.7 Case, site and respondents selection

According to Pershing (2006, p. 748), quantitative research entails the selection of a sample that is representative enough to ensure that all the participants stand a chance to be included in the sample, while qualitative research does not commit to making the sampling representative as it targets certain qualifying traits in the participants for them to qualify into the sample. This research, being of mixed methods design, employed both probability and non-probability sampling.

This researcher targeted a specific set of respondents with the understanding of the operations of REPMS. According to Polner (2011, p. 53-54) several things happen at borders, which range from the handling of customs procedures to the inspection of imports. This means that officials from various ministries can be found at road entry points (REP) carrying out their varied responsibilities to facilitate the emigration and immigration of people, as well as the importation and exportation of cargo.

Border functions differ from one country to another based on several aspects, such as the country's location, its national laws and its foreign policy (Polner, 2011, p. 53-54). "National customs and border control agencies typically have a parallel mandate in which to facilitate the flows of licit and legal trade while concurrently deterring illicit and illegal trade" (Basu, 2014, p. 15). This is against the backdrop that these agencies' duties are now being transformed; according to Doyle (2011, p. 12), borders have long helped to filter unwanted elements and prevented them from gaining entrance into a given territory, and have collected payments due to the state from those that are permitted

access. This makes them critical players in this REPMS thesis which, among other things, looks at RI, REPMS and trade facilitation.

The researcher first sampled the sites, and it was from these sites that the respondents were subsequently sampled.

#### 6.7.1 Study case: Zimbabwe

Zimbabwe is a landlocked country in the SADC region; “South Africa borders the country to the south, Zambia bounds it to the northwest, Botswana edges it to the southwest and Mozambique borders it to the east. Zimbabwe covers a total area of 150,871 sq miles” (Maps of the World n.d.). The units of analysis were REPMS, which entailed studying TSBP and OSBP systems at the entry points found on Zimbabwe’s territorial boundaries. This case was chosen as it is unique; it is one of two countries in SADC that share a border under the OSBP system. It also offered an opportunity to study the road entry points that Zimbabwe shares with four different countries.

#### 6.7.2 Study site: Road entry points

Through this study, the researcher learnt that site selection is not an easy task. According to Benbasat et al. (1987, p. 373), “site selection should be carefully thought out rather than opportunistic”. The researcher carried out a thorough background check of the SADC region REPMS before arriving at the study site, as per the literature review sections in Chapter 3 and 4. The chosen study site for this research was the REP at the Zimbabwe’s territorial borders. These were chosen as they employ the REPMS under investigation herein. Of the four study sites chosen after the site sampling, three use the TSBP system while one uses the OSBP system.

#### 6.7.3 Target population

A population is a set of items from which samples are drawn and to which the research findings are generalised (MacMillan Dictionary n.d.). It is from this population that elements for inclusion in a sample are drawn. This study had finite and infinite populations in the different areas of its study.

According to Kozak (2008, p. 59), it is imperative to determine whether a population is infinite or finite as this affects the method of collecting data; the population is finite when it is “imaginable and countable”(Kozak, 2008, p. 58). In this study the REP and ministries fell under finite populations which could be counted and a definite total established. A total of 16 official REPs are on Zimbabwe’s borders- Beitbridge, Cashel, Chirundu, Forbes, Kanyemba, Kariba, Kazungula, Livingstone (Victoria Falls), Maitegwe, Mpoengs, Mt Selinda, Mukumbura, Nyamapanda,



Pandamatenga, Plumtree (Ramokgwebana) and Sango. The total number of Zimbabwean ministries at the time of this study was 25.

The SME practitioners also fell into the finite population category. In Zimbabwe, SMEs are registered with the Small to Medium Enterprises Association of Zimbabwe (SMEAZ). According to the Association's website, it has 700 members (SMEAZ n.d.) whose details are available in the SME&D Ministry and Association's SME directories. Small entrepreneurs are defined as those having a turnover not exceeding \$240 000, whilst medium scale entrepreneurs have a turnover higher than the said turnover for the small enterprises (SMEAZ n.d.).

An infinite population, on the other hand, is when a "population is so large that one is unable to imagine all its elements" (Kozak, 2008, p. 59). It is in this category that the number of international truck drivers and their assistants passing through an entry point fall. The number of trucks varies from day to day due to various factors; the best way to reach an estimate is to compile records over a long period of time and establish the average flow.

The REP population consists of all the official REPs on Zimbabwe's territorial borders. These total 16: 15 TSBP and one OSBP. These are the formal entry points as listed under the Zimbabwe Tourism Website (Zimbabwe Tourism n.d.)

There are a total of 25 Zimbabwean ministries according to the government of Zimbabwe's website (Government of Zimbabwe n.d.). Out of these, only three ministries relevant to this REPMS study were chosen.

The number of international drivers and assistant drivers passing through the Zimbabwean borders is infinite. Being a landlocked country Zimbabwe is inevitably a transit route, thus many trucks pass through the Zimbabwean borders daily. Some originate from Zimbabwe whilst several are in transit destined for neighbouring countries. Their numbers cannot be given accurately, thus the best solution is to gauge an average estimate for each entry point.

#### 6.7.4 Sample size

The samples that will be presented in the forthcoming section were guided by the generic rules for determining sample size. According to McMillan (1996, p. 97), sample size is of importance when "judging the credibility of research". "Most researchers use the rule of the thumb in their studies, such as having at least 30 subjects for correlation research, and at least 15 subjects in each group in an experiment" (McMillan, 1996, p. 97).

Mason (2010) asserts that samples for qualitative studies are generally much smaller than those used in quantitative studies, because of the concept of diminishing returns when populations are homogeneous. Diminishing returns imply the study will not necessarily lead to more information as it progresses (Mason, 2010). The bottom line about sample size in qualitative research is that it has to be large enough to capture most of the perceptions of importance, but not too large as to be repetitive. A number even as low as six for a qualitative sample can suffice to give answers for use in the development of themes and an understanding of the scenario (Mason, 2010, p. 3). This was established after Mason carried out a systematic data analysis from a study of 60 women. The findings suggested that data saturation had occurred at a very early stage; of the 36 codes developed for the study, 34 were developed from the first six interviews and 35 were developed after 12. A total of 12 interview respondents were selected for this research.

The quantitative sample for this study was relatively large; 254 surveys were collected through the SRAQ and 124 through SSPAQ. The data analysis methods that are used in a study have a direct relationship with the sample size (Delice, 2010, p. 2003). The researcher used STATA Statistical Software to analyse the quantitative data. This is a statistical method which stipulates that for better strength in relationships, the sample size ought to be large.

#### 6.7.4.1 Case and sites sample

Zimbabwe was chosen at the country level to be the research case from all 15 SADC member countries. At this level a non-probability sampling technique was employed as the researcher purposively chose the case. According to Pershing (2006, p. 748) purposive or judgemental can be used in the selection of only those elements that present a certain trait that the researcher views as best for the situation under study. The person selecting the site uses their personal opinion or purpose to choose the sample (Barreiro and Albandoz, 2001, p. 4). Zimbabwe shares with Zambia the only OSBP in SADC, which made it suitable to represent a contemporary phenomenon of a country using both TSBP and OSBP REPMS.

The REPs were then sampled in Zimbabwe by first stratifying the 16 REPs on Zimbabwe's territorial borders by bordering-country connections. Stratification ensures the sample is representative enough and captures the population's diversity (Nueman, 2006, p. 219). Stratification is viable "if any kind of supplementary information is available that enables population units to be grouped together in such a way that they are reasonably similar within their groups and reasonably different from group to group" (Brewer and Greigore, 2009, p. 28).

Table 6-4 shows the strata that emerged after gathering the supplementary information relevant to the case under study. The supplementary information that the researcher saw as critical in this case was that Zimbabwe shares these 16 border posts with four different countries, thus the researcher fashioned the road entry points into four strata.

Table 6-4 REPMS strata

	<b>Strata</b>
1.	Zimbabwe – Botswana
2.	Zimbabwe – Mozambique
3.	Zimbabwe – South Africa
4.	Zimbabwe - Zambia

Source: Author

At this point the researcher proceeded to purposively choose Chirundu from the Zimbabwe-Zambia stratum because it is trend-setting. In the three remaining strata, random sampling was done to choose only one entry point to represent that particular stratum. The researcher's justification for using different sampling methods, purposive and random, at one level was supported by the literature. According to Brewer and Greigore (2009, p. 29), "since the effect of stratification is effectively to divide the population into a number of subpopulations, each of which can be sampled from and estimated for separately, it is theoretically possible to choose a different procedure and a different estimator for each stratum".

According to McMillan (1996, p. 89), this sampling procedure is known as "disproportional because the number of subjects in the sample from each group is not proportional to the percentage of the subgroups in the population". This means that the number of participants drawn from each stratum is not proportional to its size. Whether the stratum had one, two or more entry points did not matter, as only one entry point was to be drawn from each, therefore four sites emerged constituting the sample are as shown in Table 6-5.

Table 6-5 REPMS study sites samples

	<b>Entry Point</b>	<b>Strata</b>
1.	Beitbridge	Zimbabwe – South Africa
2.	Chirundu	Zimbabwe – Zambia
3.	Nyamapanda	Zimbabwe – Mozambique
4.	Plumtree	Zimbabwe - Botswana

Source: Author

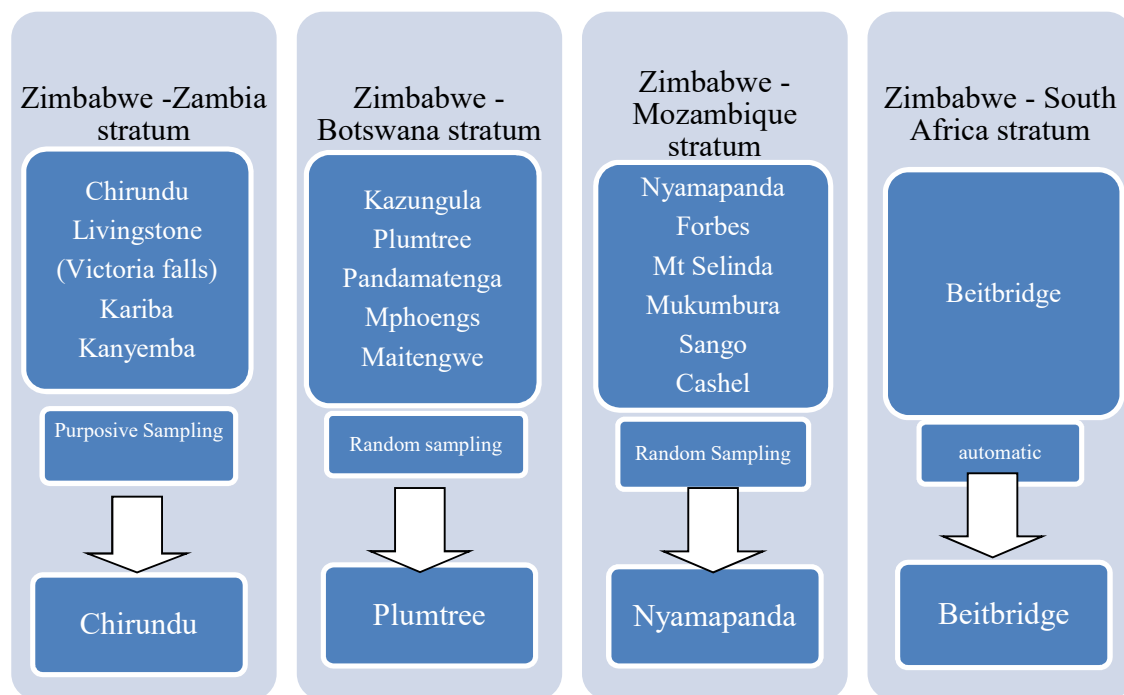


Figure 6-2 REP population to sample display

Source: Author

This sampling method is not new to border point studies. A study by Titeca and Kimanuka (2012, p. 8) used a sampling method that was more or less the same as the one used herein. In the said project, the researchers focused predominantly on four DRC border crossing points.

The same strategy was adopted in the current study because it provides a comprehensive way of covering a phenomenon that has to do with the movement of people and goods, however in this current study, unlike in Titeca and Kimanuka (2012)'s study, no two borders linking the same country were used.

The researcher proceeded to select samples of the Zimbabwean ministries; of the 25, only three were purposively chosen.

Table 6-6 REPMS study ministries sample

1.	Ministry of Finance and Economic Development – ZIMRA
2.	Ministry of Industry and Commerce
3.	Ministry of Small to Medium Enterprises and Development (SME&D)

Source: Author

These are the ministries with specialised functions that are, in some way, related to REPMS. The customs department is critical because it ensures “that goods and passengers entering the country are

accounted for and that they meet national requirements” (Zarnowiecki, 2011, p. 40). This means that they play a pivotal role in the movement of goods, thus rationalising interviewing the ZIMRA department from the Ministry of Finance and Economic Development. The Ministry of Industry and Commerce plays a pivotal role in trade facilitation, while the SME&D overlooks the operations of SMEs, most of which are cross-border traders who use REP on a regular basis.

Several other departments are also present at borders and some differ from country to country, but the generic ones include officials from the Ministries of Transport and Agriculture. This researcher chose to interview officials from the Ministries of SME&D and Industry and Commerce, in addition to customs authorities, because these have records of the movement of goods. Their operations are directly linked to the REP and they have an understanding of the effects and operations of different REPMS.

#### 6.7.4.1 Respondents’ samples

After establishing the sites to include in the study as outlined above, the researcher proceeded to employ sampling methods to identify the would-be research respondents. The first set of respondents was the SMEs practitioners who responded to the SSPAQ on 15 October 2015, attached as Appendix 2-1. The researcher established, through consultations with the SME&D ministry, that there is an events calendar for countrywide SME workshops coordinated throughout the year through the SMEAZ. This calendar is available online on the ministry’s website and is updated regularly. The researcher made use of one of the national events, held on 15 October 2015, to collect the data. Since the number of participants was less than the membership, the researcher used a subgroup census method to select respondents. A subgroup census involves the inclusion of all the subgroup members of the population in the study. A flyer was given to all the workshop participants as they entered the conference venue on the day of the data collection. This notified the participants of the researcher’s intention to carry out the survey later in the day. For the convenience of the respondents, the researcher issued each respondent with a new blue pen for use. All the participants at the workshop became respondents in the study.

The second set of respondents, for the purpose of this study, was international drivers and assistant drivers at the chosen REPs, who responded to the SRAQ attached as Appendix 2-2. They were selected through convenience sampling, which can also be called opportunity sampling, which is “a kind of non-probability or non-random sampling in which members of the target population are selected for the purpose of the study if they meet certain practical criteria, such as geographical proximity, availability at a certain time, easy accessibility, or the willingness to volunteer” (Farrokhi

and Mahmoudi-Hamidabad, 2012, p. 784). Those international drivers and their assistants crossing through the identified REP under this sample were the target population from which this sample was conveniently drawn. The researcher recruited those willing at the entry points until the allocated days per site were finished. The researcher spent five days on each site.

Finally, in the category of respondents came the ministry officials from the select ministries. These responded to the semi-structured interviews following the interview schedule attached as Appendix 2-3. These were purposively sampled, which is also referred to as judgmental, selective or subjective sampling, and falls under the non-probability sampling methods. This entails collecting data from a “population of interest” (Kousar and Sohail, 2014, p. 59). Only those ministry officials responsible for research, policy formulation, implementation and evaluation in their ministries qualified to respond to the semi-structured interviews. Four ministry officials were purposively chosen from each of the three ministries selected for the study. This gave a total of 12 interview respondents. Purposive sampling falls into the category of non-probability sampling, which can be utilised for effectively questioning experts within a certain field of study (Tongco, 2007, p. 147). As such, when looking at each ministry, there are people who are knowledgeable about the ministry’s policies. These usually occupy the top echelons of the ministries in the categories of directors, deputy directors and their immediate subordinates. They participate in the policy formulation and oversee the policy implementation, and are thus highly knowledgeable about their Ministry’s policies.

## 6.8 Instrumentation

Surveys have many possible objectives (Lohr, 2009, p. 3), however all have the major goal to estimate characteristics of a static or dynamic population using data from a sample. In so doing, as alluded to earlier, several methods and befitting tools are used. In this study the following tools: (1) semi-structured interview guides, (2) semi-structured survey questionnaires, and (3) structured survey questionnaires, were used. This required a rigorous instrumentation process. “Instrumentation is the process of constructing research instruments that could be used appropriately in gathering data on the study” (Rivera and Roela, 2007, p. 67). Accordingly, this section will elaborate on how each tool was developed and what the literature says as far as strengths and weaknesses are concerned.

For all the above mentioned tools, which will be explained in-depth shortly, an introductory section was included. These were developed based on Brace’s (2004, p. 151) advice that for an introduction to be ethically sound it should include:

“...the name of the organisation conducting the study, the broad subject area, whether the subject area is particularly sensitive, whether the data collected will be held confidentially or used at a personally identifiable level for other purposes such as database building, the likely length of the interview, any cost to the respondent, whether the interview is to be recorded, either audio or video other than for the purposes of quality control. All these, as will be elaborated, are areas that were kept in mind and in cooperated in all the tools.”

#### 6.8.1 Semi-structured interview guides

Several critical issues had to be observed in the development of the interview guide in order to ensure the interviews' efficacy. On the ordering of questions, Brace (2004, p. 133) asserted that the interview must start with those questions that seek a general understanding of the phenomenon and then progress to the questions that are more specific in relation to the area under investigation, which is what this researcher did. In this research the interview began with general questions on RI, progressing to policy and policy implications questions which are more detailed. The interview schedule is attached as Appendix 2-3.

The researcher also developed an interview script to go with the interview guides, as it is prudent to use a script to guide the beginning and end of an interview (Jacob and Furgerson, 2012, p. 3). The script helped to ensure that the interviewer did not miss out on the information intended to be conveyed to the interviewee. It also ensured that all the interviewees were given the same information. In an interview there is a lot of important information that one would want to share with each of the participants, and without a script forgetting something is likely (Jacob and Furgerson, 2012, p. 7). Heeding this advice, this researcher developed a very short script to take care of the introductions, conclusions and key highlights, as well as switching off cellular phones and switching on the audio recording device.

#### 6.8.2 Semi-structured participant administered questionnaire

This, as the name implies, is a questionnaire that participants oversee by themselves. The researcher expended a great deal of effort in the construction of the questionnaire, as not only is appearance crucial for the success of a questionnaire, but it also impacts on the respondents' ability to use it (Brace, 2004, p. 151). Lee in Pershing (2006, p. 772) also commented that the layout of a questionnaire must be suitable for ease of reading and responding.

SSPAQs were printed for gathering data from the SME practitioners (see Appendix 2-1). Pershing (2006, p. 751) referred to semi-structured survey questionnaires as mixed questionnaires, as they provide one section with closed-ended questions and another with open-ended questions.

Table 6-7 shows the steps that this researcher followed in the creation of the questionnaires. The process, however, is not as smooth as the table might depict, as there were many revisions before the final tool was developed.

Table 6-7 Steps in questionnaire making

	Activity	Rationale and Explanation
1	Information requirements review	Give an understanding of the information requirements of the problem, opportunities and decisions that led to the need for a questionnaire. Theory and previous research were the major guides in this area, as were conversations with knowledgeable individuals.
2	Development and prioritisation of potential questions list	To establish potential questions to satisfy the information requirements. To ensure questions became as specific as possible. The more specific the questions are the easier their evaluation will be, and the easier it will be to translate the questions into a form that can be readily administered in a questionnaire.
3	Question screening	This is when questions are sorted looking at: <ul style="list-style-type: none"> <li>- how the answers to it were to be analysed; the anticipated information each would provide; and</li> <li>- how the ensuing information was to be used.</li> </ul> This helped in prioritising the questions according to their information relevancy.
4	Question assessment	Each question was assessed carefully, which allowed for potential questions that survived the preliminary screening process to be examined for their administrative viability or how participants would react to them.
5	Question evaluation	Each potential question was evaluated by posing three sequential interrogatives: <ol style="list-style-type: none"> <li>1. Can participants understand the question?</li> <li>2. Can participants answer the question?</li> <li>3. Will participants answer the question?</li> </ol> This gave insights into areas in need of revisiting, possible limitations and ethical issues to be addressed.

Source: Leelin Pershing (2006, p. 762)

The process outlined in Table 6-7 required a lot of questions to be answered. Through serious application of the guidelines most questions were dropped, and the relevant ones found their way into the research data collection tools.

### 6.8.3 Structured researcher-administered survey questionnaire



The SRAQ used for this study is attached as Appendix 2-2. This was developed predominantly based on the Likert scale and guidelines discussed in the preceding section, however it differed from the semi-structured participant administered survey questionnaire in its own way. Gillham (2005, p. 80) preferred to call them ‘recording schedules’; in this case, “researchers move around scanning passers-by to see which ones might be compliant and seem likely to fit the quota survey criteria”. The researcher then engages with those consenting to an interview, and fills in the responses (Gillham, 2005, p. 83).

The key advantage for this questionnaire over the participant-administered survey questionnaire is the response rate. Seeing that international transport drivers and assistants are of no real fixed abode, this researcher saw this method as advantageous, as the researcher administered and retained the questionnaires rather than waiting for them to be posted or sent back through other means. However, inasmuch as it overcame the disadvantages of postal questionnaires, it “restricts coverage, data are often superficial” (Gillham, 2005, p. 87).

Only those drivers and their assistants passing through a certain entry point at a specific time were considered, regardless of several facts that can be intervening factors on the type of drivers on the road at that particular time. The literature has evidence of researchers using the same method with truck drivers to great success. Kircher and Anderson (2013, p. 103) carried out a *Truck Drivers Opinion on Road Safety* study in Tanzania using the same method. Truck drivers were selected using convenience sampling, and those who indicated willingness were interviewed with the researcher assisting in filling out the questionnaire.

This type of instrument was also used by Kaplan, Siebar, and Ganiants (1997, p. 783) in a study comparing its effectiveness against the self-administered version. They established, among other things, that “the methods differ in more ways than administration” and that “non-completion rates are significantly higher for self-administered questionnaires”, thus “the use of self-administered questionnaires carries the risk of more missing data” (Kaplan, Siebar and Ganiats, 1997, p. 783). Another set of researchers also used the researcher-administered survey questionnaire arriving at more or less similar conclusions (Bedard, et al., 1998, p. 25). In this research the researcher administered 254 SRAQ. Of these, all were completed. The only noticeable disadvantage was the issue of partly completed surveys, as the drivers would only entertain the researcher whilst waiting to be cleared. The moment they were cleared they would waste no time and continue with their business. This saw 15 out of 254 surveys submitted as partly completed.

#### 6.8.4 Survey questionnaires’ rating scales

The development of a questionnaire cannot be complete without looking at rating scales. Scales are a number or form of rating that has been developed in such a way that they help in addressing the feedback in attitudinal dimensions (Brace, 2004, p. 86). The three rating scales covered in most literature are: (1) Thurstone scale, (2) Likert scale, (3) Semantic differential scale (Brace, 2004, p. 86; Lee, 2006, p. 770). Other scales, which are infrequently mentioned in literature, are the Stapel scale, Graphic scale, Pictorial scale (Brace, 2004, p. 93-95), Simpler scale and the Sigma scales (Edmondson, 2005, p. 128). This researcher will, like most scholars, concentrate on the first three to show how the choice of the Likert scale used herein was made.

The semantic differential scale was developed by Charles Osgood in 1952 (Brace, 2004, p. 85; Lee in Pershing, 2006, p. 772) to measure people's feelings by indirect yielding interval data which is usable with any statistical analysis (Lee in Pershing, 2006, p. 772). It is a "bipolar scale" in which two opposing statements for a given dimension are taken and placed at the extreme ends, the study participants are then tasked with giving their responses, placing them under the measure they think represents their views on a particular question (Brace, 2004, p. 89). This reduces the bias of merely agreeing with statements for the sake of agreeing, because serious consideration of the two sides must be done. However, the scale has a disadvantage in that it can be difficult when dealing with respondents who do not have an appreciation of the operation of scales (Lee in Pershing, 2006, p. 772). This is a situation whereby people can end up agreeing instead of disagreeing and vice versa, because the way they ordered their thoughts would direct them to the wrong end.

The Thurstone scale was developed by Thurstone and Chave in 1929 (Lee in Pershing, 2006, p. 770). This scale revolves around one's belief system by opening the ratings with statements that speak to the belief system of the target subject. It has 11 categories or dimensions from most favourable to neutral to least favourable. The method is only used occasionally because it is labour intensive (Lee in Pershing, 2006, p. 770). Thurstone scaling involves the generation of a large set of potential scale items, which are rated by a group of judges regarding how favourable the scale item is to the desired concept or construct (Edmondson, 2005, p. 127). However this is a laborious technique, which is why Rensis Likert took a radical departure from it to create a new scale (Edmondson, 2005, p. 127).

Having established the shortfalls of the semantic and differential scales, this study settled for the Likert scale which was developed in 1932 (Brace, 2004, p. 85; Edmondson, 2005, p. 127; Lee in Pershing, 2006, 770). The creation of the Likert scale signified a shift in the way attitudinal research was conducted (Edmondson, 2005, p. 127), as Likert argued that attitudes are "dispositions toward overt action... which can be clustered"(1932, p. 9). On this scale the respondent indicates agreement

or disagreement with an assortment of choices on the scale from extreme to extreme; using the five points “strongly agree” to “strongly disagree” format (Lee in Pershing, 2006, p. 770). Accordingly, the scale is commonly known as the “agree-disagree scale” (Brace 2004, p. 86).

#### 6.8.5 Research tools’ quality control

##### 6.8.5.1 Expert evaluation

To ensure the credibility of the research tools some expert evaluation is necessary. This entails getting an independent panel of experienced survey researchers to review and critique the tools before use (Nueman, 2006, p. 312). The researcher engaged the services of an expert statistician to review all the three tools explained above, who evaluated the tools and made recommendations. The tools were adjusted, in consultation with the supervisor, based on the statistician’s inputs.

##### 6.8.5.2 Instruments pre-testing

The researcher also carried out instrument pre-testing. This is a simulation of the data collection process (Hair Jr, Wolfinbarger, Ortinau and Bush, 2008, p. 350). This entails taking a small group of the population to participate in the pre-test. This process helps to expose the instruments’ flaws. Extensive pre-testing of all instruments was done as diarised in Table 6-8. The researcher then made adjustments to the instruments in consultation with the supervisor and other senior academics. The issues that emerged most pertinent in the pre-test were issues to do with the ambiguity of some questions. This was rectified. The other was the issue of time in which the pre-test helped to properly estimate the time that respondents would need to complete the instruments. This was factored into the introductory sections of the instruments.

Table 6-8 Instruments’ pre-testing diary

Instrument	Respondents	Dates
Semi structured participant administered questionnaire	20 SMEs	1 July 2015
Structured researcher administered questionnaire	20 International drivers	3 July 2015
Semi structured interview guides	3 Ministry official	7 July 2015

Source: Researcher’s diary

#### 6.9 Data collection

According to Yin (2009, p. 2) in a case study, an array of variables will be there to be investigated. Therefore, use of more than one source of evidence becomes desirable. Data from multiple sources of evidence allow data triangulation. A case study works as a main strategic method, within which different sub-methods for data collection are used (Gillham, 2000, p. 13). Bearing this in mind, this researcher used semi-structured interviews, semi-structured participant-administered survey questionnaires, and structured researcher-administered survey questionnaires, which were administered in succession. These sequential methods data collection were not without shortfalls. In view of time management; as it took longer than if it had been a concurrent study. Concurrent surveys reduce the length of time needed to collect data compared to using one instrument at a time (Creswell, 2007, p. 214). For this research it took a total of six months to gather all the required data from the four entry points, the four ministries and the SME practitioners. The period stretched from 15<sup>th</sup> October 2015 to 8<sup>th</sup> April 2016. However, this is a relatively short period considering that the data were being collected at geographically distant sites using three different instruments. There were also several days in between when no data was being gathered.

The researcher recruited and trained research assistants to assist with administering the SRAQ to international drivers and their assistants at entry points. The eligible assistants were selected from the Bachelor of Science Honours Political Science second year class at the University of Zimbabwe. The researcher realised that they stood to benefit from the experience as they would be preparing to start working on their dissertations in their third year. They also had a sound appreciation of research, having gone through a full year of research methodology training as part of their first year academic courses. The assistants were paid for their contribution.

The assistants worked under the researcher's supervision, and besides adding objectivity and credibility to the research, they helped to alleviate researcher stress which is more pronounced when a researcher works alone (Schell, 1992, p. 7). Gathering data was a tedious task considering this research entailed going to four entry points situated at Zimbabwe's territorial borders; the task would have been impossible in the absence of the researcher's four assistants.

### 6.9.1 Primary data collection

#### 6.9.1.1 Semi-structured interviews

A total of 12 SSI were carried out based on the interview guides for the key ministry respondents (four per ministry for the three chosen ministries). Table 6-9 shows the information collected through these interviews, which allowed for probing to "elicit elaboration on incomplete or ambiguous

responses” (Babbie ,2002, p. 276). The ministry officials responded to several issues to do with RI and REPMS. Of the twelve, nine agreed to audio recording.

Table 6-9 Information collected through semi-structured interviews

1.	Relationship, if any, between movement of goods and cargo and RI.
2.	The border related challenges impeding the efficient movement of goods and people.
3.	Identification of policies and initiatives taken by ministries to aid movement of people and goods across borders
4.	Challenges faced by ministries when trying to implement border related policies and initiatives
5.	A comparison of TSBP system and the OSBP system
6.	The viability of either the ‘piecemeal’ or the ‘holistic’ approaches to RI

Source: Author

Interviews are a survey data collection method which uses face-to-face or telephonic interactions (Pershing, 2006, p. 751). In this research the interviews were carried out face-face on a fixed interview schedule (Brace 2004, p. 2). All the interviews were done by the researcher.

It is advisable to practice conducting interviews, according to Jacob and Furgerson (2012, p. 5), thus the researcher took time to become accustomed to the interviews through practice with family members and friends. In so doing the researcher mastered the interview process and dealt with some “stage-fright” issues before the actual interviews took place. The recorded interviews were transcribed as outlined below.

#### 6.9.1.1 a Interview transcriptions

The process of transcribing an interview has several procedures and challenges; there could be some omissions in the capturing of words that lead to the meaning changing, or some sections could be inaudible or disturbed by noise in the background (McLellan, Macqueen and Neidig, 2003, p. 66). A single professional transcriber is needed to transcribe the interviews, because according to McLellan et al. (2003, p. 73), that “ensures best results and limited errors”.

The researcher developed a transcription protocol based on McLellan et al.’s (2003, p. 75-81) guidelines. According to the authors, providing a protocol for the transcriber ensures the preparation of a standardised transcript. The researcher was also guided by and conformed to the principles of transcription as per Mergenthaler and Stinson (1992, p. 129-130). The principles are as tabulated below.

Table 6-10 Interview transcription principles and strategies

Principle	Strategy
Morphologic naturalness of transcription preservation	Keep word forms, the form of commentaries and use of punctuation as close as possible to speech presentation and consistent with what is typically acceptable in written text.
Transcript structure naturalness preservation	Keep text structured by speech markers (i.e. like printed versions of plays or movie scripts)
Exactness of reproduction	Generate a verbatim account. Do not prematurely reduce text.
Universal transcription rules enforcement	Make transcripts suitable for both human researcher and computer use.
Completeness of transcription rules	Transcribers should require only these rules to prepare transcripts. Everyday language competence rather than specific knowledge, e.g. linguistic theories should be required.
Independency of transcription rules.	Transcription standards should be independent of transcribers as well as understandable and applicable by researchers or third parties.
Intellectual elegance of transcription rules.	Keep rules limited in number, simple and easy to learn.

Source: Mergenthaler and Stinson (1992, p. 129-130).

To avoid the perpetuation of unnoticed errors and to ensure that the transcribers were working as expected, the researcher engaged a fellow researcher to proofread the first three transcripts. This helped to curb any potential issues because without this process, some problems could have found their way into the latter stages of data processing, to the extent of them becoming difficult to reverse (McLellan et al., 2003, p. 73). The researcher then verified each transcript against the audio and the side notes captured in the interviews.

#### 6.9.1.2 Survey questionnaires

Written questionnaires have been described as popular and versatile (Lee in Pershing, 2006, p. 760), as well as an effective survey research method for gathering information from a large number of people relatively quickly and inexpensively (Pershing, 2006, p. 751). The researcher used two types of questionnaires, which were differentiated by the way they were administered and structured: the SSPAQ and the SRAQ. These were used to collect data from SME practitioners and truck drivers and their assistants respectively.

Questionnaires are widely used for various reasons. When using questionnaires printed out on paper the respondents get more time to choose their responses, with room to complete the questionnaire at different times as their schedules permit (Brace, 2004, p. 36). Questionnaires printed on paper also provide a lot of information to the respondents which can be in pictorial form (Lee in Pershing, 2006, p. 760). As mentioned earlier, the researcher gave the SME practitioners who were attending a

national SMEs' workshop the SSPAQs to respond to, which were to be completed and returned on the same day. The response rate was high, as the researcher issued 133 questionnaires and 128 were returned. This was a return rate of 96%.

The self-completion aspect benefits immensely, because the fact that the interviewer is not present to administer the questionnaire means that any bias associated with an outsider is kept away and the respondents are more honest about sensitive subjects (Brace, 2004, p. 36; Lee in Pershing, 2006, p. 775).

Brace (2004, p. 36) highlighted a disadvantage with the absence of an interviewer in self-completion studies however, because if the respondent misunderstands a question, there is no one to clarify or probe for fuller answers. The other disadvantage is that the researcher cannot regulate the way respondents go through the questionnaire, because they can look at questions that come later and use those to inform the way they answer earlier questions (Brace, 2004, p. 37).

The researcher engaged research assistants to help with the administration of the survey questionnaires. While it could have been possible for the researcher to individually administer the survey questionnaires, the process can be too complex and taxing for an individual (Edlund, 2006, p. 1), which rationalises the need to engage helpers. The researcher used the same assistants for the SRAQ as for the SMEs' workshop.

Table 6-8 shows the information collected through the surveys, which aimed to answer the research questions raised in Chapter 1.

Table 6-11 Information collected through surveys

1.	Identification of REPMS in place at different REPs
2.	Evaluation of the REPMS in place at different REPs
3.	The issue of countries security in relation to different REPMS
4.	The best way to approach RI between the 'piecemeal' and the 'holistic' strategies.

Source: Author

### 6.9.2 Secondary data collection

This study examined literature from the international, continental, regional, country and individual entry point levels. In the literature the researcher was looking for the history of RI in general, and then more specifically SADC RI. The researcher obtained several documents from libraries and internet sites for use in this task.

The researcher also solicited relevant documents from the three ministries selected for this research. In all the ministries the officials were forthcoming in providing their policy documents, and references were also made to the ministries' websites.

Surveys from pre-existing studies were another source of secondary data. Findings from an earlier study by the Freidrich Ebert Foundation were utilised and secondary data were reassembled in new ways to address the current research question (Nueman, 2006, p. 331). The use of secondary survey data is desirable due to several reasons, including that 'secondary data analyses can be an alternative means to be able to conduct studies with less costs' (Boo and Froelicher, 2013, p. 130). In this study, extending primary data collection into each SADC member state was going to be very expensive, and the researcher was only interested in the limited component of the RI aspect that has implications on trade facilitation, REPMS and RI. As such, secondary data from an earlier study proved sufficient to meet all the above issues.

The museums and national archives were also visited to establish the evolution of the different entry points, and the researcher was privileged to attend several national and international workshops relevant to this study. The SME&D Ministry held several workshops that allowed the researcher to mingle with players in the SME industry, and international conferences organised by the University of Kwa-Zulu Natal (UKZN) for postgraduate students were also of valuable help. The researcher was able to present several papers based on this research, and it was in these workshops that many grey areas were addressed in the discussion sessions.

## 6.10 Measurements

Two sets of variables were measured in this study; the dependent (entry point systems and state sovereignty) and the independent (NTBs types and RI levels) variables as shown in Table 6-11 below. According to Creswell (2007, p. 50), the variables that have an effect on the outcome are independent, which work as forerunner variables. The other type of variable is that which gets influenced by the independent variables, and are known as the dependent variables (Creswell, 2007, p. 50). This means they will go to the positive or negative depending on the effect put on them by the independent variables.

Table 6-12 REPMS study measurements

Measurements	Dependent Variables	Independent Variables
Set 1	REPMS	NTBs types
Set 2	State sovereignty	RI levels

Source: Author



These variables were studied in the context of the relationship proposed by the functionalist, neo-functionalist and modernisation theorists following the CRT philosophical framework and methodologies. The functionalists and neo-functionalist belief in taking a functional approach in which each component of a system has specific roles was tested. According to the neo-functionalist arguments, once there is cooperation and the development of trust in certain functional areas (independent variables), there will be “spill-over” effects that lead to increased integration (dependent variables). The researcher assumed that there is a correlation in this set of variables. This is “an empirical relationship such that changes in one are associated with changes in the other” (Babbie, 2002, p. 443). On the other hand, the modernists advocate a holistic approach in which all the aspects of a system are revolutionised at once. The findings of this research, to be presented in the forthcoming chapter, will address the issue of these measurements in greater detail.

## 6.11 Data analysis

The data in this study emerged in qualitative (text) and quantitative (statistical) forms, given the mixed method research design. The researcher thus employed thematic and matrix analyses for the former and statistical analysis for the latter, as next explained.

### 6.11.1 Qualitative data analysis

After collecting qualitative data, the researcher set out to analyse them. Data collected in their raw form can be fascinating, but it is worthless unless it is put through data analyses so that the meaning conveyed by the respondents can be extracted and used to answer the questions that triggered the research in the first place (Basil, 2003, p. 144).

A manual thematic and matrix analysis was employed on the Microsoft Word platform. This method was preferred due to the superiority hold it has over software like Nvivo. “Using software for analysing qualitative data is valuable in terms of improving the rigours of the analytical steps for validating that which does not reflect the researcher’s impressions of the data” (Alhojailan, 2012, p. 39). However, such software misses the mark in failing to pick meaning in differently expressed responses.

Equipped with the following Microsoft Word options: Text highlight colour, Font colour, Italics, Bold and Underline, the researcher went through the process of grouping the data into categories. The categories were further grouped into themes and explained in detail. The stages followed are as shown in Figure 6-3 below.

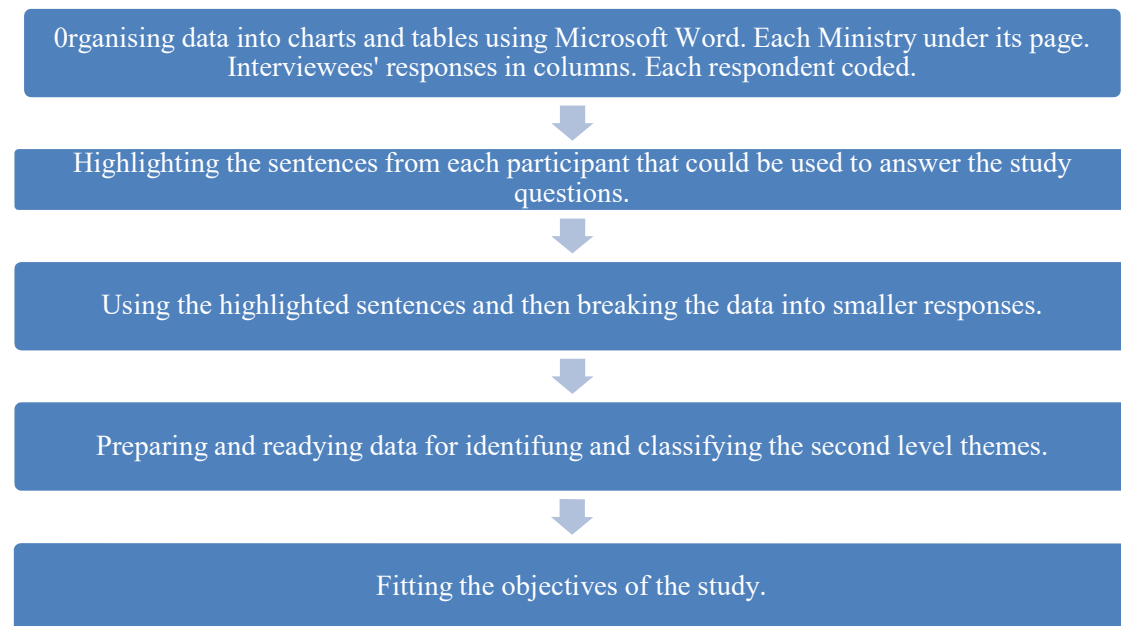


Figure 6-3 Quantitative data thematic analysis steps

Source: Alhojailan (2012, p. 39)

This process “allows the researcher to determine precisely the relationships between concepts and compare them with the replicated data” (Alhojailan, 2012, p. 40). This helped the researcher to get meaning out of the mountains of raw transcribed data. During the process the researcher kept going back and forth between the transcripts, the highlighted data, the audio recordings and the handwritten interview notes. This was based on advice that repeatedly listening to the original recordings would help in the data analysis, as the ears would continue to help the eyes in the organisation of the data (Chenail, 2012, p. 268).

The information was then put into matrices as the categories emerged. A matrix gives a better visual display of data which allows for a simplified search of the categories and themes as they develop (Blake, 2003, p. 84). A matrix is formed from columns and rows that are manipulated to allow for the simultaneous examination of data as it came from individuals as well as how it fits into the whole group (Blake, 2003, p. 84). It is out of these categories that a higher grouping, themes, emerged.

Although under normal circumstances text highlighting will suffice, the researcher also used italics and bold as the data were coming out in more categories than the available usable highlighters on the computer. The aim was just to have an identifiable format for data of the same category and meaning. This meant even italics and then highlighting until all the categories had distinct groups.

### 6.11.2 Quantitative data analysis

The data emerging from the SSPAQ and SRAQ surveys in statistical form were analysed using the Stata statistical software package. “Stata is a statistical package for managing, analysing, and graphing data” (StataCorp 2013). It is “a general purpose statistics package developed and maintained by Stata Corporation” (Rabe-Hesketh and Everitt, 2004, p. 1). It has several advantages that led it to be the software of choice, including that it is available for a variety of platforms and is fast. Its “speed is due partly to careful programming, and partly because Stata keeps the data in memory” (StataCorp, 2013).

The respondents’ names were replaced by codes to ensure confidentiality. The number of individuals with each characteristic was calculated, using the “tabulate” command of Stata 11.0. The medians of continuous variables were assessed, using the “summarise” command of Stata 11. Tables and figures were constructed using Microsoft Office and Excel 2010 to show the distribution of various variables. The “tabulate variable1 variable 2, column row” command of Stata 11.0 was used to compute the percentages and numbers (n) of variable characteristics. Chi-square analysis using the “tab variable1 variable 2, chi” was used to investigate any relationships between categorical variables, e.g. the REPMS and NTBs.

To facilitate ease of analysis when using Chi-square, the following changes were made:

The response “strongly agree” was changed to “agree” for variables “B1” through “B10”.

The response “strongly disagree” was changed to “disagree” for variables “D11” through “D17”.

Where the cell count was five or less when using Chi-square, the Fishers exact option was used to compute the P-value using the tab variable1 variable 2, chi-exact. All variables with a Fishers exact P-value of 0.05 or less were consequently considered to be statistically significant (i.e. the researcher was willing to be wrong only in 5% instances) and thus a significant relation was implied.

The advantage of having these statistics is that they “help to condense an overwhelming body of data into an amount of information that the mind can more readily comprehend and deal with” (Leedy and Ormrod, 2010, p. 31). Statistics also “help the researcher see patterns and relationships in the data that might otherwise go unnoticed” (Leedy and Ormrod, 2010, p. 31).

### 6.11.3 Data triangulation

The quantitative and qualitative data analysis was followed by data triangulation, which “involves using more than one kind of method to study a phenomenon” (Bekhet, Johnson and Zausziewski, 2012, p. 651). In this study, data came from several sources in the form of both quantitative and qualitative data. The data also fell into the primary and secondary categories. This was done because “it has been found beneficial in providing confirmation of findings, more comprehensive data, increased validity and enhanced understanding of studied phenomena”(Bekhet, Johnson and Zausziewski, 2012, p. 653). Therefore, “triangulation as a qualitative research method strategy to test validity through the convergence of information from different sources” became desirable (Carter et al., 2012, p. 545).

Figure 6-4 shows that in this study, primary data came in both qualitative and quantitative forms as collected through interviews and surveys. There were also secondary data as indicated in earlier sections. These were brought together to constitute the current REPMS and RI study.

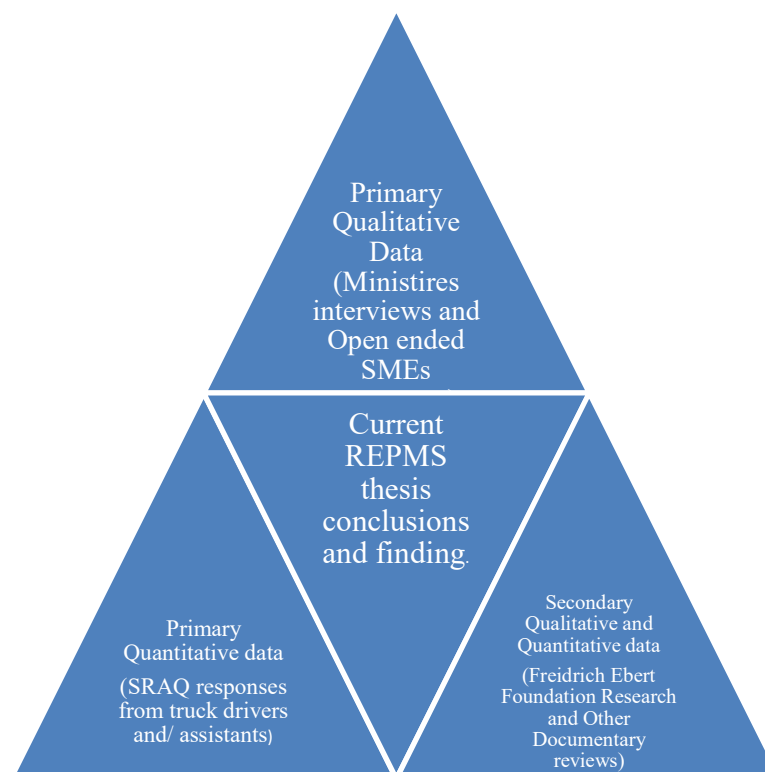


Figure 6-4 REPMS study data triangulation

Source: Author

## 6.12 Ethical considerations

This researcher observed an array of ethical guidelines before collecting the data, during the data collection, and whilst analysing and presenting the data. These guided the use of the data and will continue to guide the storage and dissemination of the data. According to Yin (2009, p. 73), there are serious ethical obligations to be fulfilled when dealing with research data.

The researcher developed introductory letters in line with the UKZN guidelines and stipulations. This research falls under the Human and Social Science Research (HSSRES) category, so the researcher worked according to the UKZN guidelines for completing the Human and Social Sciences Research Ethics Application Form (2014). These were used to get gatekeepers' approval letters from the relevant ministries. The researcher was given three approval letters from the Zimbabwean ministries, which were then presented to the UKZN Research and Ethics Board for ethical clearance. The ethical clearance was granted in accordance with the University Ethics Regulations. The UKZN "is committed to ensuring the compliance of the ethical integrity of all research done under its auspice" (University of KwaZulu Natal, 2014). The research ethical approval number is HSS/1165/015D attached hereto as Appendix 3.

Table 6-12 details the ethical considerations followed in this study. Due diligence was done to avoid falsification, fraud or plagiarism by following the proper academic guidelines for use of other people's work. All the data were, and will continue to be, treated as private and confidential, to be used solely for the purposes of this research.

Table 6-13 REPMS study ethical considerations

<ol style="list-style-type: none"> <li>1. Proper academic referencing</li> <li>2. Gaining informed consents and formally soliciting participants' volunteerism</li> <li>3. Protecting participants' privacy and confidentiality</li> <li>4. During data analysis; names and responses were put away from each other</li> <li>5. Data once analysed is kept for a reasonable period, 5 to 10 years, after which the data will be discarded to ensure they do not get to be used for wrong intentions</li> </ol>
--

Source: Creswell (2007, p 91) and Yin (2009, p. 73)

## 6.13 Study assumptions regarding respondents and data

The researcher assumed that the chosen respondents, i.e. the drivers, assistant drivers, SMEs and ministry officials, would be truthful and honest in their responses to the study questions. According to the CRT philosophical framework underlying this study, it is important to use methods that solicit data from other people, as it is impossible for the researcher to personally witness and understand everything because it is in the actual domain where the occurrences of events take place (Easton,

2010, p. 123). This means that what we see is just a fraction of what must be known, i.e. observation has shortcomings in that it cannot effectively reveal and capture everything that occurs (Easton, 2010, p. 123). In light of this fact, this researcher opted for methods that would extract the extra information that observation would miss out, assuming the respondents would be truthful, forthcoming and honest.

It was also assumed that the respondents for the SRAQ to be administered at the REP would have experience using both systems. Three road entry points under study used the TSBP system whilst one used the OSBP system. However, the researcher assumed that those travelling through the TSBP would have, at some point, used the OSBP. The same applied to those using the OSBP. This would allow them to make first hand judgements for the questions that sought to compare the performance of the two systems. Those without the experience of using both systems were filtered out of the study.

The researcher assumed that the respondents would be conversant in English and all the instruments were in English. Although there was an option to translate the instruments, the researcher chose to stick to one language. Translating into the vernacular languages used in Zimbabwe or all the official languages used in SADC would abrogate the meaning of the original instruments, as there are inherent differences in languages. Zimbabwe has 16 official languages (Zimbabwe Constitution, 2013), however most of these are limited to some sections of the population. English, as the previous official language under the colonial system, cuts across the populace, so the researcher assumed that it would be viable to use it for the SME respondents than trying to translate into all the 16 official languages. For the drivers and their assistants coming from outside Zimbabwe, the researcher also assumed they would have a basic understanding of English in order to converse with the researcher or her assistants. This was the other reason that the researcher believed it was desirable to use the SRAQ for drivers. With a basic mastery of a language one may be in a position to engage in a conversation but might not be able to read the language, so the use of research assistants covered that shortfall.

#### 6.14 Limitations

Although not commissioned, the study proved to be a sensitive issue involving state sovereignty issues, and the government officials in the different ministries had unique demands. Since the research dealt with three ministries, the researcher had to meet different conditions from each. The

breakthrough in the search for gatekeepers” letters came after developing all the tools and presenting them for their approval.

The issue of obscured “within case differences” was imminent; this is a problem that inevitably arises when using different points as ‘comparators’ (Hantrais, 2009). In this study four different and geographically distant road entry points were used. This researcher took the time to study the systems in place at each site in order to establish any peculiarities that could affect the research, which helped to avoid generalisations. As will be outlined in the findings section, each of the four entry points have some peculiarities that were noted and taken into account.

Three of the respondents denied the researcher permission to be audio recorded. Although this is an acceptable option in research, the researcher found it to be a setback as she had to rely on note-taking, which is never as comprehensive as audio recorded interviews.

Administering the SRAQ to international drivers and their assistants gave a very high return rate; the researcher managed to administer a total of 254 SRAQs. However, the challenge of dealing with people who are not stationed in one place was evident. Drivers and their assistants were only willing to cooperate whilst stuck in queues; once traffic eased or their turn to be attended to came, they would abandon the questionnaire. As such 9.8% (n=25) of the surveys were incomplete, i.e. of the 254 surveys administered as shown in Table 6-2, 229 had usable information for the study as shown in Table 7-4. Twenty-five were incomplete because the respondents were not willing to continue being held back with the study once their time to proceed with their trips came.

The issue of language limitations was inevitable; this was most evident in the administration of the SRAQs to the truck drivers and their assistants. Drivers using the Zimbabwe REP and transit routes came from four countries using predominantly English and Portuguese as official languages, yet the researcher drafted the tools in English only. Fortunately, the researcher did not encounter any scenario of a driver who was not competent in English; nevertheless the level of understanding English in some of the respondents was minimal. Even though the researcher successfully solicited responses from them, she is of the opinion that their responses would have been better informed had the instruments been translated into other official languages. This would have entailed engaging a research assistant who was fluent in other official languages from the SADC region. The fact that this study was self-funded was a limitation but did not detract the researcher from undertaking this study.

### 6.15 Delimitations

According to Leedy and Ormrod (2010, p. 57) “what the researcher is not going to do is stated in the delimitations”. As such, this section herein states what the researcher did not do. In the interests of time and precision, this researcher purposively set out the boundaries for this thesis. The boundaries were set in several areas from the population, literature, and secondary data extending to the sites.

The research looked at entry points only. This means on gathering data from truck drivers and assistants the researcher engaged only those travelling into Zimbabwe. Those moving out of the country were not included in the study. This was done to ensure that the study remains focused on the operations of REPMS only and not broaden to general migration trends. This also meant the research was targeting only international truck drivers and their assistants. Those who do short journeys within the country to the borders were not part of the study. To ensure that no local transporters became part of the sample the researchers asked for evidence to show that indeed, the respondent will have recently emigrated from a neighbouring country. Those awaiting their immigration procedures and those who will have cleared for immigration became the only respondents.

Still on the international drivers and assistants, only those who had used the Chirundu OSBP before qualified for the study. This was incorporated into the survey instrument as a filtering question, which is a closed-ended question that is designed to target a select group of respondents out of the whole group (Siniscalco and Auriat, 2005, p. 28). If the respondent answered that he/she had not used the Chirundu OSBP before, then the soliciting of responses was discontinued. This was done to ensure that all the respondents would have an understanding of both the REPMS in use in SADC. Since Chirundu is the only OSBP anyone would have passed through, they would know both systems in SADC as the rest are TSBP. However, since it was possible that someone could be an international driver or assistant without having been exposed to Chirundu, it became necessary to filter those without this exposure out of the study.

At ministry level only those officials at the managerial level were purposively chosen as study respondents. The researcher made it clear that junior officers were not part of the sample, because she wanted responses from people with a firm grasp on policy formulation and implementation. These are also the people who would better understand the inter-ministerial partnerships forged and the desired integration and development approach. This is based on the premise that their experience at work would have made them informed practically of things that junior officers would only know in theory.



The literature was not delimited; the literature review section looked at wide and varied themes and ideas dating back several decades, which helped to set out the theoretical framework and several other parts of the study which required a historical context for clarity. However, for the secondary data, and specifically for the purpose of understanding the REPMS, the findings from the Freidrich Ebert foundation's *Deepening integration in SADC* research was used. From these studies, the data were restricted to Zambia, Zimbabwe, South Africa, Mozambique and Botswana because these countries share borders with Zimbabwe. Therefore, even though relevant information for all SADC countries was used in the development of the study, earlier research from countries other than those listed was not used in this study. This means that in the secondary data section in chapter 6, only the earlier studies for the said countries neighbouring Zimbabwe were included.

The study did not look at TBs because, as mentioned in earlier sections, a lot of research has concentrated on TBs. The research also looked at the road mode of transport only, despite the fact that the movement of goods happens using all modes of transport.

In the same vein, this study did not seek to create a statistical formula for the measurement of RIs and NTBs as that has already been done by scholars such as Phillipe De Lombarde (2008), Luk Van Langenhove (2011) and Giulia Pitrangeli (2012). These and other scholars' literature is readily available from the internet, reputable libraries and bookstores. This study sought to establish the types of NTBs in the SADC region and level of RI, only discussing this in relation to REPMS.

There are several theories of integration and development. For the purpose of explaining the integration approaches investigated herein, only three theories were studied. The gradual/piecemeal and the holistic integration and development approaches were developed and explained exclusively out of the functional, neo-functional and the modernisation theories respectively. The mention of other theories was purely to show their existence, but not to inform the two approaches under investigation herein. The other theories have not been tackled because the researcher had already identified which would provide the required elements to inform the gradual and holistic integration and development approaches. The chosen theories sufficiently explain the integration approaches that are opposite to each other, so the researcher settled for only those. Regardless, it would not be possible for any study to look at all the theories of development and integration available in literature.

### 6.16 Chapter conclusion

The information presented in this chapter detailed the methodology employed in this study. The chapter opened with a section on the philosophical underpinnings of the study, which set the stage for the research design that was used. The worldview rationalised the use of a mixed methods design, as the pragmatic nature of this researcher respects the use of different methods.

The latter parts of the chapter then detailed how this mixed methods approach was executed. This entailed detailing the development of the three tools used herein, their administration and the data analysis. Issues on how the researcher has adhered to the ethical demands of the UKZN Human and Social Science Research board have also been outlined.

This chapter represents a period that ended with raw data that, at face value, is of no real worth to the problem under investigation; however the next chapter will give meaning to this data. The forthcoming chapter presents the research findings so that the data can be transformed into information that is able to answer the question on REPMS in Southern Africa's RI.

## CHAPTER 7 DATA PRESENTATION, ANALYSIS AND FINDINGS

### 7.1 Introduction

The preceding chapter, Chapter 6, described the outline of the methodology used for this study. This included a section on the philosophical underpinnings of the study. The chapter also presented the pragmatic worldview as guiding this study. This showed how the researcher used both qualitative and quantitative data gathering methods in line with the CRT's ontological assumptions. In this chapter, the research results and findings of the data gathered from the methods explained in the foregoing chapter are presented. The chapter will open with a restatement of the research objectives and questions, with a table linking the research objectives to the research questions being presented alongside data from each of the three instruments used. The biographical details of the research participants will also be presented in the same manner, alongside the instrument under scrutiny.

The data are presented in two successive parts; the primary then the secondary data. "Primary data are original data collected for a specific research goal" (Hox and Boeije, 2005, p. 593). The primary data came from three sources, which are presented as sub-sections in the primary data section. The first source was the semi-structured interviews that were conducted with three Zimbabwean ministries, the second came from SRAQs administered to truck drivers and their assistants on four Zimbabwean REPs, and the third data set came from the SMEs which were collected through the SSPAQs.

The second section will consist of the secondary data.. In this research, the secondary data came from The Freidrich Ebert Foundation's *Deepening Integration in SADC Macro Economic Policy and their Impact* study. The latter part of the chapter provides data triangulation, which is when the data from the documentary reviews, qualitative and quantitative research is brought together. "Triangulation as a research strategy, [is done] to test validity through the convergence of information from different sources" (Carter et al., 2012, p. 545). After that, the chapter conclusion will be presented.

### 7.2 Research objectives

This study sought to:

1. determine the relationship between REPMS in Zimbabwe and the types of NTBs prevailing in the cross border movement of people and cargo;
2. explain how NTBs affect different REPMS;

3. examine the extent to which the neo-functionalist theory explains the pragmatic relationship between (a) REPMS and NTBs; (b) state sovereignty; and (c) the level of RI in the SADC region; and
4. examine the extent to which the modernisation theory explains the pragmatic relationship between (a) REPMS and NTBs; (b) state sovereignty; and (c) the level of RI in the SADC region.

### 7.3 Research questions

1. What is the relationship between the road entry-points management systems in Zimbabwe and the types of non-tariff barriers prevailing in the movement of people and goods?
2. How do non-tariff barriers affect different types of road entry points?
3. To what extent does the neo-functionalist theory explain the pragmatic relationship between (a) REPMS and NTBs; (b) state sovereignty; and (c) the level of RI in the SADC region?
4. To what extent does the modernist theory explain the pragmatic relationship between (a) REPMS and NTBs; (b) state sovereignty; and (c) the level of RI in the SADC region?

These research objectives and questions gave impetus to the data gathering that culminated in the data analysed and presented in this section.

### 7.4 Primary data presentation and analysis

Primary data are “original data collected for a specific research goal” (Hox and Boeije, 2005, p. 593). As indicated earlier, in this research three sets of instruments were administered. The semi-structured interviews mined qualitative data, while the two surveys, SSPAQ and SRAQ, discovered quantitative data. The qualitative data were analysed using thematic and matrix analyses.

#### 7.4.1 Qualitative primary data

The primary qualitative data were gathered through interviews with three Zimbabwean ministries - the Ministry of Finance and Economic Development’s ZIMRA, the Ministry of Industry and Commerce, and the Ministry of Small to Medium Enterprises and Development. The sample was comprised of 12 middle level managers, i.e. four from each of the three ministries.

Thematic and matrix analyses were used to analyse and present the data. The researcher used manual methods for the treatment of all the qualitative data, as this offered more benefits than the available computer option, the Nvivo. Thematic and matrix analyses allowed the researcher to associate an analysis of the frequency of a theme with one of the whole content. This will confer accuracy and intricacy and enhance the research's whole meaning (Alhojailan, 2012, p. 40).

During this qualitative data analysis process, the researcher continuously moved back and forth between the audio records, transcripts and the reduced data sheets. This was informed by the advice that a repeated and continuous return to the original recordings would help in keeping in the researcher in line with the interviewees' inputs (Chenail, 2012, p. 268). This made the process long but thorough. In this way, the data were reduced into categories and matrices were formed. A matrix presents data in a way that enhances the search for categories and themes (Blake, 2003, p. 84). The matrices for this study consist of four columns and several rows. Three of the columns consisted of data from the ministries, while the first one was dedicated to the emerging themes. The responses from each ministry were inserted in rows alongside a corresponding category.

#### 7.4.1.1 Ministries' briefs

##### 7.4.1.1. a Ministry of Finance and Economic Development(ZIMRA)

The Ministry of Finance and Economic Development is at the centre of revenue management in Zimbabwe. Among its overall functions is to "collect revenue due to the government in particular through the Zimbabwe Revenue Authority (ZIMRA)" (Ministry of Finance and Economic Development, n.d.).ZIMRA is thus a parastatal that was established on 19 January 2001 and is administered under this ministry (ZIMRA, n.d.). Among its mandates is to "facilitate trade and travel". This is achieved by "ensuring smooth movement of goods and people through inland and border ports of exit/ entry" (ZIMRA, n.d.). Its role in trade facilitation and presence at all entry points made it relevant for this study, as the organisation not only has an interest in the movement of cargo and goods, but they also have a physical presence at all the country's ports of entry.

##### 7.4.1.1. b Ministry of Industry and Commerce

The Ministry of Industry and Commerce is another key Ministry in the movement of goods. Among its several functions, it "oversees the orderly development, promotion and growth of domestic and international trade" (Ministry of Industry and Commerce, n.d.). As the ministry is broadly involved in the importation and exportation of goods, it plays a crucial role in the understanding of trade facilitation policies.

#### 7.4.1.1. c Ministry of Small to Medium Enterprises and Development

The SME&D is a Zimbabwean Ministry that offers an array of policy, technical and other services to SMEs. Its mission is “to create and maintain an enabling environment that promotes the development and sustainable growth of micro, small and medium enterprises and cooperatives” (Ministry of SME&D, n.d.). This Ministry played a critical role in this research as it offered a practical understanding of the movement of cargo and people through their interactions with SMEs.

#### 7.4.1.2 Respondents’ biographical data

The age range for all the ministries’ participants was 31-40 years. Table 7-1 shows that of the 12 respondents, 25% were females and 75% were males. On average, the respondents had been in their current positions for more than four years. All the respondents held a postgraduate qualification in the form of masters’ degrees in various fields, and held senior positions in their respective organisations.

Table 7-1 Respondents’ biographical data

Ministry	Position	Years in Position	Gender	Age range	Highest Qualification
SME&D	Deputy Director	3	Male	31-40	Masters
SME&D	Researcher	3	Female	31-40	Masters
SME&D	Researcher	3	Male	31-40	Masters
SME&D	Policy Analyst	2	Male	31-40	Masters
Industry and Commerce	Senior Economist	6	Male	31-40	Masters
Industry and Commerce	Principal Economist	9	Male	31-40	Masters
Industry and Commerce	Principal economist	8	Male	31-40	Masters
Industry and Commerce	Principal Economist	4	Male	31-40	Masters
Finance	ZIMRA-Technical Officer	3	Female	31-40	Masters
Finance	ZIMRA-Station Manager	1.5	Male	31-40	Masters
Finance	ZIMRA- Technical Officer	6	Male	31-40	Masters
Finance	ZIMRA- Supervisor	4	Female	31-40	Masters

Source: Author

#### 7.4.1.3 Research purpose codes

The respondents were given codes for use in data analysis and presentation as shown in Table 7-2 to ensure privacy and confidentiality. These codes do not, in any way, correspond to the biographical data order given in Table 7-1 above. For ease of reference, the codes bear the initials of the

respondents' organisations, i.e. for Industry and Commerce IC was used, for SME&D SM was used, and for the ZIMRA officials RA was used (Revenue Authority).

Table 7-2 Research purpose codes for ministries' officials

Ministry	Case label	Respondent codes
Industry and Commerce	Case A	IC – 1, IC – 2, IC – 3 and IC – 4
SME&D	Case B	SM – 1, SM – 2, SM – 3 and SM – 4
ZIMRA	Case C	RA – 1, RA – 2, RA – 3 and RA – 4

Source: Author

#### 7.4.1.4 Summary of interviewees' responses

The interviews showed that the REPMS have a very critical role to play in the realisation of the SADC region's integration agenda. There is also evidence that the existence of different REPMS in Zimbabwe - the OSBP and TSBP systems - have helped people to understand the efficacy of both systems for the SADC region at large. In the three ministries all the respondents showed a good understanding of the REPMS in use and could talk about them from practical experience.

The existence of NTBs on the entry points was brought out. The discussions also showed that the NTBs occurring on the OSBP differ from those at the TSBP. There was a unanimous feeling that in whatever form they are occurring, the NTBs at border points are impeding the efficient movement of people and cargo, as well as derailing the region's progression towards realising the RI quest.

The discussion on the impact of systems on traders shed more light on the REPMS operations. Across all ministries the respondents gave insights into the challenges and opportunities that traders are facing. Although two of the ministries, i.e. Industry and Commerce and SME&D, do not have a physical presence at the borders, they showed a sound appreciation of the challenges thanks to their role in facilitating trade.

The respondents showed very high support for the gradual approach to integration and development, however there were some reservations. These were proffered in as challenges that can be met in pursuing their chosen approach.

Respondents in all ministries commented on the existence of several inter-ministerial partnerships at the bi-ministry as well as the multi-ministry level. However, all the ministries indicated that the level of effectiveness of these partnerships is not at the desired level; some of the partnerships are impeded by bureaucracy, while financial constraints do not allow for the full realisation of all the intended initiatives. The most pertinent challenge raised by almost all the respondents is the absence of an ICT

systems interface. This, in most cases, leads to the duplication of procedures, as the ministries' systems do not speak to each other. The absence of an ICT systems interface was also cited as contributing to the increase in delays at entry points.

The issue of an overlap of regional groupings was evident, as some respondents kept referring to COMESA and AEC. Respondents IC-1, IC-2 and IC-4 indicated that it is very difficult for them to isolate what SADC has done as a region, because as the countries belong to overlapping groupings they adopt and implement policies from these different groupings simultaneously. In this way it is difficult to credit success or failure to one regional grouping's policy, as most of the policies have similar aims.

Respondent RA-4 raised a concern regarding the role of the human component in all the integration and REPMS endeavours, whereas most other responses pointed to the challenges as coming from infrastructure and financial constraints. Respondent RA-4 suggested that for optimal impact there is need for a properly trained implementer. They argued that human attributes like mental aptitude will complete the puzzle once all other factors have been put in place.

The Ministries are putting initiatives in place to alleviate REPMS-related problems, some of which have been implemented fully, while others are still a work in progress. However, respondent RA-2 noted that most initiatives may be elitist as they benefit mostly the bigger establishments. This means that the SMEs, even though they are part of the system, do not receive the optimum benefits out of the initiatives.

The issue of the road network was raised in all the ministries by IC-1, RA-3 and SM-3, who drew attention to the need to look at the road networks. These, they argued, work hand-in-hand with REPMS in determining the ultimate costs of transportation. Respondent IC-2 added that there is need to look at roadblocks, which were noted to be justified when it comes to security, but sometimes impede the efficient movement of cargo and people. Respondent RA-4 also raised a concern regarding the railway, which they suggested should be used more in order to decongest the road.

A concern regarding security was raised in one of the ministries, when Respondent RA-2 pointed to emerging security threats such as terrorism that are slowly engulfing the international system. The systems in place may, in the respondent's view, not be able to address this, so there is need to look into those issues alongside any studies on REPMS.

The forthcoming section presents more of the data from these qualitative interviews. First is Table 7-3, which shows the link between the interview questions and the objectives. The responses from the



raw data were reduced into categories, after which themes were established. These will be presented in the form of matrices that show the responses as they were came in from the different ministries. The Ministries of Industry and Commerce, SME&D and Finance's ZIMRA will occupy the first, second and third columns respectively. These will, for that reason, be labelled Case A, Case B and Case C.

#### 7.4.1.5 Link between the research objectives and interview questions

The interview questions sought to answer the research questions presented earlier. Table 7-3 shows that in the interview schedule more than one question was sometimes included to solicit answers for a particular objective. The first column indicates the objectives, while the second column lists the interview questions that best elicited answers for the corresponding objective.

Table 7-3 Link between research objectives and interview questions

Research Objective	Interview Questions
Determine the relationship between REPMS in Zimbabwe and the types of NTBs prevailing in cross border movement of people and cargo.	1, 2, 3 and 4
Explain how NTBs affect different REPMS.	8, 9 and 10
Examine the extent to which the neo-functional theory explains the pragmatic relationship between (a) REPMS and NTBs and (b) state sovereignty and (c) the level of RI in the SADC region.	4, 5, 6, 7, 11, 12 and 13
Examine the extent to which the modernisation theory explains the pragmatic relationship between (a) REPMS and NTBs and (b) state sovereignty and (c) the level of RI in the SADC region.	4, 5, 6, 7, 11, 12 and 13

Source: Author

#### 7.4.1.6 Qualitative data responses' matrices and summaries

Research Objective 1: Determine the relationship between REPMS and the types of NTBs prevailing in the movement of people and goods.

Matrix 7-1 shows that the interview respondents affirmed the existence of a positive relationship between the REPMS and the types of NTBs. They also stated that the REPMS affect the movement of people and cargo by either easing the flow or hampering the flow. This agrees with Jain's (2012, p. 64) assertion regarding the presence of both physical and non-physical barriers to the movement of goods and people at entry points. The REPMS are coming in encompassing both the physical and the non-physical aspects that go into the TSBP and OSBP REPMS.

When making a comparison of the existing REPMS, there is evidence that the NTBs tend to differ to the system in place, i.e. the infrastructural NTBs occurring at the TSBP are different from those on

the OSBP. Under the TSBP, infrastructural NTBs do not have a single window system and physical structure to separate traffic. These do not occur on the OSBP, showing that an OSBP is a solution to most infrastructural NTBs occurring at TSBP. This is the same rationale for establishing OSBP as given by Polner (2011, p. 56), i.e. to try and ensure that the clearance of traffic at border crossing points is done in a more effective manner, with the reduction of demurrage times and the multiplicity of agencies at the borders.

The other set of NTBs occurring at both REPs are the procedural ones; they are not physical like the infrastructural referred to above. They also differ from TSBP to OSBP systems. At the TSBPs, the most cited procedural NTBs relate to the failure to implement border efficiency management systems (BEMS). The implementation of BEMS would alleviate most of these procedural NTBs and aid the flow of traffic, even when systems still operate under the TSBP system.

On the OSBP, the procedural NTB that emerged as topical is the lack of harmonisation between the agencies. This is when the agents continue to operate as if they are under the TSBP system while operating on the OSBP system. This might be due to human nature, since scholars have shown that “most of us are averse to change” (Brown, 2002, p. 1). This counters any efforts towards alleviating the procedural NTBs at TSBPs that should be emanating from the establishment of the OSBP; if people’s mindsets are not aligned to accept the operations of the new system, then procedural NTBs that are supposed to be for TSBP systems will continue recurring on the OSBP system. This also shows a lack of confidence in the efficacy of the new system and the challenges that come with change (Jenkins and McLinden, 2011, p. 207). This also speaks volumes regarding the impact of state sovereignty on the operations of the OSBP system. State sovereignty is defined as “the supreme or final authority of a political entity over its own affairs, frequently associated with a given territory” (Diez et al., 2011, p. 215), which is why it comes under scrutiny.

The place of RI in the relationship between NTBs and REPMS was also revealed in the responses, as RI is used as an attempt to remove these NTBs at both the TSBPs and the OSBP. This is because RI has a bigger aim that involves the construction of a supranational unit, thus the strategy ought to ensure the maintenance of peace, the attainment of capabilities, the accomplishment of tasks, image development and the identification of roles (Dosenrode, 2010, p. 5). This aim sees beyond the current scenario where states treat each other with scepticism. The aim is to take states to that level when they move out of the state-centred mentality and start to view things from a level above the state, but with more benefits to the individual states.

Matrix 7-1 summarises the relationships between REPMS and the prevailing NTBs. The responses from the three ministries show the similarities in the respondents' judgements. In the different ministries there is a trend that is identifiable in the procedural and infrastructural NTBs occurring at either the OSBP or TSBP. They agree, to a great extent, that there is a positive relationship between REPMS and NTBs.

Matrix 7-1 REPMS and prevailing NTBs relationship

Category	Case A	Case B	Case C
The nature of the relationship	Positive relationship; REPMS affect the movement of goods and people (IC-1, IC-3, IC-4)	Integration promotes movement of goods (SM-1, SM-2, SM-4) Relationship is mutual (SM-3)	Positive relationship; integrated systems smoothen movement of goods (RA-1, RA-2, RA-3, RA-4)
Procedural NTBs on OSBP	Law manpower, absence of sound legal framework (IC-1, IC-3, IC-4)	Absence of strong commitment to ethical practises (SM-2) and insincerity towards harmonisation (SM-4)	Inadequate skilled manpower with border management skills (RA-3)
Infrastructural NTBs on OSBP	Incompatibility of systems and absence of systems interface (IC-1) Hard infrastructure not informed by soft infrastructure (IC-3, IC-4)	Hard infrastructure not informed by soft infrastructure (SM-1) OSBP not implemented at most border posts (SM-3)	Network system not allowing interconnectivity and systems lacking interface (RA-1) OSBP not existing in a series along the whole corridor (RA-4)
Procedural NTBs on TSBP	Less interaction among agencies (IC-1) BEMS not implemented (IC-3) Procedures not streamlined (IC-4)	Absence of clear objectives on ICTs usage to ensure optimum use (SM-1) Entry points working less than 24 hours a day (SM-2) Limited use of sound support structures like the cargo pre-clearance systems (SM-4)	Lack of enough border management skills in the manpower (RA-1, RA-3)
Infrastructural NTBs on TSBP	Absence of single window system (IC-1) Poor road networks around the border areas (IC-2)		Absence of physical structure to separate outward bound from inward bound traffic to avoid mixing (RA-2) Systems not fully automated (RA-4)

There is, however, a clear indication that NTBs prevail at both systems. This disputes the literature which seems to show that an OSBP will be the ultimate answer to the NTBs' problems.

The solutions to all the NTBs presented above lie in doing things in the opposite way from what is happening now. When a procedural NTB like less interaction is cited as given on a TSBP system, then there must be a call for more interaction. When the absence of physical infrastructure to separate traffic to avoid mixing is cited, then efforts must be made to install physical infrastructure to separate the traffic. Most solutions are not positioned far from the problem.

## Research Objective 2: Explain how NTBs affect different REPMS

The study also sought to establish how NTBs affect different REPMS. Having appreciated that both systems have NTBs, it was necessary to gain an understanding of the impact of these on the performance of the system. This was to give an understanding of the effect of the NTBs on the whole trade facilitation process as well as the RI quest. To get to this understanding the respondents were presented with such questions as those requiring hearing the merits or demerits of each system.

Matrix 7-2 shows that, *inter alia*, NTBs are viewed as enhancing the security of the TSBP systems. This is in line with what Kalaba et al. (2006, p. 129) asserted, i.e. that the NTBs have been taken in some sections as serving a noble purpose. Countries are wary about their security, which is evident in the way they have continued to hold onto the TSBP system. The respondents also unanimously asserted that the NTBs at TSBPs ensure that countries enjoy their state sovereignty. The issue of independence in doing things also cascades down to the ministries. Responses in all the ministries showed that even within one country the ministries feel they have to enjoy some autonomy in their operations. This comes at a cost, however, as it then manifests as the NTBs affecting the system. Respondents from the Ministry of Industry and Commerce SMEs expressed this by saying that the Ministry of Finance and Economic Development's ZIMRA is well automated, but does not provide a platform for the other players to interface with its system. On ZIMRA's part this is part of their security guards but this means other ministries will have to repeat the things that ZIMRA will have done. This then emerges as procedural NTBs in the form of duplication. In this way, the security that comes with NTBs comes at a cost and even cascades into more NTBs.

The issue of NTBs on TSBPs being justified under security reasons results in more NTBs, which are not a constructive consequence. What the respondents described was that as countries concentrate on protecting their security, the measures they put in place propagate more NTBs, however this may even be worse for security, as the proliferation of NTBs triggers trade concerns and protracted disputes (Xiong, 2012). Respondents pointed out several NTBs that are duplicates, which were likely created for security reasons. Delays are rife, autonomy creates confusion, duplication increases costs and lengthens the process, and eventually corruption results. The delays that come from the

duplications purported to be for security also lead to long waiting times for trucks, which increases operational costs. Demurrage costs are a serious drawback in any transport business (Todd, 2016), therefore it is evident that the desire to ensure countries' security may actually be eroding that security. There is need for the implementers to look at the holistic definition of security, where such things as economic security are included.

The use of the OSBP system can be taken as a stopgap measure for NTBs occurring at TSBPs. The OSBP alleviates most of the issues associated with the TSBP. This agrees with what most literature proffer. "The reasoning behind establishing different kinds of OSBP revolves around increasing the effectiveness of the border crossings by reducing the number of stops" (Polner, 2011, p. 56). By speeding up the movement of people, the OSBP removes the problems associated with delays, corruption and the demand for social immorality like prostitution. It also works as a step towards the desired RI as it brings countries together to share more than just infrastructure, as they will start sharing information and intelligence. This will start with the movement of goods and cascade down to several standard issues that have to do with harmonisation. However, according to one respondent, OSBPs have a problem if there is bad blood between countries sharing borders. If elements of sabotage flourish in the system they can lead to dire consequences, as the OSBP removes that extra level of scrutiny that comes with the duplication that occurs with TSBPs.

Therefore, the use of an OSBP can qualify as a stopgap measure because it does not address the full challenges that occur at REP. In fact, an OSBP brings with it an automatic loss of some aspects of state sovereignty. Galbreath(2008, p. 14) argued that for states to gain some collective goals they must be willing to lose some of their sovereignty, however. Respondents in all the ministries acknowledged this as a downside of OSBP, yet one respondent submitted that there are bigger problems that countries must think about than state sovereignty issues. According to Respondent RA-2, countries must look at threats like terrorism that cannot be stopped using the current REPMS. Both the OSBP and the TSBP, in the opinion of the respondent, are insufficient for curbing the terrorist problem. This concurs with Matusitz's (2013, p. 5) finding on terrorism, i.e. that it takes an asymmetric form of warfare, making it very unpredictable. States now need to take a holistic approach to security, which entails a redefinition of sovereignty and the costs of losing it.

Matrix 7-2 below puts together the respondents' opinions regarding how NTBs affect different REPs. As explained in the foregoing paragraphs, these responses predominantly show the negative impact of NTBs, save for the responses that refer to the preservation of state sovereignty and state security.

Matrix 7-2 Effects of NTBs on different REPMS

Category	Case A	Case B	Case C
NTBs as security enhancing on TSBP	Non-integration enhances security (IC-1) Protect state sovereignty protected (IC-3, IC-4)	Repetition gives rigorous security (SM-2, SM-4) State sovereignty protected (SM-1, SM-2)	Independence in operations and enhances security (RA-1, RA-4)
OSBP impact as TBSP NTBs stop gap measure	Speedy movement of people and cargo (IC-1, IC-2) Reduce corruption tendencies (IC-3) Sharing of information boosts intelligence and security (IC-4)	Smooth mobility for cargo and people (SM-1, SM-2, SM-3) Enhanced security due to sharing of intelligence and capabilities (SM-1) Costs of doing business reduced (SM-1, SM-2) Bring countries towards total integration (SM-4)	Reduce costs and speed up movement of goods (RA-1, RA-3)
NTBs unconstructive consequences on TSBP	Delays rife (IC-1, IC-2, IC-3, IC-4) Limited sharing of information compromise on countries security (IC-4)	Autonomy can create confusion among agencies (SM-1) There is increased duplication which lead to more documentation, delays and costs (SM-1, SM-2, SM-3, SM-4), Lengthy processes breed corruption (SM-4)	High dwell time will increase costs (RA-1, RA-2, RA-3, RA-4) Displays a lack of trust which negatively impact any efforts towards full integration (RA-4)
Impact of NTBs removal through instituting OSBP	Loss of state sovereignty (IC-1, IC-2, IC-3, IC-4)	Takes away state sovereignty (SM-1, SM-2, SM-3, SM-4) Lack of sincere implementation compromises security (SM-1, SM-2, SM-3, SM-4) Vernacular language usage disturbs organisational culture (SM-4)	May have devastating consequences due to sabotage (RA-1) Compromise security (RA-1, RA-2, RA-3, RA-4)  Countries' different priorities may cause administrative problems (RA-3)

Although the NTBs have been shown to have the utility value of preserving security, no respondents advocated for their continued use.

The responses did not describe the different impact of NTBs on the specific entry points as per the literature; the literature is awash with bilateral arrangements that have been put in place to alleviate NTBs by countries sharing borders. This means that even with similar REPMS, the NTBs on the ground will differ. There is evidence in the literature of many customs measures that were put in place to alleviate the problems at different entry points. The Beitbridge border post, for example,

between Zimbabwe and South Africa, operates 24 hours a day, and CCTV has been installed to aid security. This means that inasmuch as it is still a TSBP, it does not absolutely perform as a TSBP in some aspects.

Research Objective 3: Examine the extent to which the neo-functionalist theory explains the pragmatic relationship between (a) REPMS and NTBs; (b) state sovereignty; and (c) the level of RI in the SADC region.

The neo-functionalist theory presented the piecemeal strategy, which happens gradually. Neo-functionalism is best in explaining organic integration rather than fast integration (Dosenrode, 2010, p. 1). The strategy advocates, among other things, that RI and development will come as players start by cooperating in areas of low politics. It is the cooperation that happens in the low politics that will give momentum to the working together in areas of high politics.

Matrix 7-4 shows that all but three respondents (SM-3, RA-3 and RA-4) picked the gradual approach ahead of the once-off approach as their favoured option. They argued that the gradual approach allows adjustments to systems unlike the once-off approach, which is difficult to reverse if necessary. This is consistent with what Cooper (1989, p. 538) asserted, i.e. that the 'functionalist approach is gradual and the institutional development piecemeal and experimental'.

Regarding the suitability of this approach to the SADC region, respondent IC-2 supported it by saying that it caters for the different levels of development within member countries. This was also cited by Zwizwai (2007); as countries have different levels of development, even their capabilities differ. This means that doing things gradually may accommodate countries' differing strengths and weaknesses. The other angle that was used to rationalise the gradual changeover the once-off came from the financial side, when Respondent SM-2 indicated that a once-off move is very expensive because it entails a holistic change of all the systems at once. This assertion was backed up by the literature review.

The three ministries included in this study have been using this gradual or piecemeal approach all along, as is evident in the policies that the respondents presented as the initiatives that they are putting in place to alleviate REPMS and NTB problems. Matrix 7-3 presents the ministries' initiatives, most of which are trade facilitation measures. These are as tabulated.

Matrix 7-3 Initiatives by ministries to facilitate trade

Target beneficiary	Initiative put in place
Initiatives directed to travellers	Passenger manifest systems (IC-1), Capacity building programmes (IC-1)
Initiatives directed to cargo	Cargo pre-clearance system (RA-1) Risk management system to detect high risk cargo for more attention (RA-3) Scanners to replace physical inspection of goods (RA-4)
Initiatives directed to both travellers and cargo	Routing system (IC-1, RA-1, RA-2, RA-4), BEMS (IC-3, IC-4, SM-1) Installation of CCTV (SM-1, RA-2) Training and registration of SMEs (SM-1, SM-2, SM-3, SM-4) Single window initiative (RA-1) Authorised economic operator programmes (RA-3)
Initiatives directed at policy formulation level	Trade facilitation committee (IC-3) Joined WTO (IC-3) Trade fares (IC-3) Spatial Development Initiatives (SM-1) Agreement on infrastructure development (SM-1)

The above initiatives were put in place to gradually improve the performance of REPs in SADC. The various ministries are mostly doing several different things individually, however some initiatives are being done at the inter-ministry level. The approach to do things as each ministry deems fit has the benefit of allowing independence, but comes with a challenge of conflicting approaches. This is in line with Brown's (2002, p. 1) assertion that the inability to solve disagreements is one key factor in the failure of potential initiatives.

Matrix 7-4 Gradual approach, NTBs, state sovereignty and regional integration

Category	Case A	Case B	Case C
Choice between gradual and once off approaches	Gradual (IC-1, IC-2, IC-3, IC-4)	Gradual (SM-1, SM-2, SM-4) Once -off (SM-3)	Gradual (RA-1, RA-2) Once off (RA-3, RA-4)
Gradual approach's relationship with NTBs removal	Allows adjustments as systems (IC-1)	Once off is difficult to reverse thus risky (SM-1, SM-4)	Once off if in error difficult to reverse (RA-1)
Gradual process's suitability to SADC	Differing stages of development demand different approaches (IC-2) Once off demand a lot of political will (IC-3) Wholesome opening exposes systems to outside pressures (IC-4)	Once off is expensive (SM-2)	Once off will create shock factors that most countries will not be able to contain downstream (RA-2)
Probable challenges in implementing the gradual approach	There may be lack of commitment (IC-1, IC-3) Gradual approach restrict other countries in some areas and as such other countries may retaliate (IC-4)	Gradual can face coordination challenges as systems will be changes at different paces (SM-1) Gradual have challenges if not time bound. Will take forever (SM-2)	Gradual is slow (RA-1) Countries may procrastinate (RA-2)



The gradual approach, although popular with the respondents, is not without its shortfalls. According to Respondent IC-4, the gradual approach entails restricting other countries in some areas as opposed to the holistic opening of economies. The respondent, however, pointed out that this has a danger in that other countries may retaliate. Respondent SM-1 also voiced a reservation regarding the gradual approach, saying that it can cause challenges when coordinating policies. This is because at the country or even the ministry level, policy makers and implementers will be doing things differently. This is in line with Poku (2001)'s argument that for RI to materialise in a developing country, there is a need to deal with the issue of benefits accruing to the members and clear the unfair set-up in which some benefit more than others.

The challenges that arise when implementing policies and initiatives towards NTB removal are operational; all the ministries raised the issue of financial constraints and resistance to initiatives. Respondent RA-4 indicated that an absence of a similar approach towards automation is a challenge, which is the downside of doing things gradually and autonomously. Respondents SM-1, SM-2, SM-3 and SM-4 concurred that several erratic policy changes have affected the way they educate SMEs, which come at unsustainable costs to the Ministry. Another challenge of the gradual/piecemeal approach is evident in the absence of empowering legislation in other SADC countries in as far as the OSBP is concerned. Respondent IC-4 stated that only Zimbabwe has empowering legislation. These scenarios whereby countries formulate the legislation individually have a downside to it. By doing things individually at country and ministry level the inevitable downside of bureaucracy also comes in. This was raised by almost all of the respondents, and was commented on by Chirathivat (2005, p. 90), who discussed about the downside of the bureaucratic red tape.

Research Objective 4: Explain the extent to which the modernisation theory explains the pragmatic relationship between (a) REPMS and NTBs; (b) state sovereignty; and (c) the level of RI in the SADC region.

The modernisation theory is one of two theories underlying this study, which presents an approach that is opposite to the gradual or piecemeal approach explained in the discussion for the third objective above.

According to the survey respondents as per Matrix 7-5, the once-off or holistic approach is not a popular integration and development approach. Only three respondents, SM-3, RA-3 and RA-4, recommended it. The approach does have a benefit over the gradual approach in that it is holistic and fast, however. According to one of the respondents, RA-4, there are no benefits to having just one

OSBP in the region; if there is to be any meaningful results from the OSBP system then it has to be implemented in a series throughout the whole corridor. This is in line with Bernstein (1971, p. 141), who recommended the modernisation process as a total process in everything pertaining development and integration. In essence, this means there is a need to change all the systems at once for results to quickly cascade to the whole system.

There is no evidence that this approach has been utilised in any of the Ministries involved in the study; all the respondents spoke of things that their Ministries are either doing gradually or individually, and no responses suggested that there is something that has been implemented simultaneously, consistently, across the board. Even with the array of inter-ministerial initiatives discussed, the individual ministries used different approaches that were best applicable to them.

Matrix 7-5 below shows the responses that spoke to the holistic or once-off approach as emerging from the modernisation theory.

Matrix 7-5 Once-off approach, NTBs, state sovereignty and regional integration

Category	Case A	Case B	Case C
Choice between gradual and Once off approaches	Gradual (IC-1, IC-2, IC-3, IC-4)	Gradual (SM-1, SM-2, SM-4) Once-off (SM-3)	Gradual (RA-1, RA-2), Once off (RA-3, RA-4)
The hold that the once-off has over the gradual		Gradual is counterproductive. Projects end up overlapping (SM-3)	Gradual less sensible. Either do or do not (RA-3, RA-4)
Probable challenges when pursuing the once off approach		Lack of resources (SM-1)	Lack of resources (RA-3) Countries and ministries have different priorities (RA-4)

However, although respondents SM-3, RA-3 and RA-4 affirmed the relevancy of the once-off approach, it is not without its challenges. Its downside, according to Bernstein (1971, p. 146), is that it depicts a process in which the old and established elements are removed, paving way for contemporary ones. Accordingly, respondent RA-4 took the discussion to the regional level, citing that countries are at different levels of development, i.e. they have different priorities as well as different approaches. In this way, the once-off or holistic approach is incompatible with reality. Respondent SM-1 also cited the lack of adequate resources to support such an over ambitious approach. When taking a holistic approach it means the overhaul in the system will be enormous, and as such will need a huge capital base. Such resources are not easy to come by at the regional level, let alone the ministry level.

#### 7.4.1.7 Emerging themes' summary

According to Alhojailan (2012, p. 40), themes are “patterns that relate to the data”. They “develop the clues and then adapt or connect them to the raw data as summary indicators for deferred analysis’ (Alhojailan, 2012, p. 42). In this study the qualitative data were put into various categories, which will be discussed further.

The nature of NTBs prevailing at different REPMS was identified. There is evidence that they have fundamental differences; at the OSBP the NTBs are associated mostly with people’s personalities and information and communications technology (ICT). NTBs range from physical and non-physical things (Jain, 2012, p. 64). The non-physical is mostly human aspects and software; it was these non-physical aspects that emerged as the most cited problems on OSBP. Respondents IC-1, IC-3, IC-4, SM-2, SM-4, and RA-3 reiterated these challenges, saying that there is an absence of strong commitment to ethical practices (SM-2); insincerity towards harmonisation (SM-4); and low manpower (IC-1, IC3, IC-4). These are all NTBs related to the way the people manning different desks at entry points execute their duties. These NTBs, in essence, fundamentally differ with those NTBS prevalent on entry points under the TSBP system. Under the TSBP system the physical and infrastructural NTBs dominate; there is no single window system (IC-1) and physical structure to separate outward and inward bound traffic (RA-2). The impact of the physical NTBs is strengthened by the human aspects that are more or less similar to those at the OSBP, which effectively makes TSBPs more vulnerable to the consequences of NTBs such as delays, corruption, theft, truck demurrage and high costs.

There are several inter-ministerial partnerships in place, some of which were created for trade facilitation while others have broader aims but extend to the facilitation of trade. Respondents in all the Ministries confirmed the existence of these inter-ministerial partnerships, but commented that the level of partnership is not yet at the desirable stage. Partnerships are crucial as the sharing of information is indispensable when approaching REPMS (Polner, 2011, p. 56), however the absence of sound inter-ministerial partnerships is evidence of the existence of sovereignty issues even at Ministry levels. There are widespread calls for measures to be put in place to ensure cooperation (Kassee, 2014, p. 104), yet the Ministries show a preference for the “go-it-alone” strategy. Every Ministry want the other Ministries to embrace more partnerships, yet none is willing to play their part. The existence of the inter-ministerial partnerships, as such, remains predominantly in theory than practice. This leads to the perpetual existence of red-tape and a lack of a proper systems interface. Coupled with other challenges, these also affect the operations of the existing REPMS as

the volume of documentation increases. These were cited by all the respondents as a key challenge to the movement of goods and people.

This also points to the theories in place. The “piecemeal” strategy recommends a functional approach and was chosen by most respondents as desirable (IC-1, IC-2, IC-3, IC-4, SM-1, SM-2, SM-4, RA-1, and RA-2), while the ‘holistic’ strategy was less popular (SM-3, RA-3, and RA-4) and recommended further inter-ministerial partnerships. According to Salmon and Imber (2008, p. 122), cooperation comes with the specific demand that separate institutions must be harmonious and conform with one another by ensuring that their policies have a link and complement each other.

#### 7.4.2 Quantitative primary data

As explained in earlier sections, the researcher also utilised SRAQs and SSPAQs. These two instruments introduced quantitative data, which was desirable in that it brought outsiders’ objectivity to the study (Guba and Lincoln, 1994, p. 106). The data will be presented in relation to particular questions and explained in relation to the research objectives.

##### 7.4.2.1 SRAQ and SSPAQ respondents’ brief

###### 7.4.2.1.a Truck drivers and assistant drivers

The international truck drivers and assistants included in this research responded to the SRAQs. To ensure that all the respondents had an understanding of both REPMS under discussion, all the respondents at Plumtree, Beitbridge and Nyamapanda were asked if they had used the Chirundu OSBP before. An affirmative answer to this question in section A of SRAQ, attached as Appendix 2-2, qualified respondents for the study.

###### 7.4.2.1.b Small to medium entrepreneurs

The SME practitioners responded to the SSPAQs attached as Appendix 2-1. These were selected, as indicated earlier on in the methodology section, through a subgroup census. All the SME practitioners who attended a national workshop for SMEs on 15 October 2015 were included in the sample.

##### 7.4.2.2 Respondents’ biographical data

A total of 345 individuals took part in this study. Table 7-4 shows that of the 75 females that were part of the study, 32% (n=24) were truck drivers. The median age of SMEs was 31 years (inter quartile range was 19 to 60 years). The level of education for the small to medium entrepreneurs who

responded to the SSPAQ was very high. From the SME column of Table 7-4, 87% (n=101) of the valid 116 respondents had attained an O-level education and above. For the drivers and their assistants, the level of education was not solicited. Instead, their driving experience was ascertained. The average driving experience was nine years, with the most experienced driver having been doing international driving for 40 years. From the table, 78% (n=270) of the SSPAQ and SRAQ participants were male and females constituted only 22%.

The median number of times a truck driver or assistant truck driver had crossed the border was 15 times (the inter quartile range was three to 60 times). Fifty-six drivers indicated using the Chirundu OSBP. Of the 124 SSPAQs returned, 116 had usable information as shown in Table 7-4. From the SRAQ, 254 surveys were administered as shown in Table 6-2 but only 229 had usable information for the study.

Table 7-4 SRAQ and SSPAQ respondents' biographical data

	SMEs	Drivers/ Assistant	Total
Characteristic	n (%)	n (%)	n
Gender			
Female	51 (68.0)	24 (32.0)	75
Male	65 (24.1)	205 (75.9)	270
Age			
Median, inter quartile range	31 (19-60)	44(27-62)	345
Level of education			
Grade 7	5	-	5
Form 2 (ZJC)	10	-	10
Form 4 (O-level)	32	-	32
Form 6 (A-level)	14	-	14
Certificate	10	-	10
Diploma	16	-	16
Higher diploma	17	-	17
First college degree	6	-	6
Masters' degree and above	6	-	6
Business experience (Median, inter quartile range, years)	6 (1-30)	-	109
Driving experience (Median, inter quartile range, years)	-	9 (1-40)	231
Cross border travel frequency (Median, inter quartile range, years)	10 (2-24)	15 (3-60)	311
Point of entry used			
Beitbridge	-	60	60
Chirundu	-	56	56
Nyamapanda	-	54	54
Plumtree	-	59	59
Total participants based on surveys usable information	116	229	345

Source: Study surveys

#### 7.4.2.3 Link between research objectives and surveys' statements

The SRAQ and SSPAQ survey statements aimed to achieve the research's earlier stated objectives. During instrument design and data analysis, SRAQ and SSPAQ survey statements were linked with the aims of the study. These linkages are shown in Table 7-5.

Table 7-5 Link between research objectives and survey statements

Research Objective	SRAQ	SSPAQ
Determine the relationship between REPMS in Zimbabwe and the types of NTBs prevailing in cross border movement of people and cargo.	Section B:1 to 10	Section B: 1 to 10
Explain how NTBs affect different REPMS.	Section C:11 to 17 Section D:18-23	Section C: 11-15 Section D:16-18
Examine the extent to which the neo-functionalist theory explains the pragmatic relationship between (a) REPMS and NTBs and (b) state sovereignty and (c) the level of RI in the SADC region.		Section E:19-21
Examine the extent to which the modernisation theory explains the pragmatic relationship between (a) REPMS and NTBs and (b) state sovereignty and (c) the level of RI in the SADC region.		Section E: 19-21

Source: Author

The link between the research objectives and the survey statements enabled the researcher to solicit the correct information from respondents. Through the use of multiple instruments the researcher received adequate coverage of the research objectives. The findings from these instruments will be presented in the forthcoming section.

#### 7.4.2.4 Results presentation and analysis

The following sections present perceptions from the respondents. Whilst section 7.4.2.4 a covers drivers and assistant drivers' perceptions (figures 7-1 to 7-17), section 7.4.2.4 b shows perceptions of SMEs (figures 7-18 to 7-32). Perceptions of these stakeholders respond to research objectives 1 to 4. This presentation of data includes interrogation of literature interspersed with findings displayed in graphs. Section 7.4.2.5 provides a more in-depth discussion that interrogates literature in juxtaposition to findings from this study.

The tables 7-12 to 7-33 from which graphs that display perceptions are drawn are attached as Appendices placed at the end of this chapter for ease of reference.

#### 7.4.2.4.a Drivers and assistants' perceptions

All the responses per question are as presented in Table 7-12 at the end of this chapter in the appendices. The details in the responses are those used in plotting the forthcoming Figures 7-1 to 7-17.

The impact of the REPMS in place affects the flow of goods at a given entry point. Almost all (96.4%) (n=54) of the respondents at Chirundu agreed or strongly agreed that the passage of goods is smooth at that entry point. At Beitbridge, 76.7% (n=46) strongly disagreed or disagreed that the passage of goods is smooth. The same applies to Nyamapanda, where 74.1% (n=40) strongly disagreed or disagreed that the system is smooth. This corresponds with the literature, which showed that significant benefits have accrued from the implementation of the OSBP REPMS at Chirundu (Kassee, 2014, p. 105). However, there was a unique finding at Plumtree, as 76.2% (n=45) agreed or strongly agreed that the system is smooth. This points to the need to establish and understand any custom measures put in place at this particular entry point. The scenario can also be understood by looking at the levels of trade between the countries sharing this border, i.e. Botswana and Zimbabwe.

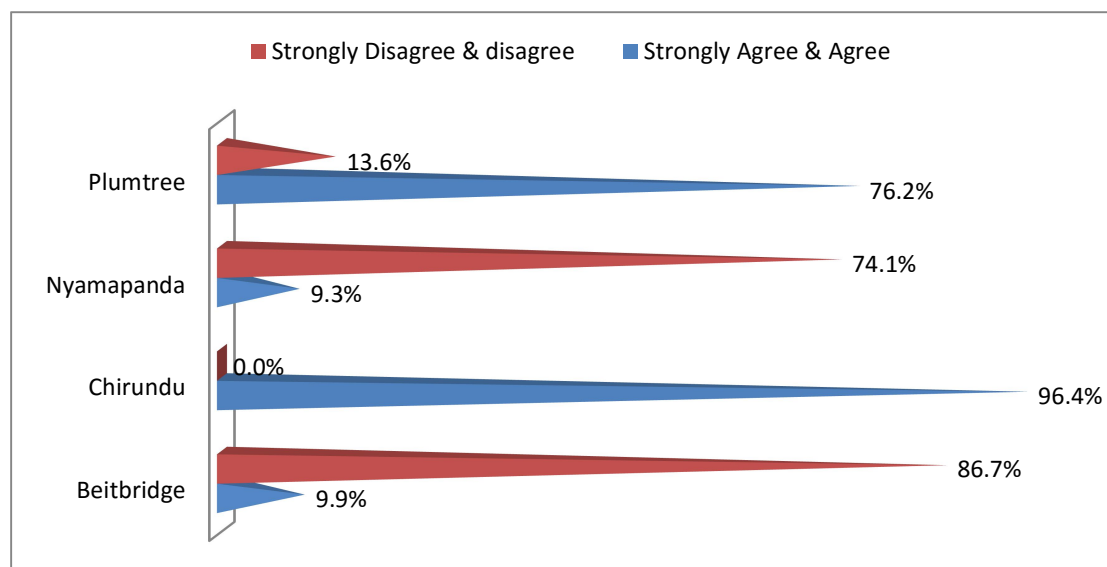


Figure 7-1 SRAQ - System permit smooth traffic flow.

As a follow up to the question on the flow of goods, drivers and assistants were asked to give their opinions on the impact that the harmonisation of processes will have on the passage of goods. To improve this, Figure 7-2 shows that most truck drivers and assistants strongly agreed, i.e. Plumtree 59.3% (n=35), Beitbridge 61.7% (n=37), Chirundu 87.5% (n=49) and Nyamapanda 50.0% (n=27), that neighbouring countries processes must be harmonised. This is in agreement with Wolfgang and

Kafeero's (2014, p. 3) assertion that trade facilitation should ensure that trade happens smoothly and the policies and the players regulating the trade are similar. Almost none of the drivers who utilised the Chirundu, Nyamapanda and Plumtree borders disagreed or strongly disagreed that harmonisation will lead to the improvement in the flow of traffic.

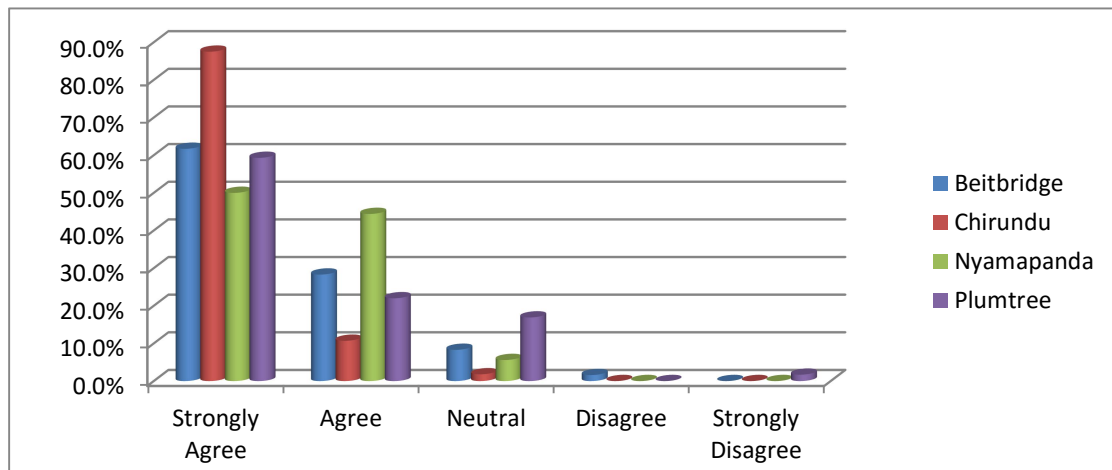


Figure 7-2 SRAQ - Harmonisation improve processes flow

To establish the sincerity of the respondents regarding the need for harmonisation, a question was asked to establish their opinion on the clearance approach. This question sought their opinions on whether it would be best to have each country doing its own paperwork. The responses supported the need for harmonisation, especially those coming from the entry points under the TSBP. In this question, as shown in Figure 7-3, Beitbridge (81.7%; n=49), Chirundu (87.5%; n=49), Nyamapanda (87.0%; n=47) and Plumtree (71.2%; n=42) either strongly disagreed or disagreed with the notion, i.e. the respondents did not agree that each county should do its own clearance procedures. This is in accordance with the earlier opinions by SMEs practitioners, who noted that harmonisation, will lead to an improvement in the flow of goods and people at entry points. At Chirundu, 0% (n=0) agreed or strongly agreed that it would be best if countries do their clearance separately. This is an indication that the respondents are happy that the clearance is done once and honoured by the other country.



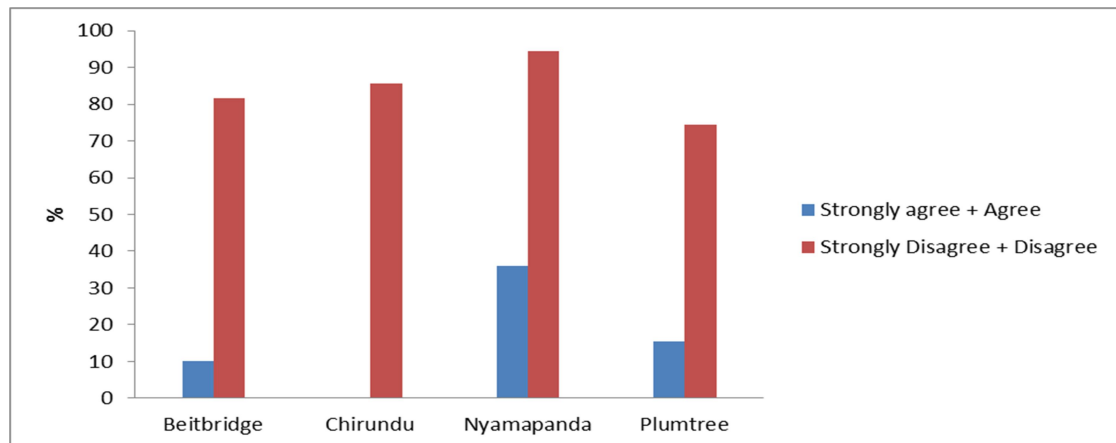


Figure 7-3 SRAQ – Preferred clearance: individualised clearance.

In the interest of understanding the respondents' views on the impact of their choices to the state security drivers and assistants were asked to give opinion on impact that harmonisation will have on state security. Figure 7-4 shows that at Chirundu, Nyamapanda and Plumtree, 92.9% (n=52), 76.2% (n=45) and 81.5% (n=44) strongly disagreed or disagreed that the country's security will be jeopardised by the harmonisation of procedures respectively. However, at Beitbridge, 56.7% (n=34) were neutral on the impact that harmonisation would have on the country's security. This can be interpreted to show that people's perceptions of security are becoming more holistic, yet states use borders and entry points as hallmarks of their state sovereignty and security (Brannon, 2009, p. 21). However, there have been changes in the international systems that call for a redefinition of state security (Maoz, 2005, p. 20). It is in this new definition that areas such as physiological needs, employment, environmental issues and many others are viewed as part of the aspects to be included in the definition of security. This is the same perception of security that respondents seem to have taken. It is in their ability to transform the costs of living through easing trade that the impact of REPMS and harmonisation must be viewed in order to understand their impact on state security in contemporary times.

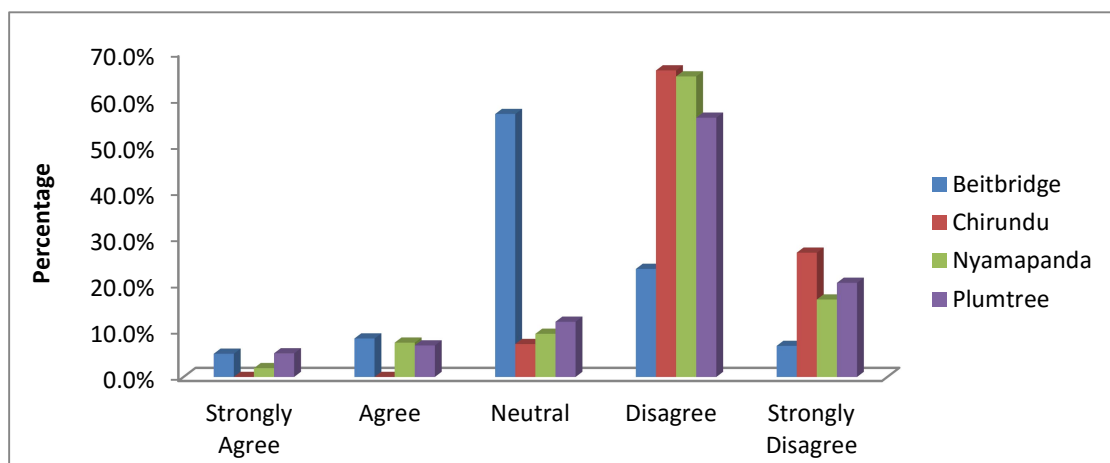


Figure 7-4 SRAQ - Harmonisation jeopardise states' security.

As shown in Figure 7-5 below, (81.6%; n=49) from Beitbridge, (85.7%; n=48) from Chirundu, (94.5%; n=51) from Nyamapanda and (74.5%; n=44) from Plumtree strongly disagreed or disagreed that each country should do their own paperwork. Although the figures moved slightly, the respondents' opinions remained consistent with those in Figure 7-3 above.

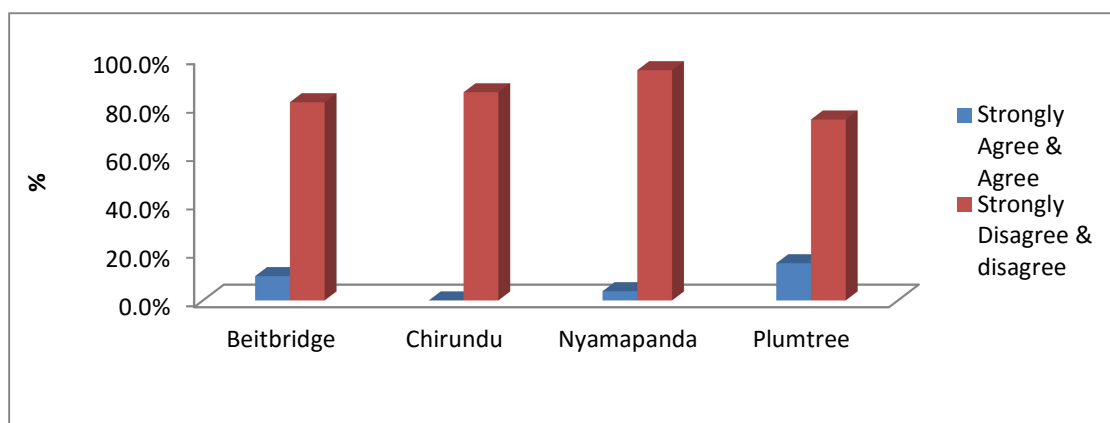


Figure 7-5 SRAQ – Individualised clearance logical.

As a way forward in pursuit of an understanding on the desirable harmonisation approach, the respondents were asked whether it would be best to have a single clearance process that would be used by all countries in the region. Figure 7-6 shows that at all the entry points, the respondents strongly agreed or agreed to that option: Beitbridge (96.2%; n=58), Chirundu (94.1%; n=53), Nyamapanda (98.2%; n=53) and Plumtree (86%; n=51). This means that the respondents would want the harmonisation to be extended not only to countries sharing an entry point at the bilateral level, but also at the multi-lateral level. This is similar to the approach used in the Schengen states (Zaiotti,

2011). This has its own disadvantages, but since this is a tried and tested system, SADC can take lessons from the Schengen system and create a customised hybrid for their own scenario.

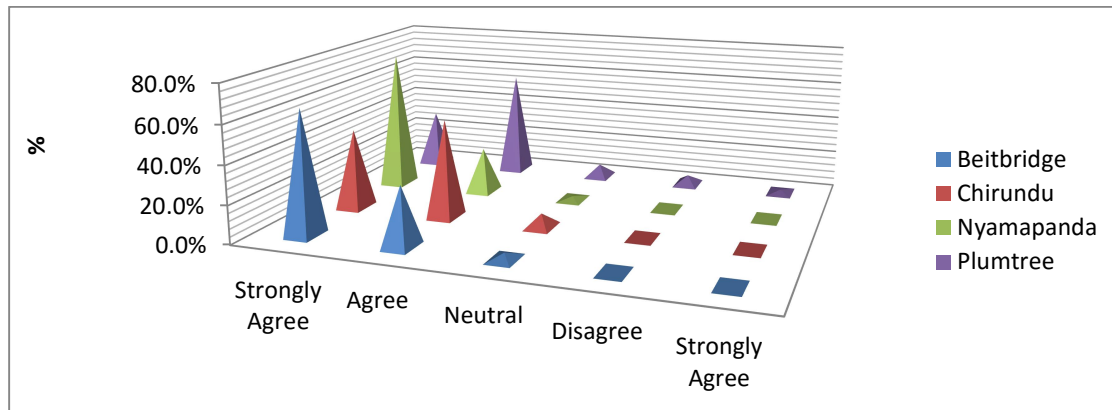


Figure 7-6 SRAQ – Single processes adoption and clearance ideal

In the event that harmonisation has worked, with clearance done by one of the two countries and honoured by both, travellers preferred to have the clearance done by the receiving country. To prove this, Figure 7-7 shows that most truck drivers: Beitbridge (80%; n=48), Chirundu (85.7%; n=48), Nyamapanda (83.3%; n=45) and Plumtree (81.4%; n=48) disagreed with the notion of the sending country conducting the clearance if a single process was adopted.

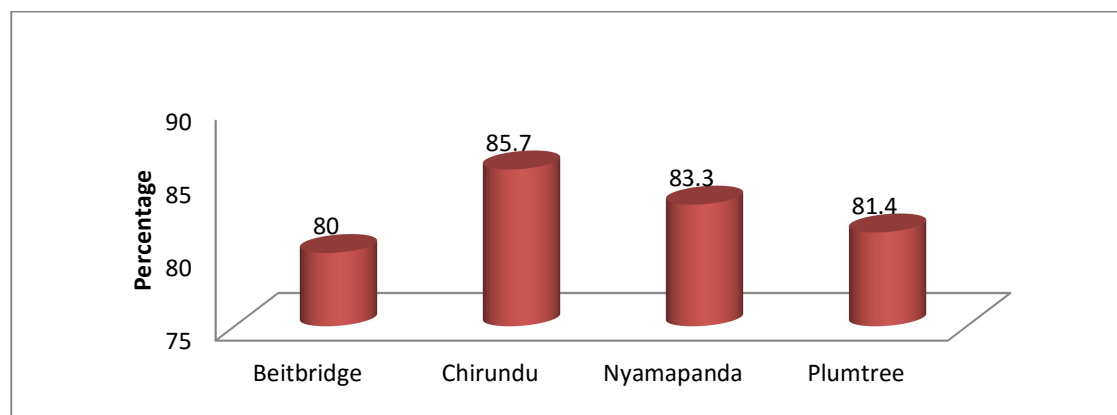


Figure 7-7 SRAQ – Partiality to sending country clearance

Figure 7-8 shows that Beitbridge (78.3%; n=47), Chirundu (78.6%; n=44), Nyamapanda (77.8%; n=42) and Plumtree (78.0%; n=46) agreed clearance should be done by the receiving country.

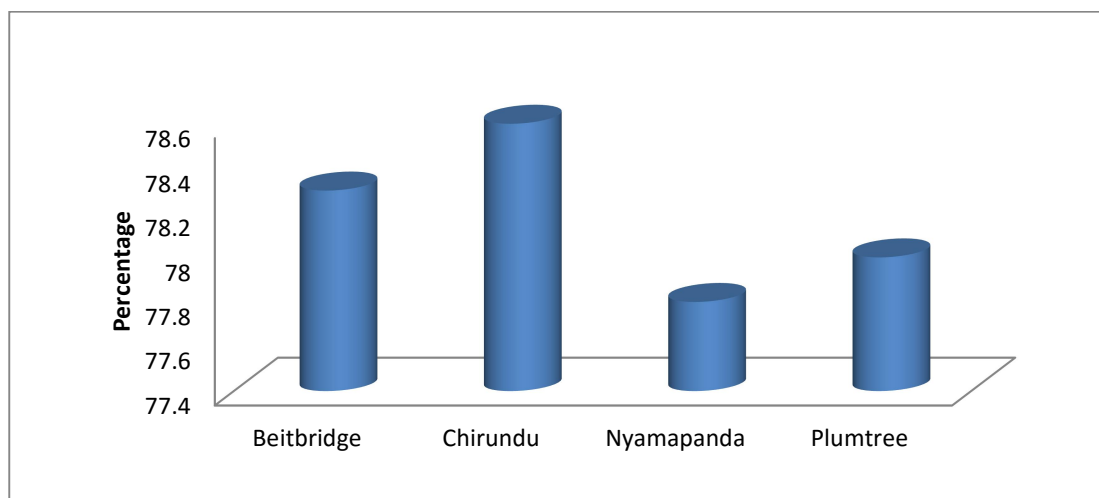


Figure 7-8 SRAQ – Partiality to receiving country clearance

The researcher also deliberately restated a question to check the respondents' opinions regarding the impact of harmonisation on countries' security. However, unlike the earlier set of repeated questions that were similar in wording, the researcher changed the question and asked whether the repetition of procedures would enhance security. Earlier on, as shown in Figure 7-4 above, the researcher had asked whether countries' security would be jeopardised if procedures are harmonised. Therefore, although differently worded, the new question sought to establish opinions on the relationship between countries' security and the harmonisation of procedures. Figure 7-9 shows that at Chirundu, Nyamapanda and Plumtree, 84% (n=47), 84% (n=46) and 81.3% (n=48) respectively strongly disagreed or disagreed that the repetition of procedures enhances security. The number of those neutral (71.7%; n=43) remained very high at Beitbridge, which is similar to the way the respondents answered the earlier question, showing that the travellers do not see a benefit to state security with repetition of procedures.

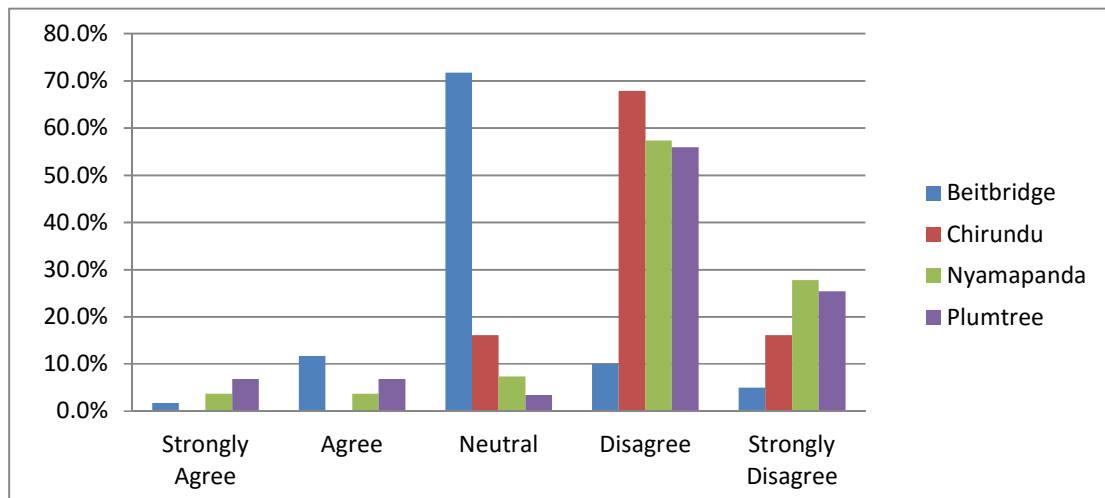


Figure 7-9 SRAQ – Procedures' repetition enhances security

Figure 7-10 shows that most (71.4%;n=40) truck drivers and assistants who used the Chirundu OSBP were of the view that it does not take more than one day to cross the border, however most (86.7%;n=52) of those who used the Beitbridge TSBP were of the opinion that it takes more than one day to cross the border. This affirms the literature arguing that since the establishment of the OSBP at Chirundu, clearance time has been reduced to one day (Kassee, 2014, p. 105). The responses for Plumtree however, point to a difference within the performance of TSBP, i.e. even when a system is under a TSBP, there are chances that the flow of traffic can still be relatively faster than other entry points using the same system. This also points to the need to study each entry point to establish the reason for the differences in the performance of entry points using the same REPMS type.

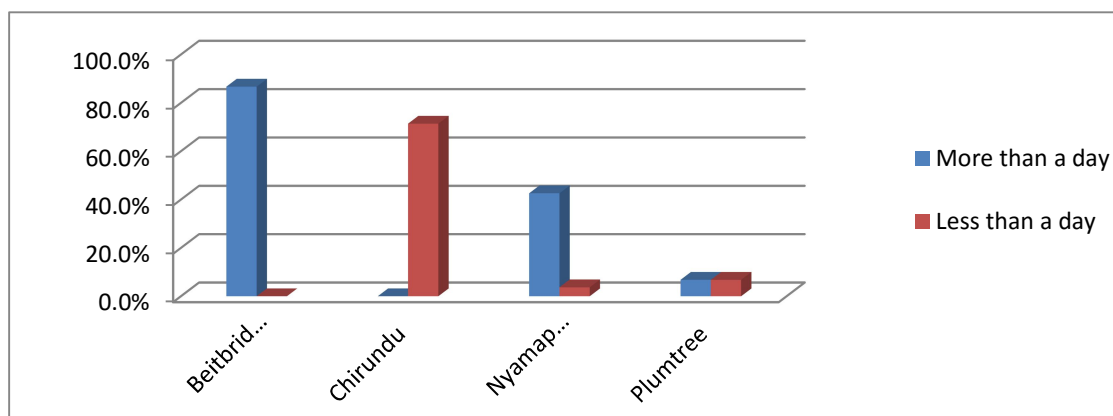


Figure 7-10 SRAQ - Border clearance duration

The literature is replete with suggestions that the amount of paperwork is generally high for travellers and business people (Chipeta, 2006; Kalaba et al., 2006; Sambo and Ubisse, 2006; Zwizwai, 2006). According to Zarnowiecki (2011), improvements to infrastructure will not be enough to change border challenges, as there is need to adopt modern ways of doing things and get rid of many of the documents involved in clearances. The modern world eliminates paperwork through systems automation, interface and harmonisation of processes. To get first-hand information on the existence of this phenomenon of paperwork usage, the researcher asked the respondents whether they need multiple documents for clearance. At the TSBP, most respondents: Beitbridge 89.9% (n=54), Nyamapanda 87% (n=47) and Plumtree 86.4% (n=51)) strongly agreed or agreed that they need multiple documents for clearance as shown in Figure 7-11, while at Chirundu, 71.4% (n=40) strongly disagreed or disagreed that they need multiple documents. This affirms what the aforementioned literature suggested regarding the high level of paperwork at TSBPs. The responses from Chirundu also affirmed that the OSBP system will lead to a reduction in the level of paperwork.

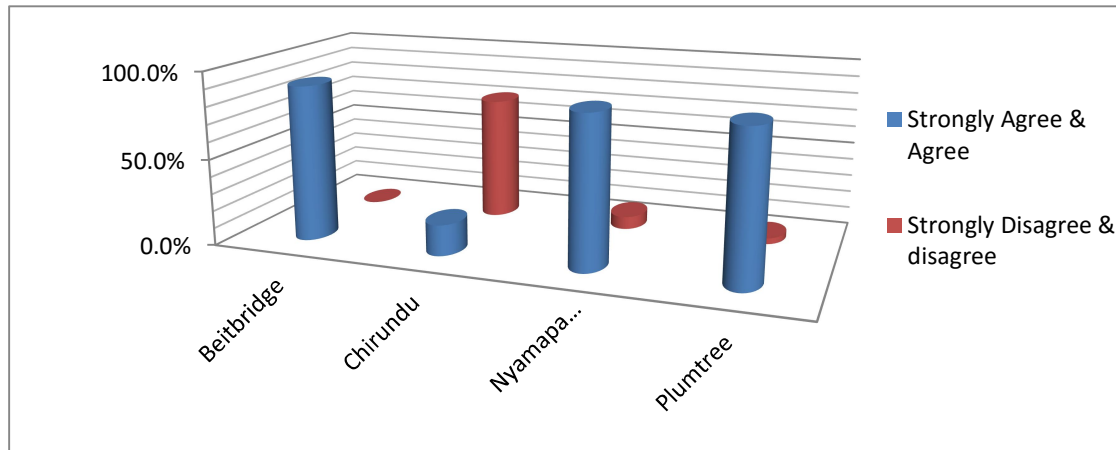


Figure 7-11 SRAQ - systems' multiple documentation tradition

The literature also pointed to the role of the individuals manning the borders and other related officers on the cross-border trade. Kalaba et al. (2006), as discussed in literature review chapters, put such issues under administrative disincentives to trade category. In this study the issue of corruption was also scrutinised, although not extensively, as the researcher only sought to establish whether this is indeed true.

Figure 7-12 shows that at Beitbridge (86.7%; n=54), Nyamapanda (83.4%; n=45) and Plumtree (85%; n=51), most respondents strongly agreed or agreed that officers demand bribes before clearing goods. At Chirundu, however, 57.1% (n=32) were neutral on the issue of bribes, thus it cannot be effectively concluded whether an OSBP reduces corrupt tendencies or not.

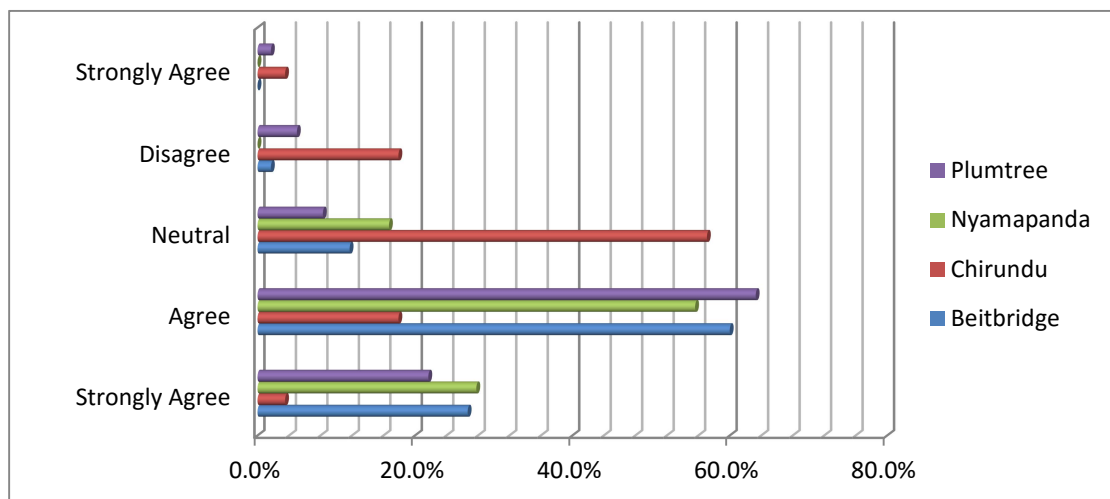


Figure 7-12 SRAQ – Officers' bribes: a clearance requisite?

To ensure that travellers and business give into their demands for bribes, officers can deliberately complicate the system. According to Jain (2012, p. 65) there are many reasons for delays at borders, but some are due to avoidable causes that are perpetuated to sustain corruption.

Figure 7-13 shows that 91.7% (n=55) from Beitbridge, 74.1% (n=40) from Nyamapanda and 91.5% (n=54) from Plumtree strongly agreed or agreed that officers also deliberately delay the process, which affirms the findings of the literature. At Chirundu, however, 91% (n=51) disagreed or strongly disagreed that officers deliberately delay processes, which means that something in the OSBP removes officers' ability to delay the process in order to get bribes.

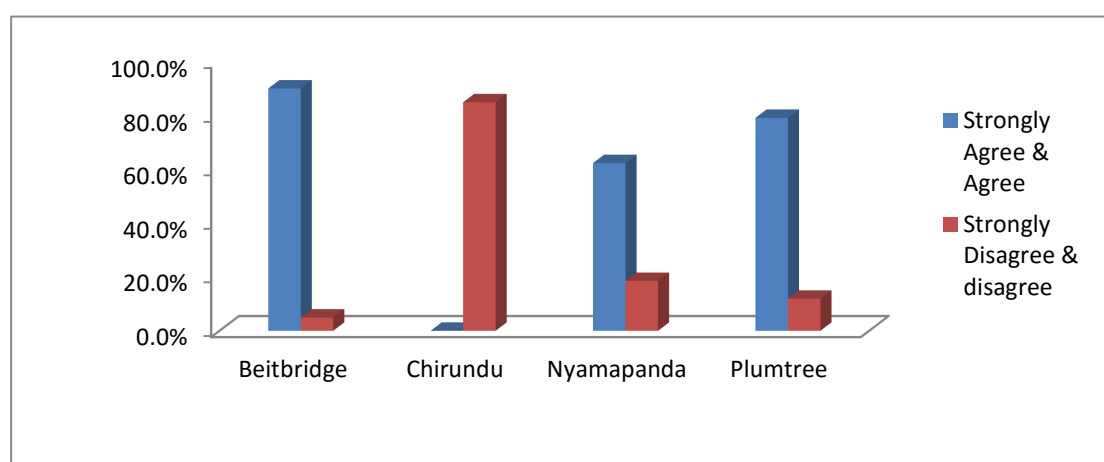


Figure 7-13 SRAQ – Endemic artificial delays

On the existence of automated services, the responses show the perpetual manual clearance system usage to date in three of the four borders under study. Truck drivers using the Nyamapanda (74.1%; n=40) and Plumtree (91.5%; n=54) border posts held the view that a manual system is utilised, while respondents at Chirundu were neutral on whether the system is manual or automated (neutral 83.9%; n=47) as shown in Figure 7-14. However, at Beitbridge TSBP, the respondents indicated that the system is automated, with 56.6% (n=34) disagreeing that the system is manual. It's being automated has not translated into speedy clearance however, as Figure 7-10 above shows that at clearance still takes more than one day at Beitbridge. This might be an indication that Beitbridge handles more traffic than the rest of the borders, thus offsetting the benefits of automation. This confirms the existence of administrative disincentives on most entry points in SADC, as identified in the literature (Kalaba et al., 2006, p. 130).



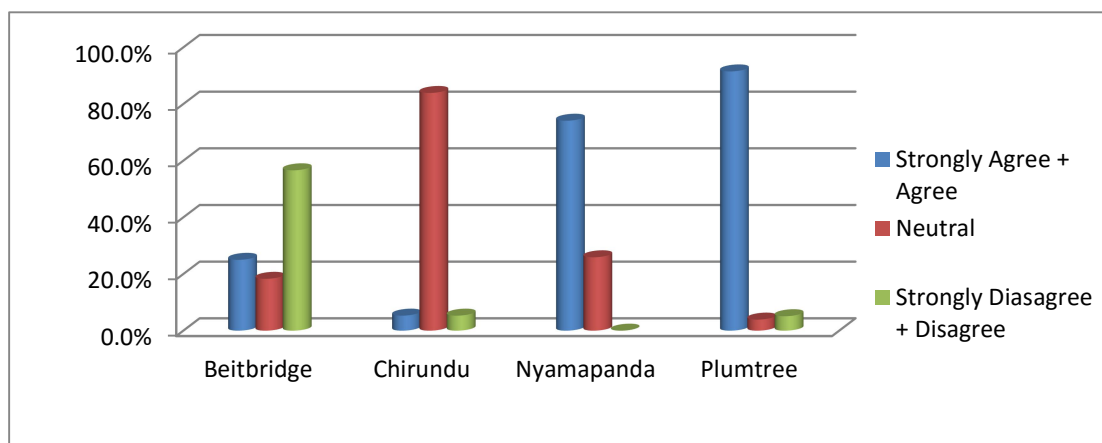


Figure 7-14 SRAQ –Evident manual system usage

Earlier the respondents were asked whether the repetition of procedures enhances security which they disagreed with. In the literature, the repetition of procedures has been identified as one of the ways to enhance security however, with many seeing “NTBs as existing for legitimate reasons” (Kalaba et al., 2006, p. 129).

To establish whether indeed countries in the region are still using this method in which processes done for emigration are repeated for immigration when clearing goods, the researcher asked a question to that effect. Figure 7-15 shows that the respondents at Beitbridge 83.3% (n=50), Nyamapanda 87% (n=47) and Plumtree 91.5% (n=54) strongly agreed or agreed that the same processes are repeated, while respondents at Chirundu 89.2% (n=50) strongly disagreed or disagreed that the processes are repeated. This affirms that the entry point is indeed operating as an OSBP.

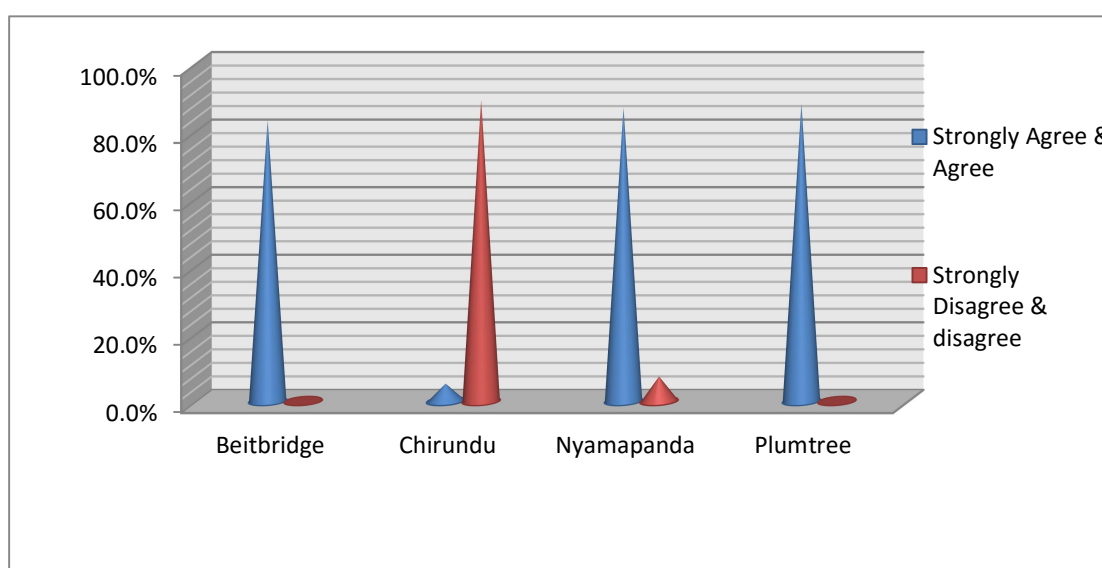


Figure 7-15 SRAQ – Apparent exit and entry procedures repetition

The researcher also sought to establish whether the border requirements are consistent overtime. The issue of inconsistent requirements came out in the literature as arising from the multiplicity of agencies and the subsequent regulations they bring to the clearance process (Polner, 2011, p. 54).

Figure 7-16 shows that the respondents strongly agreed or agreed that the requirements are not consistent, with 73.4% (n=44) at Beitbridge, 76.8% (n=43) at Chirundu, 81.5% (n=44) at Nyamapanda and 84.7% (n=50) at Plumtree.

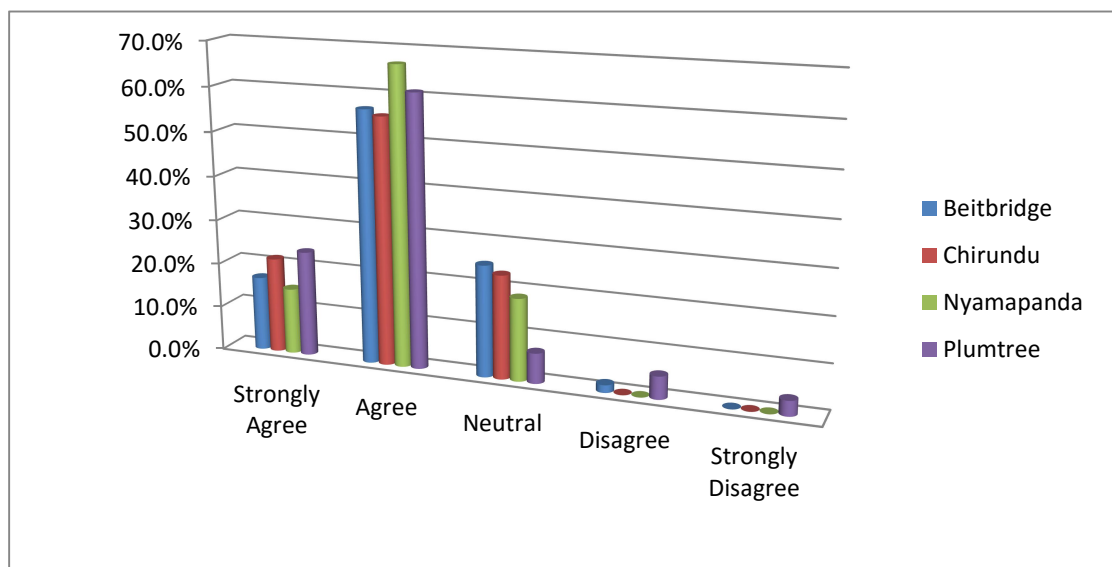


Figure 7-16 SRAQ – Inconsistent goods clearance requirements

Finally, to ensure that the responses were for the correct REPMS, the researcher deliberately included a question to establish the clearance procedure being followed at a particular entry point. When asked whether they are required to clear first at the exiting border before entering another nation, the respondents at the TSBP strongly agreed or agreed. Figure 7-17 shows that on the contrary, no-one (n=0) at Chirundu agreed or strongly agreed that clearance is being done at the exit. This shows that the TSBPs and OSBP are operating according to the book in terms of the way they handle clearance procedures.

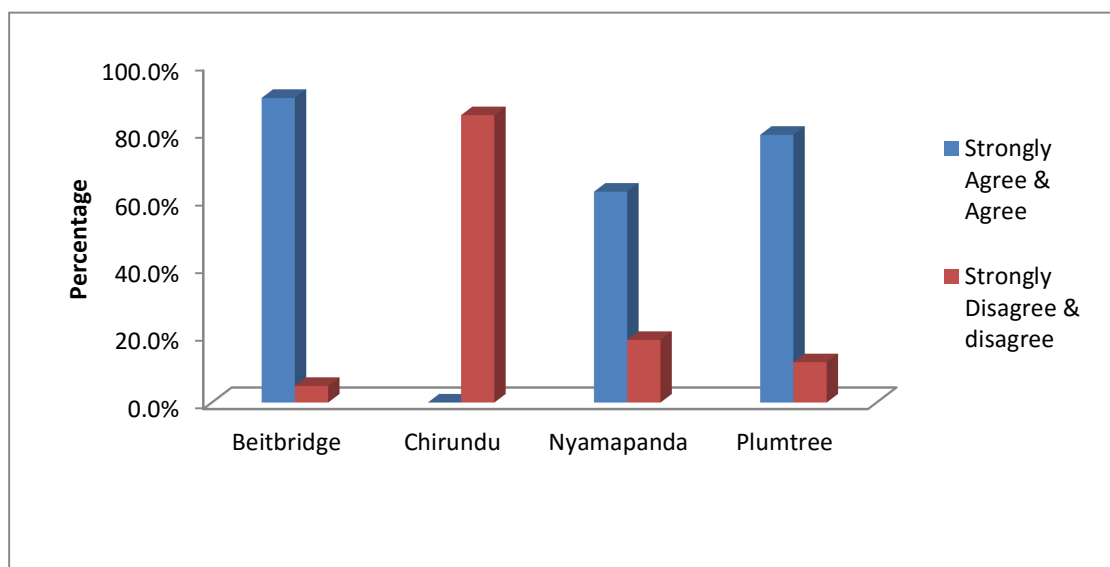


Figure 7-17 SRAQ – Separate exit prior to entrance clearance system

#### 7.4.2.4.b SMEs' perceptions

The second set of quantitative primary data came from the SMEs using the SSPAQ. All the responses to each question are presented in Table 7-13 attached at the end of this chapter. It is from these same responses that individualised analyses per question were used in the plotting of Figures 7-18 to 7-32.

Most of the responses, as will be shown in the forthcoming figures and explanations, are consistent with those of the drivers and assistants who responded to the SRAQ. Generally, the systems in use at entry points require people to be cleared at multiple points. According to Jain (2012, p. 65), there are usually multiple agents working independently at entry points. Figure 7-18 shows that 88% (n=102) of SMEs agreed or strongly agreed to the need to be cleared at multiple points when travelling into a country

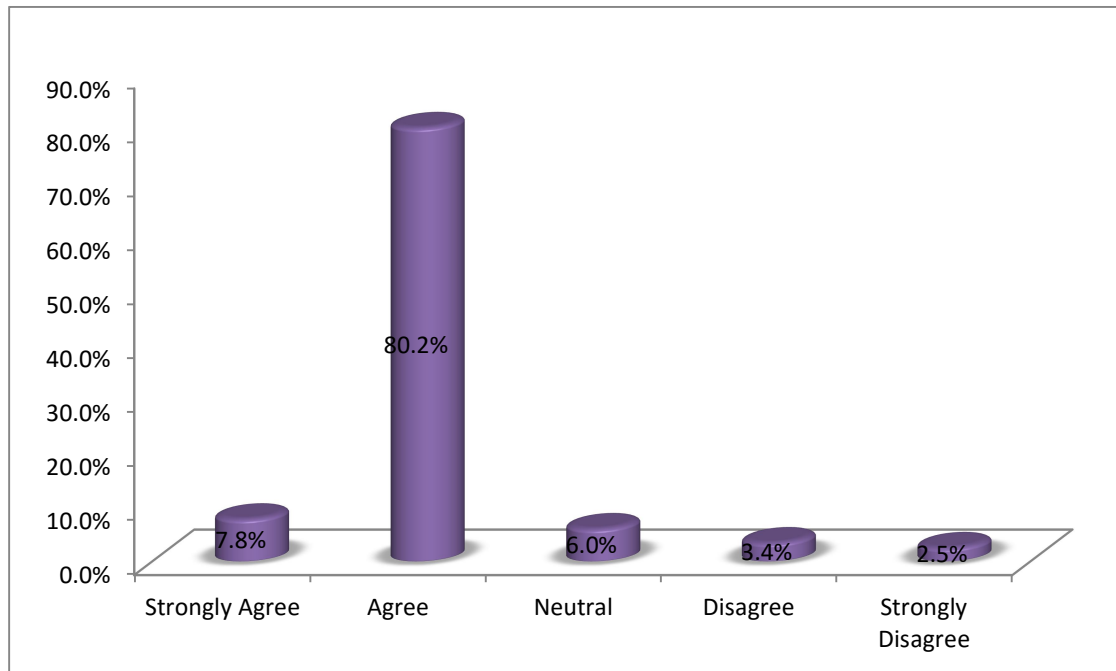


Figure 7-18 SSPAQ – Apparent multiple clearance system usage

On the impact that harmonisation will have on the flow of goods, 75.8% (n=88) of SMEs strongly agreed or agreed that it would improve the flow of goods, as per Figure 7-19 below.

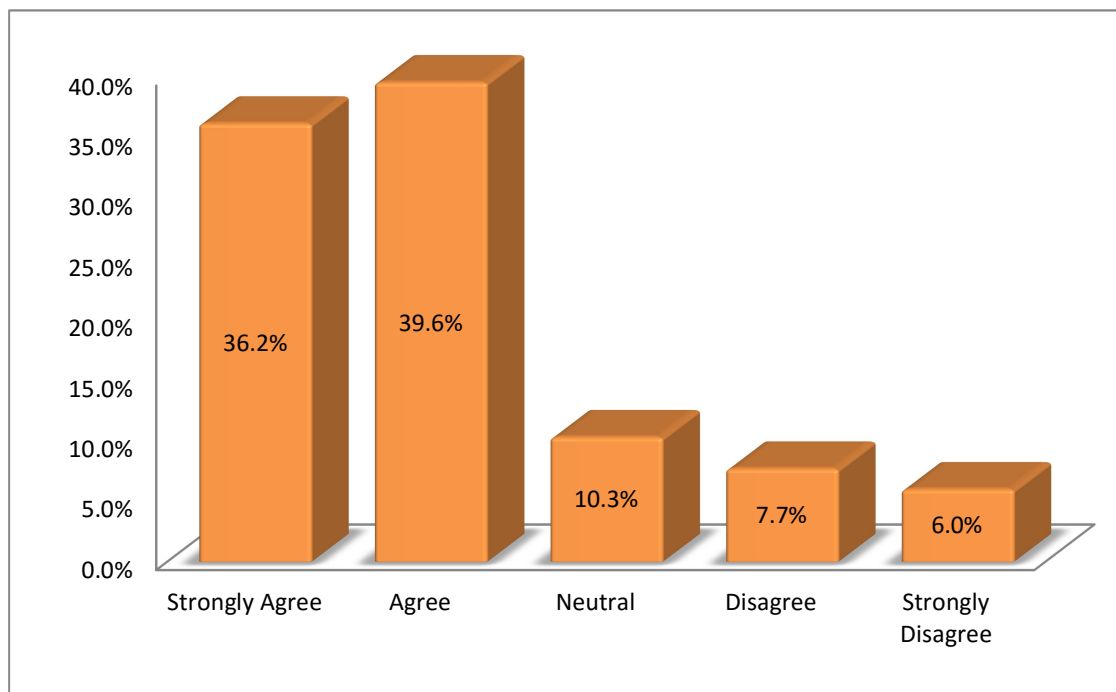


Figure 7-19 SSPAQ – Harmonisation will improve process flows

Figure 7-20 shows that SMEs are highly neutral, i.e. 49.1% (n=57), on whether clearance is best when each country does its own paper work. This is unlike drivers and assistants who strongly disagreed or disagreed as shown in Figure 7-5, i.e. 81.9% (n=49) from Beitbridge, 85.7 % (n=48) from Chirundu, 94.5% (n=51) from Nyamapanda and 74.5% (n=44) from Plumtree.

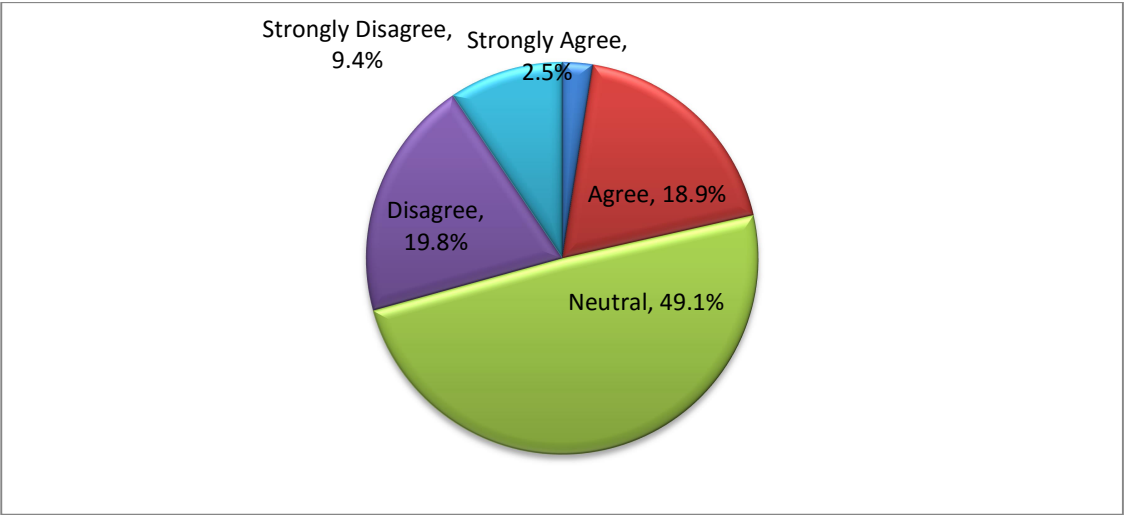


Figure 7-20 SSPAQ – Individualised clearance is logical

The SSPAQ respondents, just like the SRAQ respondents, did not see the country’s security as being jeopardised by harmonisation. The results highlighted that 2.6% (n=3) strongly agreed, 1.7% (n=2) agreed, 1.7% (n=2) were neutral, 31.9% (n=37) disagreed and 62.1% (n=72) strongly disagreed regarding the notion of security being jeopardised by harmonisation, as shown in Figure 7-21.

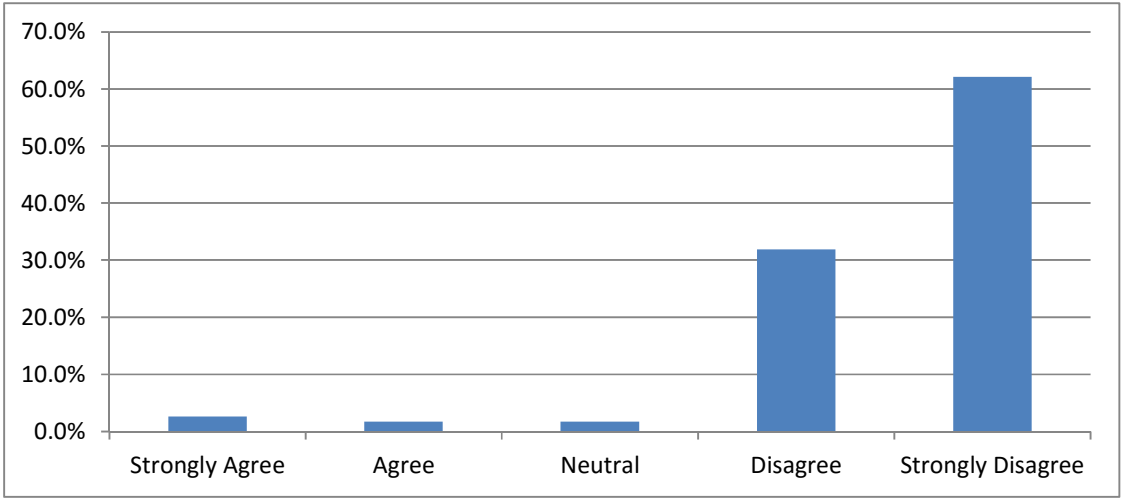


Figure 7-21 SSPAQ – Harmonisation jeopardises states' security

In the same vein of checking the respondents' commitment and steadfastness, the researcher also deliberately repeated the question about clearance, asking whether it is best if each country does its own paperwork. Figure 7-22 shows that 2.6% (n=3) strongly agreed, 0.01% (n=1) agreed, 13.4% (n=16) were neutral, 47.4% (n=55) disagreed and 35.3% (n=41) strongly disagreed with this. The responses were thus significantly different from the earlier responses to the same question as shown in Figure 7-20 above. The earlier responses were predominantly neutral whilst in this case the responses were conclusive, showing a high inclination to the strongly disagree and disagree side. This means that there is need for a more comprehensive analysis of other responses before making a conclusion on this question. The advantage, however, is that the researcher did not limit her investigation to one set of respondents or tools, thus responses from other sources will be used together with the SRAQ to confirm this position through the triangulation of data.

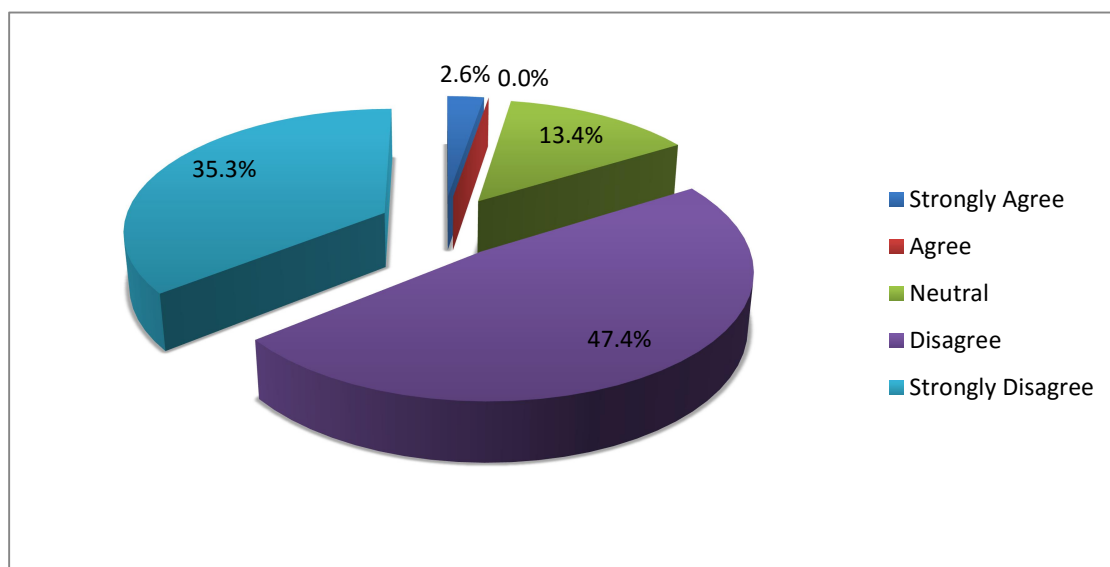


Figure 7-22 SSPAQ – Is individualised clearance logical?

The SMEs' responses pit the adoption of a single clearance process which will be honoured by all as more desirable than when countries carry out clearance procedures separately. As shown in Figure 7-23, 70.1% (n=82) strongly agreed, 12.0% (n=13) agreed, 3.7% (n=14) were neutral, 2.5% (n=3) disagreed and 3.4% (n=4) strongly disagreed that the use of individualised clearance is logical.

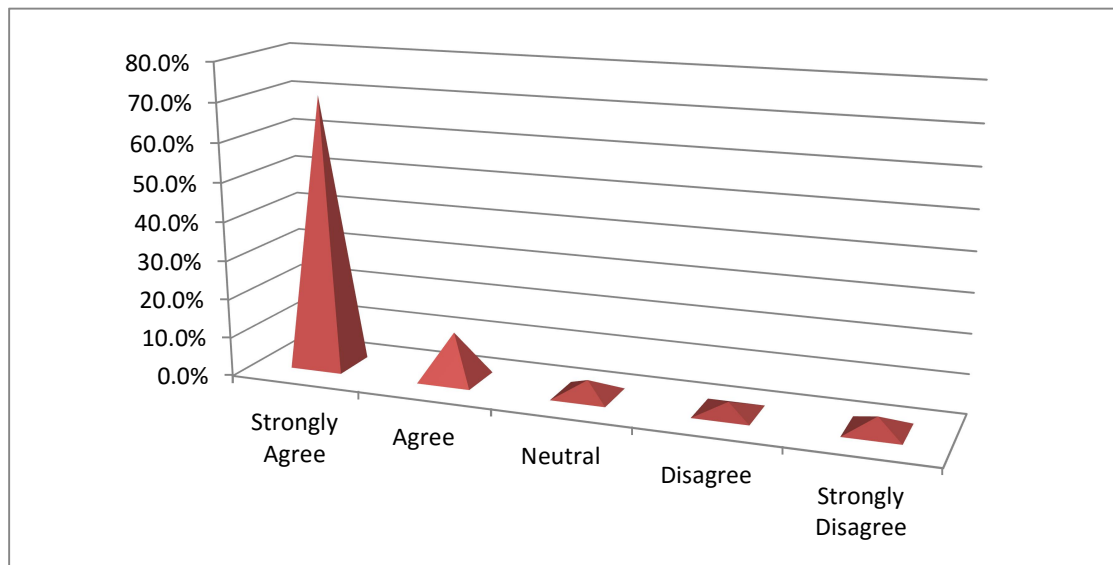


Figure 7-23 SSPAQ – Clearance in a single process is ideal

In the event that a single process comes into effect, the SMEs would not want it done by the sending country; 3.4% (n=4) strongly agreed, 18.1% (n=21) agreed, 8.6% (n=10) were neutral, 58.6% (n=68) disagreed and 11.2% (n=13) strongly disagreed with the notion, as per Figure 7-24.

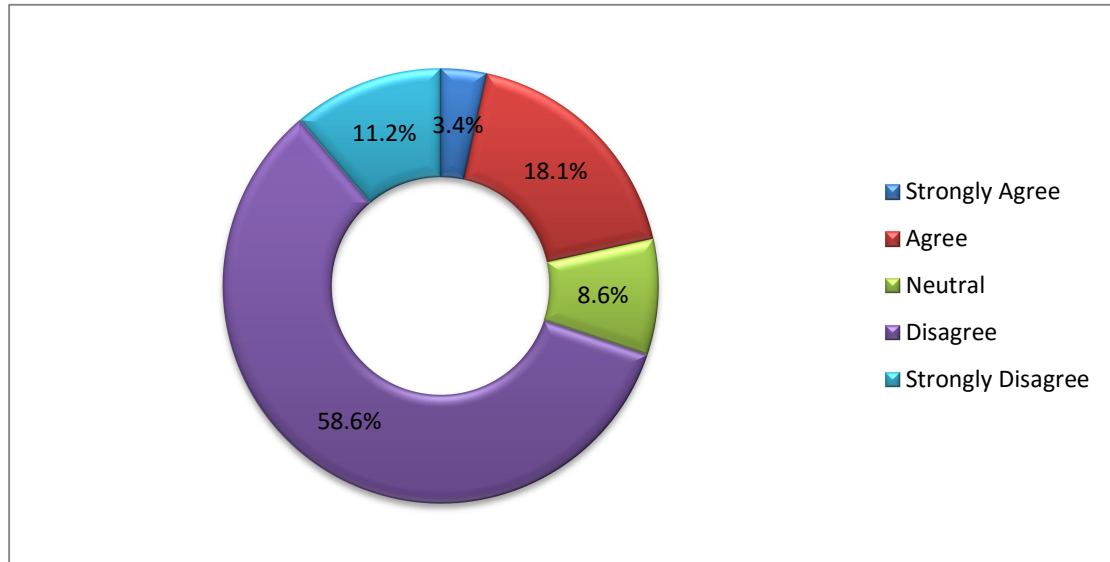


Figure 7-24 SSPAQ – Sending country clearance

The SMEs prefer to have the receiving country clearing as one immigrates. Figure 7-25 shows that 20.6% (n=24) strongly agreed, 58.6% (n=68) agreed, 10.3% (n=12) were neutral, 6.8% (n=8) disagreed and 3.4% (n=4) strongly disagreed to having the sending country doing the clearance

procedures. This corresponds with the way the truck drivers and assistants responded as shown in Figure 7-8.

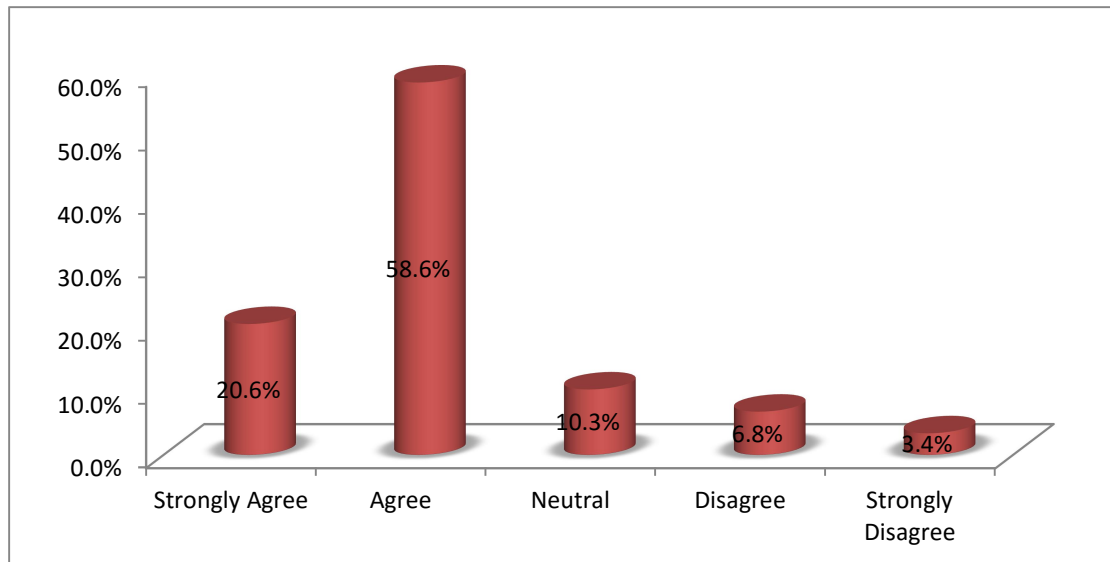


Figure 7-25 SSPAQ – Partiality to receiving country clearance

The SMEs were also asked whether the repetition of procedures enhance countries' security. Figure 7.26 shows that 4.3% (n=5) strongly agreed, 5.2% (n=6) agreed, 11.2% (n=13) were neutral, 25% (n=29) disagreed and 54.3% (n=63) strongly disagreed. These opinions show that SMEs do not agree that there are security benefits that accrue to the country from the repetition of procedures.

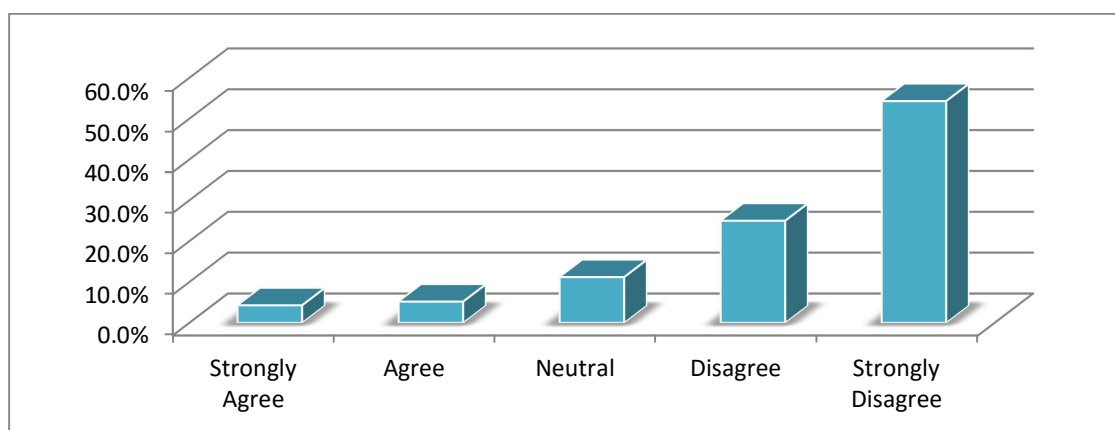


Figure 7-26 SSPAQ – Procedure repetition enhances security

There is evidence that the classification of goods also differs from country to country, as shown by 70.1% (n=82) agreeing with this (see Figure 7-27). This means that there are differences in the ways the countries regulate trade, which might be evidence of the effects of multiplicity and overlap of



regional organisations' membership. According to Kritzer, van Nierkerk and Moreira (2002, p. 3), group overlaps and multiplicity presents a problem, as the paths followed by each will be different. This means that countries affiliated to multiple groups will end up trying to conform to several groups' dictates, which will eventually lead to the classification of goods being different from country to country.

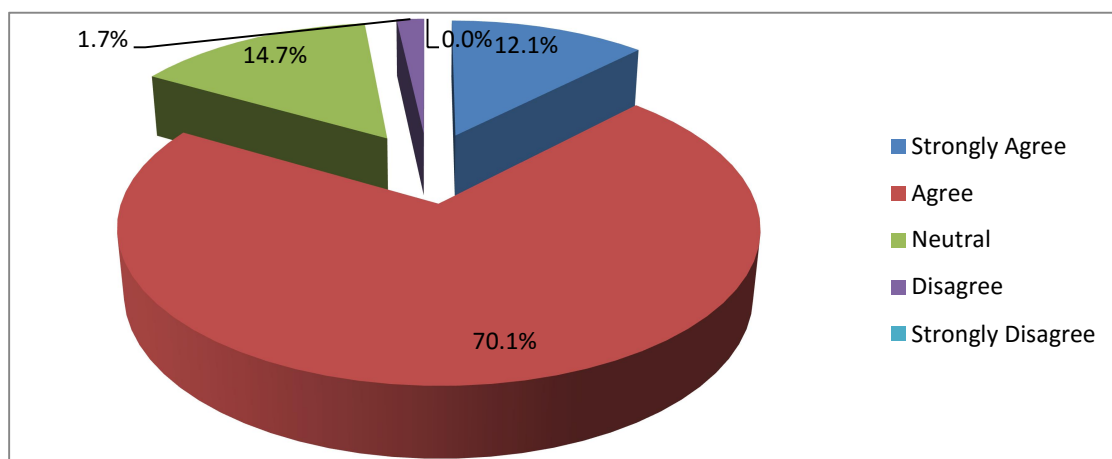


Figure 7-27 SSPAQ –Country to country goods classification differences

Figure 7-28 shows that over 90% of SMEs either strongly agreed (13.4%, n=16) or agreed (76.7%, n=89) that clearance procedures entailed taking multiple documents to different offices for clearance to be effected. Multiple documents often emerge due to the approaches adopted by agencies, which do not work together (Jain, 2012, p. 65). As the number of documents increase, so the delays in clearance are likely to increase.

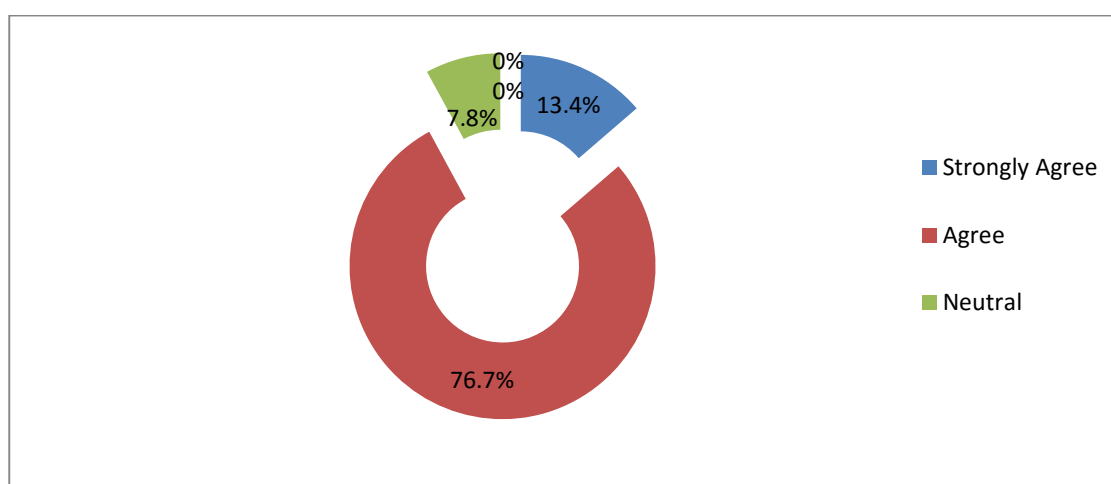


Figure 7-28 SSPAQ –Systems' multiple documentation traditions

In terms of clearance procedures, the SMEs respondents indicated that there is significant repetition, as they are done upon exiting one country and entering another. Figure 7-29 shows that only 2.6% (n=3) disagreed with the existence of this scenario, whilst 71.6% (n=83) strongly agreed.

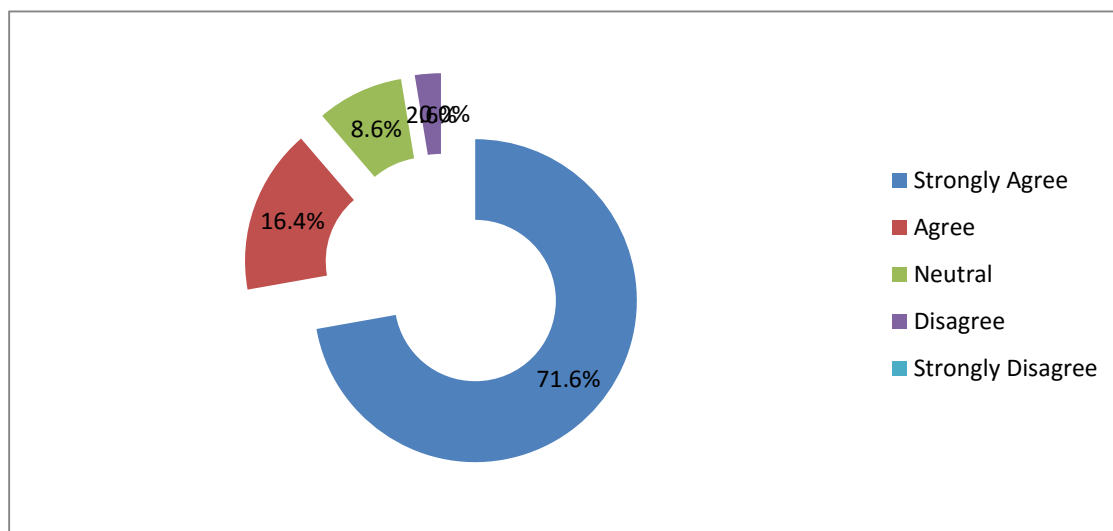


Figure 7-29 SSPAQ – Repetition of exit and entry procedures

The requirements for clearing goods are generally inconsistent. Figure 7-30 shows that 17.2% (n=20) strongly agreed, 50.0% (n=58) agreed, 15.5% (n=18) were neutral, 8.6% (n=10) disagreed and 8.6% (n=10) strongly disagreed, i.e. requirements change from time to time.

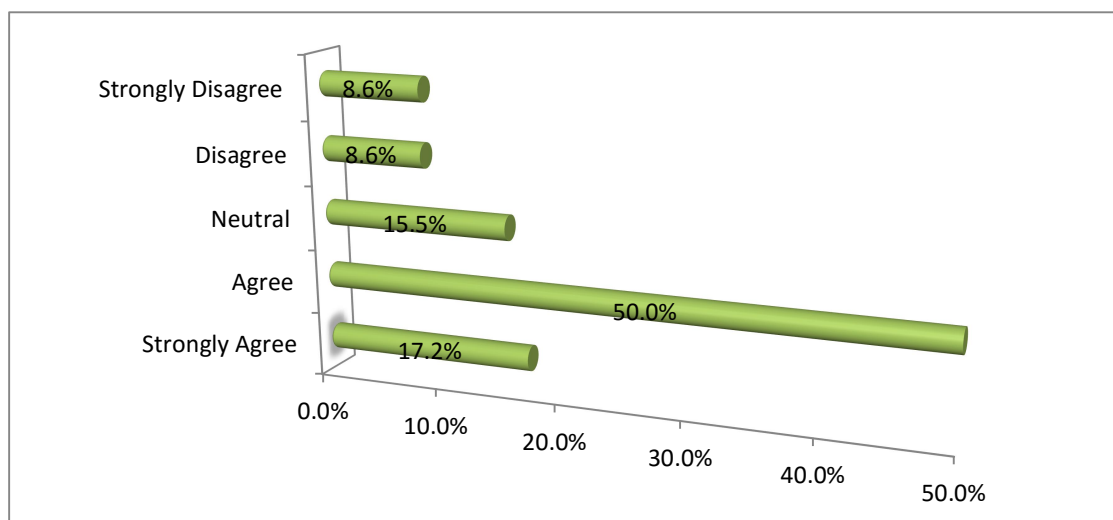


Figure 7-30 SSPAQ – Inconsistent goods clearance requirements

The REPMS in use at entry points have an impact on trade as per Figure 7.31, which shows that 12.9% (n=15) strongly agreed, 77.5% (n=90) agreed, 5.1% (n=6) were neutral, 3.4% (n=4) disagreed

and 0.0% (n=1) strongly disagreed that the system plays an important role in encouraging trade. This rationalises the quest to study the REPMS that underlies this thesis, as it is evidently important to look at all facets that influence trade.

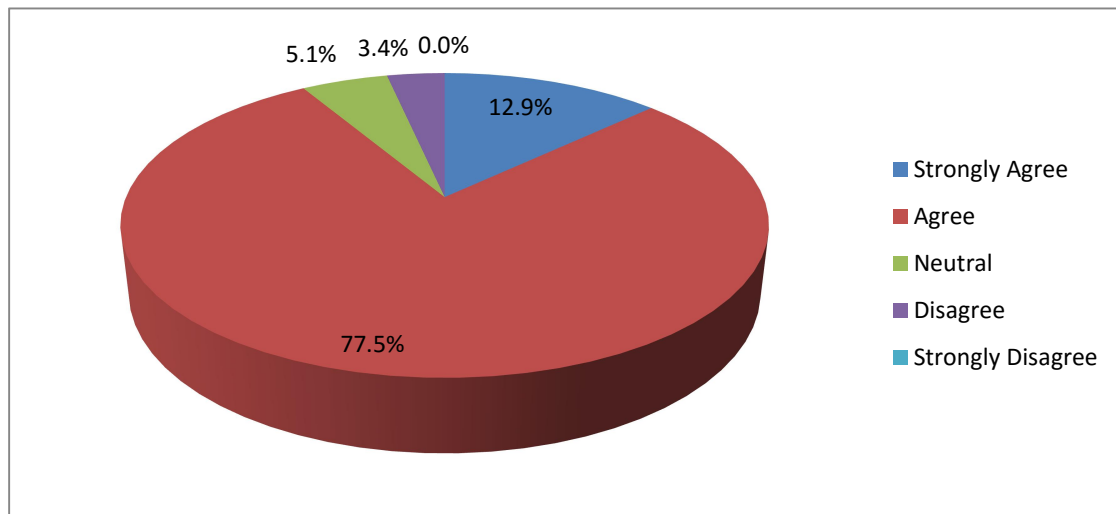


Figure 7-31 SSPAQ – REPMS in use plays role in encouraging trade

Finally, Figure 7-32 shows the responses regarding goods limits when importing. Most (66.4%) (n=77) SMEs strongly agreed that the quantities of goods allowed into a country are limited.

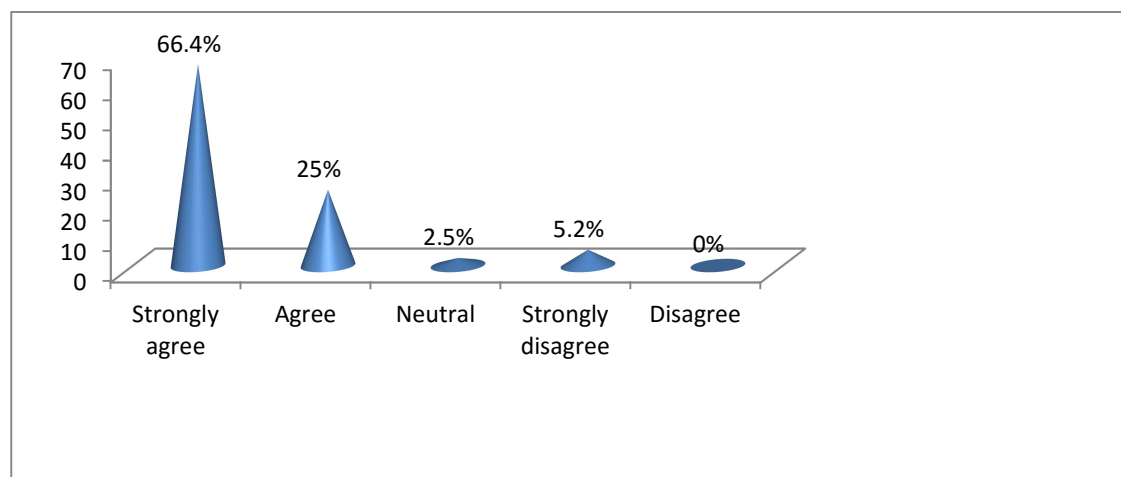


Figure 7-32 SSPAQ – Evident importation limit regulations

#### 7.4.2.5 Investigating REPMS and NTBs relationships

This section explores the relationship between REPMS and NTBs. This is in line with achieving the first and second research objectives and research questions. The first objective aimed to determine the relationship between REPMS in Zimbabwe and the levels of RI and the types of NTBs prevailing

in cross border trade. The second objectives aimed to explain the way NTBs affects different REPMS. Literature has presented that it is desirable to have NTBs removed as this is a step towards the attainment of FTA (Kalaba et al., 2006, p. 41). People also wish to see the removal of NTBs as they complicate business plans (Xiong, 2012). However, NTBs have been kept in place as some countries have taken them as legal ways of enforcing regulations (Kalaba et al., 2006, p. 129). The most complication from NTBs is that they lack transparency (Schade and Matomola, 2006). Thus, this study join calls and efforts to have NTBs removed made by earlier researchers like Mukucha (2013). Through this study the relationship between the NTBs and REPMS is brought out to help in furthering the understanding of the challenges faced in movement of people and goods. It is through this understanding that informed interventions can be found.

As such, through the use of SRAQ and SSPAQ the response to the above were solicited from drivers/ assistants and MSEs respectively. The analysis was carried out separately for drivers and SME owners. Tables 7-6 and 7-7 below present the truck drivers'/assistants' and SMEs' perceptions respectively. Each table is followed by a detailed explanation. All the tables referred to are attached at the end of this chapter.

Table 7-6 shows that in all the relationships investigated, there is evidence of a strong relationship with statistically significant associations. It is critical to note that statistical significance is not necessarily "significant". 'Statistical significance is not a sure guide to finding theoretically important relationships' (Stommel and Wills, 2004, p. 318). This means that there is a need for other sources of data to be used to ascertain the extent of the relationship. What is evident, however, is that relationships exist between REPMS and NTBs but certain relationships are stronger than others. Of interest to this researcher are the negative or positive correlations; in a positive correlation the variables rise and fall together, while in a negative correlation an increase in one is accompanied by a decrease in another (Explorable, 2009). In the listings below, there is positive correlation in 1, 4, 5 and 10, while a negative correlation was displayed in 2, 3, 6, 7, 8 and 9. This means that the more countries use a TSBP, the more they do their own paperwork, the more they repeat procedures for security reasons, and the more the occurrence of NTBs at entry points increase. On the other hand, the more countries are allowed smooth passage of goods, the more they harmonise and the less the NTBs occur.

Table 7-6 Perceptions of REPMS and NTB relationships by drivers

Relationship investigated	Findings	Table at the end of Chapter
TSBP REPMS and NTBs	There was a strong relationship. The association was statistically significant as the Fishers exact p-value was 0.000 at 95% confidence.	Table 7-14
REPMS that allowed smooth passage of goods and NTBs	There was a strong relationship. The association was statistically significant as the Fishers exact was 0.000 at 95% confidence.	Table 7-15
Harmonising processes and NTBs	There was a strong relationship. The association was statistically significant as the Fishers exact was 0.014 at 95% confidence.	Table 7-16
Country doing its own paper work and NTBs	There was a strong relationship. The association was statistically significant as the Fishers exact was 0.001 at 95% confidence.	Table 7-17
Country security and NTBs	There was a strong relationship. The association was statistically significant as the Fishers exact was 0.005 at 95% confidence.	Table 7-18
Clearance done by individual country and NTBs	There was a strong relationship. The association was statistically significant as the Fishers exact was 0.032 at 95% confidence.	Table 7-19
Clearance done by one country to be accepted by both bordering countries and NTBs	There was a strong relationship. The association was statistically significant as the Fishers exact was 0.032 at 95% confidence.	Table 7-20
Country of exit processing single clearance system and NTBs	There was a strong relationship. The association was statistically significant as the Fishers exact was 0.040 at 95% confidence.	Table 7-21
Country of entrance processing single clearance system and NTBs	There was a strong relationship The association was statistically significant as the Fishers exact was 0.037 at 95% confidence.	Table 7-22
Repetition of procedures, security enhancement and NTBs	There was a strong relationship. The association was statistically significant as the Fishers exact was 0.000 at 95% confidence.	Table 7-23

Source: Author

The other set of respondents were SMEs. Table 7-7 shows that in all the relationships investigated, there was evidence of strong relationships with statistically significant associations. Of interest is the affirmation of the SRAQ responses by the SSPAQ and vice versa. In the SSPAQ (summarised in Table 7-6 above), the same relationships that emerged as positive or negative in the SRAQ (summarised in Table 7-7 below) emerged positive or negative.

Table 7-7 Perceptions of REPMS and NTB relationships by SMEs

Relationship investigated	Findings	Table at the end of the Chapter
REPMS' role in encouraging trade and NTBs	There was a strong relationship. The association was statistically significant as the Fisher's exact was 0.05 or less for every NTB at 95% confidence.	Table 7-24
TSBP REPMS and NTBs	There was a strong relationship. The association was statistically significant as the Fisher's exact was 0.000 at 95% confidence.	Table 7-25
Harmonising processes and NTBs	There was a no significant statistical relationship. This was supported by a p-value of 0.999.	Table 7-26
Each country doing its own clearance processes and NTBs	There was no significant statistical relationship at 95% confidence. This was supported by a p-value of 0.999.	Table 7-27
Countries security, harmonisation and NTBs	There was a significant statistical relationship. This is supported by a p-value of 0.010 at 95% confidence.	Table 7-28
Countries doing their own clearance procedures NTBs	There was no significant statistical relationship. This is supported by a p-value of 0.3111 at 95% confidence.	Table 7-29
Single clearance process and NTBs	There was no significant statistical relationship. This is supported by a p-value of 0.071 at 95% confidence.	Table 7-30
Single clearance process residing on the country of exit and NTBs	There was a significant statistical relationship. This is supported by a p-value of 0.000 at 95% confidence.	Table 7-31
Single clearance process residing on the country of entry and NTBs	There was a significant statistical relationship. This is supported by a p-value of 0.031 at 95% confidence.	Table 7-32
Repetition of clearance procedures by multiple countries, security and NTBs	There was no significant statistical relationship. This is supported by a p-value of 0.097 at 95% confidence.	Table 7-33

Source: Author

#### 7.4.3 Secondary data presentation and analysis

This research also utilised some secondary data, which was the third category in the list of the data used to complete the research. According to Nederpelt and Daas (2012), secondary data are data produced by others. In this section the data's role were limited to helping to understand the objectives of this study beyond what the primary data has done.

#### 7.4.3.1 Data sources brief

The secondary data emerged from the Freidrich Ebert Foundation's series of *Deepening Integration in SADC* studies. This was a region-wide study carried out by different researchers in SADC countries. In this thesis the researcher limited the use of these studies to those for Zimbabwe, Zambia, South Africa and Botswana, as these countries share borders with Zimbabwe. All the four countries are SADC member countries.

Table 7-8 Secondary data source details

Researchers	Country	Study title
Sambo and Ubissee (2006)	Mozambique	Rapid changes in Mozambique to meet SADC targets
Tavengwa and Salkin (2006)	Botswana	Botswana – a benchmark for the region
Kalaba et al. (2006)	South Africa	South Africa – SADC's economic engine
Zwizwai (2007)	Zimbabwe	Zimbabwe – missing SADC macroeconomic targets
Mwanawina (2007)	Zambia	Zambia's economic policies in line with SADC targets

Source: Literature

#### 7.4.3.2 Secondary data presentation and analysis

In Mozambique, Sambo and Ubissee (2006, p. 107) established the “main barriers to Mozambique's trade with other countries in the region”. Table 7-9 shows that several barriers were established, discussed, rated and presented, which include the need to improve the trade environment.

Table 7-9 Rating of barriers to trade in Mozambique

Barrier	Relevance from Business	Relevance from NSA
Customs tariffs	42.9%	40%
Time consuming customs procedures	59.1%	60%
Substantial paperwork, bureaucracy	59.1%	77.8%
Corruption of officials	38.1%	88.9%
Exchange rate	47.6%	62.5%
Poor regional communication infrastructure	42.9%	44.4%
High regional communication costs	47.6%	55.6%
Weak regional transport infrastructure	33%	55.6%
High transport costs	40.9%	50.0%

Source: Sambo and Ubissee (2006)

As shown above, ‘corruption of officials, customs tariffs currently employed, poor regional communication infrastructure, sanitary and phyto-sanitary regulations [emerged] as the most relevant barriers to trade in Mozambique’ (Sambo and Ubissee, 2006, p. 183).

For Botswana, Tavengwa and Salkin (2006, p. 139) established that its trade is predominantly with South Africa, using the platform provided by the SACU in which they are both members. Of particular interest to this study is the issue of overlapping memberships in regional groupings;

Botswana actively takes part in negotiations regarding the movement of goods with SADC and SACU members, as well as under the EU-ACP Cotonou Agreement (Tabengwa and Salkin, 2006, p. 143). The study also discussed perceptions regarding SADC RI, where 80% from business owners felt that RI would increase competition within countries and regions, opening up room for export opportunities which will lead to an increase in the number of immigrants into those areas (Tabengwa and Salkin, 2006, p. 203).

In the Zimbabwean study, Zwizwai (2007) looked at similar issues to the aforementioned studies. Of interest to this researcher is the issue of movement of labour. Less than 43% of Zwizwai's interview respondents believed that 'there will be an influx of immigrants to Zimbabwe as a result of regional integration' (2007, p. 84). This is testimony to the issue of the disproportionate benefits of RI as one country is bound to lose skilled manpower to the other if the movement is not regulated.

In Kalaba et al.'s (2006, p. 231) South African study, firms demonstrated an overwhelming support for deeper integration, with "77% of companies either agreeing or strongly agreeing" to the economic benefits of RI. Almost three-quarters (74%) believed in deeper integration's ability to increase the competitiveness of the domestic market.

Finally, Mwanawina (2007, p. 80) argued that in the Zambian study, respondents supported behind RI. The study also provided information on the barriers inhibiting RI, ranking them as shown in Table 7-10.

Table 7-10 Top 10 regional integration barriers

	Rank
Export/ import licences	1
Lack of information about foreign market	2
Customs tariffs	3
High regional communications costs	4
High transport costs	5
Lack of transparency of rules and regulations abroad	6
Time consuming customs procedures	7
Exchange rate uncertainty	8
Poor regional communication infrastructure	9
Weak regional transport infrastructure	10

Source: Mwanawina (2007, p. 84)

## 7.5 Triangulation of data

The triangulation of data involves taking data "from different methodological standpoints" (Gillham, 2000, p. 13). Among other things, it ensures construct validity in a study. The researcher has already,



through the use of multiple data collection methods, instigated triangulation. The use of ‘more than one kind of method to study a phenomenon’ is part of triangulation (Bekhet, Johnson and Zausziewski, 2012, p. 652). At this point, triangulation is carried out ‘as a qualitative research method strategy to test validity through the convergence of information from different sources’ (Carter et al., 2012, p. 545).

The findings from the primary qualitative, primary quantitative and secondary data presented above show the existence of a link in the findings as shown in Table 7-11. What has emerged from the interviews was upheld in the surveys and confirms what is in the literature in most areas.

Table 7-11 Qualitative, quantitative and secondary data triangulation

Research question	Primary Qualitative	Primary Quantitative	Secondary
Relationship between REPMS and NTBs	Positive relationship. The type in place determine the NTBs type and prevalence	There is a strong statistical relationship. Positive correlation	TSBPs have more NTBs than OSBPs or coordinated border posts
NTBs effect on different types of entry points	NTBs exist on both types but differ in nature and impact		NTBs exist in both systems but differ in nature and impact
	NTBs on TSBP lead to delays, corruption, high demurrage costs, increase transactional costs etc.	NTBs highly prevalent on TSBPs	NTBs on TSBPs enhance security
	NTBs on OSBPs lead to systems operating as TSBPs due to a lack of BEMS	All (100%) disagreed with the existence of NTBs on OSBPs	NTBs reduced on OSBPs evidenced by reduced clearance times : Chirundu
Neo-functionalist role in REPMS, NTBs, state sovereignty, level of RI	Presents an incremental approach to integration	Harmonisation of all facets desirable	Presents a gradual/ piecemeal approach to integration
	The gradual approach preserves ministries autonomy and countries sovereignty		The spill-over effects will lead to more integration and development
	Gradual approach perpetuates NTBs at ministerial and at country levels		The approach is slow and cannot explain fast integration occurrences
	This is a safe and reversible approach		Based on deliberate individual efforts so is not reliable
Modernisation role in REPMS, NTBs, state sovereignty, level of RI	Presents a complicated approach	Harmonising all facets at once desirable.	Presents a holistic approach
	Will be very expensive and unsustainable		Fast
	Erodes countries sovereignty		Gives countries a redefined sovereignty in new dimensions
	Difficult to reverse so can lead to more NTBs		Is comprehensive as all facets are integrated at once

State sovereignty and RI levels	State sovereignty impedes RI success	There is a negative correlation	State sovereignty leads to regional groupings overlap as states make independent membership choices.
---------------------------------	--------------------------------------	---------------------------------	--

Source: Study findings

### 7.5.1 Triangulated data explanations

#### 7.5.1.1 Relationship between REPMS and NTBs

All the data show the existence of a positive relationship between REPMS and NTBs. The qualitative data, as emerging from the interviews, pointed to the prevalence of NTBs and showed that the frequency of NTBs and their nature depends on the REPMS in use. This means that there are several types of NTBs, but their presence at a given entry point will depend on the REPMS being used. From the quantitative data, the relationship was presented as positive correlation with a strong statistical relationship. This means that the performances of NTBs or REPMS improve or decline with each other. The secondary data shows that these problems are not new; it is evidence of a failure to totally integrate SADC, despite calls and policies being put in place since inception.

The types and nature of SADC NTBs is as identified by Keane et al. (2010, p. 19). Their relationship with the REPMS brings the human factor component into discussion. There is evidence that sometimes it is not really about the REPMS in place, but the sincerity of the people manning the different entry points. For the OSBP, the issue of change management proved to be crucial. As Brown (2002, p. 1) argued, “Most of us are averse to change”, which can negatively impact the performance of new systems. This was raised in the qualitative primary data, when respondents argued that sometimes the OSBP will just be on the infrastructural set-up, yet procedurally the system will be TSBP. This will mean that the NTBs that should, theoretically, not be found at OSBPs, will still be there. These include NTBs such as the duplication of processes, delays and corruption. The problem is that “in many cases resistance (to change) is passive” (Jenkins and McLinden, 2011, p. 207).

The inverse of that scenario will come as a positive development for TSBPs, in that a system that is physically a TSBP is procedurally an OSBP. This occurs when measures such as the sincere harmonisation of procedures have been put in place. Although countries will be clearing immigration and emigration independently, they will be following similar standards so there are no delays or hidden costs.

### 7.5.1.2 NTBs effect on different types of entry points

The existence of NTBs on all REPs was affirmed by the qualitative, quantitative and secondary data. The existence of just one NTB can cascade into several others, which is why the effect becomes different as the REP and REPMS differ. Once there is a concerted effort to remove just one NTB, the results can cascade into the removal of several other NTBs. In essence, the NTBs occur in clusters; the typical NTB in TSBPs is the multiplicity of border agencies, as indicated in all the data gathered. This means that traffic and cargo must go through several control points and will have to adhere to several regulations (Polner, 2011, p. 54). The qualitative and secondary data have listed several NTBs that go with these multiple agencies. Truck demurrages, corruption, border delays and several others all build into increased transactional costs. The quantitative data provided an objective figure on the effect of these NTBs on different REPs, with TSBPs scoring higher.

However, what the qualitative and quantitative data do not show is the positive aspect of NTBs on different REPs. In the secondary data there is high recognition of the presence of NTBs for security reasons at different entry points. According to Kalaba et al. (2006, p. 129), NTBs may exist for legitimate reasons such as the need to control the movement of people. As shown in the secondary data, some countries are afraid that once movement is eased there will be an influx of immigrants into their countries. On the other hand, others fear that there will be a massive exodus of their skilled and productive manpower for “greener pastures”. It is against this backdrop that the NTBs are coming in and addressing new security threats that are not exclusively on the REP. For this reason, the effect of NTBs on different REPs will have to be viewed in the broader picture of countries’ economic plans.

Nevertheless, the qualitative and quantitative data regarding the effect of NTBs on REPs are not completely without depth, as they come from consumers of the REPMS products. The responses of the SMEs, for example, are focused mostly on their survival in business, i.e. they are not the best qualified to understand the broader picture about state security. This is why in the qualitative data from the interviews there was evident recognition of the importance of state security. As the respondents were in policy making positions, they were better placed to understand the effect of several functional areas on the holistic security of the country and region, as well as how the movement of people and goods is interwoven and interrelated to state security and state sovereignty. As such, while the SMEs were inward-looking regarding the effect of NTBs on different REPs, other sources were outward-looking and offered a comprehensive judgement on the issue.

### 7.5.1.3 The neo-functionalists' role in the study variables

These theorists presented a gradual approach to development. All the data sources recognised the stages of integration and development as presented in the “piecemeal strategy” under the theoretical framework. The qualitative data showed that with regard to the preservation of state security, state sovereignty and ministries' autonomy, the gradual or incremental approach is desirable and effective. The qualitative data recognised the existence of the stages towards integration and development in a similar way to Cooper in Mathew et al. (1989, p. 548). Whilst Cooper et al.(1989) identified the first and second stages as being the identification of needs and the responses to those, the qualitative data used a similar approach. This approach is in the BEMS systems identified by most of the interview respondents. These entail, among other things, identifying areas of need in entry point management, implementing measures to ensure efficiency, evaluation and revisions. As the BEMS takeoff they will lead to border agencies coming together, as their goals will be similarly defined. This is consistent with the theory when it mentions the way the “spill-over” effect will spur further integration, cooperation and development.

The secondary data showed that this gradual approach has negative consequences, however, as because countries retain their total sovereignty, they cannot be forced into any meaningful action. This may account for the regional groupings overlap that was evident in the literature. According to Behar and Edward (2011, p.13), sub-Saharan Africa is home to many RI groups with different policies. Tabengwa and Salkin (2006) spoke about the way Botswana is involved in several regional groupings, and that country is not alone. The secondary data shows that this has negative implications on policy frameworks.

By maintaining autonomy and sovereignty, from the qualitative data perspective, states' security is guaranteed. However, from the documentary evidence, the more sovereignty and autonomy the states retain, the more inimical to development they are, as the regional groupings overlap which is not conducive to sound policy formulation and implementation. The quantitative data pits harmonisation of all facets as more desirable than the individualised approach. This is a departure from the qualitative data's preferred gradual and incremental approach.

### 7.5.1.4 Modernisation theory's role in the study variables

The link between theories and development has been discussed above. When it comes to the modernisation theory, the qualitative data acknowledged it as a complicated approach while the secondary data took it as holistic. This affirms Roskin et al.'s (2006, p. 31) assertion that modernists argue that all facets of a society are linked, changing and moving in the same direction. This means

that change must happen in all areas at once, which makes it holistic and fast but complicated, as indicated by the qualitative data.

In the quantitative responses the harmonisation of all facets was described as desirable, yet what is evident from the three data sources is that people desire this holistic approach, but they are not prepared to let go of their autonomy. All the Ministry employees interviewed mentioned that interfacing systems are desirable; the benefits that accrue from interfaced systems were mentioned as alleviating much duplication. However, there is a pattern of blaming other ministries on the failure of total interface; many of the inter-ministerial partnerships listed seem to fail at the implementation stage, which shows that it is the desire of all to have a totally integrated system, but when people go back to their functional areas they are not prepared to embrace the requisite changes that come with working together in a holistic approach. As such, the 'holistic' approach as recommended by the modernisation theorists has been identified as having the capacity to hasten the integration process and removal of NTBs, yet the challenge comes from the "fear of the unknown".

The secondary data also shows this holistic approach to be the best approach. The modernisation process is one that seeks to adopt newer methods in place of the old ones (Bernstein, 1971, p. 141), however it does not show how countries' sovereignty will be protected as they get into this fast integration and development mode; there is no evidence of safeguards if something does not work as envisioned. The most notable practical example would be a question of what countries and ministries would do if their ICT broke down. Once countries wholeheartedly embrace integration, all their systems would be dependent on it and all their security would be in electronic. This absence of a real answer from the secondary data makes the qualitative data's facts justified.

#### 7.5.1.5 The relationship between state sovereignty and RI

Two sets of variables were measured in this study: the relationship between state sovereignty and RI and REPMS and NTB types.

The latter has been discussed extensively in the above discussions on objectives; the qualitative data showed that there is a positive relationship between REPMS and NTBs types, while the secondary data also show the relationship as positive in that as NTBs increase, so do the REPMS' problems.

On state sovereignty and RI, the primary qualitative data was more vocal than the primary quantitative and secondary data. The respondents to the interviews argued extensively that countries are not sincere about RI issues; they agree on paper but take no practical actions to implement RI. This is also evident from the secondary data, as mentioned earlier, which showed the regional

groupings overlapping. This is in sync with the qualitative data, which established that these two have a negative correlation. This means the stronger state sovereignty gets does not translate to stronger RI. This opposes the data in literature. With the fall of apartheid and all countries in the region getting total sovereignty, RI was envisioned to grow to greater heights (Zwizwai, 2007, p. 11) as the states saw no meaningful hindrance to their integration. However, the evidence emerging from the three sources of data show that state sovereignty and RI do not have a positive correlation, therefore it does not necessarily follow that as states get their independence and autonomy, RI follows.

## 7.6 Chapter conclusion

In this chapter, the research results and findings of the data gathered from the methods explained in the foregoing chapters were presented. The chapter opened with a reinsertion of the research objectives and questions, and a table linking the research objectives to the research questions was presented alongside data from each of the three instruments used.

The data were presented in two successive parts - the primary then the secondary data. The primary data came from three sources, which were presented as sub-sections. This was followed by the presentation of the secondary data and finally data triangulation. The results showed that there is a positive correlation between REPMS and NTBs. It also emerged that NTBs differ from REP to REP, but sometimes NTBs may be found in areas that are inconsistent with their nature due to the approaches of the people manning different REPs. It was found that there is a negative correlation between state sovereignty and RI, as when state sovereignty increases, RI decreases.

Conclusions and recommendations will be presented in the following chapter.

## 7.7 Chapter appendices

The foregoing section made reference to information in tables that were inserted at this end of the chapter for ease of reference. The researcher thought it best to insert them here so as not to interrupt the flow of the discussion.

Table 7-12 SRAQ respondents' perceptions on Zimbabwe's REPMS

Characteristic (n, %)	S. Agree	Agree	Neutral	Disagree	S. Disagree	Total	Corresponding Figure
<b>System allows smooth passage of people and goods</b>							
Beitbridge	1(1.6)	5(8.3)	8(13.3)	34(56.7)	12(20.0)	60	7-1
Chirundu	20(35.7)	34(60.7)	2(3.6)	0(0)	0(0)	56	
Nyamapanda	1(1.9)	4(7.4)	9(16.7)	25(46.3)	15(27.8)	54	
Plumtree	10(16.9)	35(59.3)	6(10.2)	6(10.2)	2(3.4)	59	
<b>Flow will improve if countries harmonise processes</b>							
Beitbridge	37(61.7)	17(28.3)	5(8.3)	1(1.6)	0(0)	60	7-2
Chirundu	49(87.5)	6(10.7)	1(1.8)	0(0)	0(0)	56	
Nyamapanda	27(50.0)	24(44.4)	3(5.6)	0(0)	0(0)	54	
Plumtree	35(59.3)	13(22.0)	10(16.9)	0(0)	1(1.7)	59	
<b>Clearance best if each country does its own paperwork</b>							
Beitbridge	2(3.3)	2(3.3)	7(11.7)	35(58.3)	14(23.3)	60	7-3
Chirundu	0(0)	0(0)	6(10.7)	28(50.0)	21(37.5)	56	
Nyamapanda	1(1.8)	1(1.8)	5(9.3)	26(48.1)	21(38.9)	54	
Plumtree	2(3.4)	2(3.4)	3(5.1)	31(52.5)	11(18.6)	59	
<b>State security at jeopardy when processes are harmonised</b>							
Beitbridge	3(5.0)	5(8.3)	34(56.7)	14(23.3)	4(6.7)	60	7-4
Chirundu	0(0)	0(0)	4(7.1)	37(66.1)	15(26.8)	56	
Nyamapanda	1(1.9)	4(7.4)	5(9.3)	35(64.8)	9(16.7)	54	
Plumtree	3(5.1)	4(6.8)	7(11.9)	33(55.9)	12(20.3)	59	
<b>Clearance best when countries do their own paperwork</b>							
Beitbridge	3(5.0)	3(5.0)	5(8.3)	35(58.3)	14(23.3)	60	7-5
Chirundu	0(0)	0(0)	8(14.3)	28(50.0)	20(35.7)	56	
Nyamapanda	1(1.9)	1(1.9)	1(1.9)	36(66.7)	15(27.8)	54	
Plumtree	4(6.8)	5(8.5)	6(10.2)	32(54.2)	12(20.3)	59	
<b>Clearance best if a single process is adopted and used by all</b>							
Beitbridge	39(65.0)	19(31.2)	2(3.3)	0(0)	0(0)	60	7-6
Chirundu	24(42.3)	29(51.8)	4(7.1)	0(0)	0(0)	56	
Nyamapanda	40(74.1)	13(24.1)	1(1.8)	0(0)	0(0)	54	

Plumtree	18(30.1)	33(55.9)	4(6.8)	3(5.1)	1(1.7)	59	
<b>Single clearance should be by departure country</b>							
Beitbridge	4(6.7)	5(8.3)	3(5.0)	34(56.7)	14(23.3)	60	7-7
Chirundu	3(5.4)	3(5.4)	2(3.6)	35(62.5)	13(23.2)	56	
Nyamapanda	2(3.7)	3(5.6)	4(7.4)	34(63.0)	11(20.4)	54	
Plumtree	4(6.8)	4(6.8)	2(3.4)	33(55.9)	15(25.4)	59	
<b>Single clearance should be by recipient country</b>							
Beitbridge	18(30.0)	29(48.3)	6(10.0)	4(6.7)	3(5.0)	60	7-8
Chirundu	17(30.4)	27(48.2)	6(10.7)	3(5.4)	3(5.4)	56	
Nyamapanda	12(22.2)	30(55.6)	7(13.0)	3(5.6)	2(3.7)	54	
Plumtree	18(30.1)	28(47.5)	6(10.2)	4(6.8)	3(5.1)	59	
<b>Repetition of clearance procedures enhances security</b>							
Beitbridge	1(1.7)	7(11.7)	43(71.7)	6(10.0)	3(5.0)	60	7-9
Chirundu	0(0)	0(0)	9(16.1)	38(67.9)	9(16.1)	56	
Nyamapanda	2(3.7)	2(3.7)	4(7.4)	31(57.4)	15(27.8)	54	
Plumtree	4(6.8)	4(6.8)	2(3.4)	33(55.9)	15(25.4)	59	
<b>Transporters need more than a day to cross the border</b>							
Beitbridge	6(10)	52(86.7)	2(3.3)	0(0)	0(0)	60	7-10
Chirundu	0(0)	0(0)	0(0)	40(71.4)	16(28.6)	56	
Nyamapanda	24(44.4)	23(42.6)	3(5.6)	2(3.7)	2(3.7)	54	
Plumtree	5(8.5)	4(6.8)	42(71.2)	4(6.8)	4(6.8)	59	
<b>Multiple documents for different offices for clearance</b>							
Beitbridge	14(23.3)	40(66.7)	6(10.0)	0(0)	0(0)	60	7-11
Chirundu	5(8.9)	5(8.9)	6(10.7)	26(46.4)	14(25.0)	56	
Nyamapanda	23(42.6)	24(44.4)	3(5.5)	2(3.7)	2(3.7)	54	
Plumtree	11(18.6)	40(67.8)	7(11.9)	2(3.4)	0(0)	59	
<b>Officers demand bribes before clearing goods</b>							
Beitbridge	16(26.7)	36(60.0)	7(11.7)	1(1.7)	0(0)	60	7-12
Chirundu	2(3.5)	10(17.9)	32(57.1)	10(17.9)	2(3.5)	56	
Nyamapanda	15(27.8)	30(55.6)	9(16.7)	0(0)	0(0)	54	
Plumtree	13(21.7)	38(63.3)	5(8.3)	3(5.0)	1(1.7)	59	



<b>Officers manning counters deliberately delay the process</b>	42(70.0)	13(21.7)	4(6.7)	1(1.7)	0(0)	60	7-13
Beitbridge	0(0)	2(3.6)	3(5.4)	39(69.6)	12(21.4)	56	
Chirundu	10(18.5)	28(51.9)	8(14.8)	5(9.3)	3(5.6)	54	
Nyamapanda	15(25.4)	37(62.7)	4(6.8)	3(5.1)	0(0)	59	
Plumtree							
<b>System at the entry point is manual</b>							
Beitbridge	2(3.3)	13(21.7)	11(18.3)	8(13.3)	26(43.3)	60	7-14
Chirundu	0(0)	3(5.3)	47(83.9)	3(5.3)	0(0)	56	
Nyamapanda	14(25.9)	26(48.2)	14(25.9)	0(0)	0(0)	54	
Plumtree	24(40.7)	30(50.8)	2(3.9)	1(1.7)	2(3.4)	59	
<b>Same process repeated on either side of same border point</b>							
Beitbridge	29(48.3)	21(35.0)	10(16.7)	0(0)	0(0)	60	7-15
Chirundu	0(0)	3(5.3)	3(5.3)	12(21.4)	38(67.8)	56	
Nyamapanda	12(22.2)	35(64.8)	3(5.6)	2(3.7)	2(3.7)	54	
Plumtree	23(39.0)	29(49.2)	7(11.9)	(0)	0(0)	59	
<b>Requirements to clear goods are not consistent</b>							
Beitbridge	10(16.7)	34(56.7)	15(25)	1(1.7)	0(0)	60	7-16
Chirundu	12(21.4)	31(55.4)	13(23.2)	0(0)	0(0)	56	
Nyamapanda	8(14.8)	36(66.7)	10(18.5)	0(0)	0(0)	54	
Plumtree	14(23.7)	36(61.0)	4(6.8)	3(5.1)	2(3.4)	59	
<b>Clear first at exiting border before entering another nation</b>							
Beitbridge	11(18.3)	43(71.7)	3(5.0)	2(3.3)	1(1.6)	60	7-17
Chirundu	0(0)	0(0)	9(16.1)	38(68.8)	9(16.1)	56	
Nyamapanda	12(22.2)	22(40.1)	10(18.5)	6(11.1)	4(7.4)	54	
Plumtree	23(39.0)	24(40.1)	5(8.5)	4(6.8)	3(5.1)	59	

Source: Study SRAQ data

Table 7-13 SSPAQ responses to questions on the aspects of REPMS

Characteristic (n, %)	S. Agree	Agree	Neutral	Disagree	S. Disagree	Total	Figure in text
1. System requires people to be cleared at several points	9(7.8)	93(80.2)	7(6.0)	4(3.4)	3(2.5)	116	7-18
2. Flow of goods will improve if countries harmonise processes	42(36.2)	46(39.6)	12(10.3)	9(7.7)	7(6.0)	116	7-19
3. Clearance best if each country does its own paperwork	3(2.5)	22(18.9)	57(49.1)	23(19.8)	11(9.4)	116	7-20
4. Country security at jeopardy when processes are harmonised	3(2.6)	2 (1.7)	2(1.7)	37(31.9)	72(62.1)	116	7-21
5. Clearance best when countries do their own paperwork	3(2.6)	1(0.00)	16(13.4)	55(47.4)	41(35.3)	116	7-22
6. Clearance best if a single process is adopted and honoured by all	82(70.1)	13(12.0)	14(3.7)	3(2.5)	4(3.4)	116	7-23
7. Single clearance should be by departure country	4(3.4)	21(18.1)	10(8.6)	68(58.6)	13(11.2)	116	7-24
8. Single clearance should be by recipient country	24(20.6)	68(58.6)	12(10.3)	8(6.8)	4(3.4)	116	7-24
9. Repetition of clearance procedures enhances security	5(4.3)	6(5.2)	13(11.2)	29(25)	63(54.3)	116	7-26
10. Classification of goods differs from country to country	14(12.1)	82(70.1)	17(14.7)	2(1.7)	1(0.0)	116	7-27
11. Multiple documents needed for different offices for clearance	16(13.4)	89(76.7)	9(7.8)	1(0.0)	1(0.0)	116	7-28
12. Same process repeated on entry and exit countries	83(71.6)	19(16.4)	10(8.6)	3(2.6)	1(0.0)	116	7-29
13. Requirements for clearing goods not consistent	20(17.2)	58(50.0)	18(15.5)	10(8.6)	10(8.6)	116	7-30
14. System plays an important role in encouraging trade	15(12.9)	90(77.5)	6(5.1)	4(3.4)	1(0.0)	116	7-32
15. Import quantity per trip limited	77(66.4)	29(25.0)	3(2.5)	6(5.2)	1(0.0)	116	7-32

Table 7-14 SRAQ on REPMS and NTBs relationship

Characteristic	n	Fisher's exact
Transporters need more than a day to cross the border	223	0.000
Multiple documents needed by offices for clearance	223	0.128
Officers demand bribes before clearing goods	223	0.783
Officers deliberately delay the process	221	0.845
System is manual	222	0.072
Repetition of procedures on either side of the border	221	0.001
Requirements for clearing goods not consistent	221	0.122

Key: n=sample size, Fisher's exact=probability at 95%

Source: Study data

### Relationship between the smooth passage of goods and NTBs

Table 7-15 shows the drivers' and assistants' responses regarding the relationship between an entry point that allows the smooth passage of goods and NTBs. There was a strong relationship between whether respondents agreed, disagreed or was neutral on whether the REPMS employed at entry points allow for the smooth passage of people and every non-tariff barrier. The association was statistically significant as the Fisher's exact was 0.000 at 95% confidence.

Table 7-15 SRAQ regarding a smooth REPMS and NTBs relationship

Characteristic	n	Fisher's exact
Transporters need more than a day to cross the border	222	0.000
Multiple documents needed by offices for clearance	222	0.000
Officers demand bribes before clearing goods	221	0.000
Officers deliberately delay the process	220	0.000
System is manual	221	0.000
Repetition of procedures on either side of the border	221	0.000
Requirements for clearing goods not consistent	221	0.000

Key: n=sample size, Fisher's exact=Probability at 95%

Source: Study data

### Association between harmonising processes and NTBs

Table 7-16 shows the drivers' and assistants' responses regarding the association between harmonising processes and NTBs. There was a strong relationship between whether one agreed, disagreed or was neutral on the question of harmonising processes between borders of adjacent countries and the perception of repetition of clearance procedures on adjacent borders. The association was statistically significant as the Fisher's exact was 0.014 at 95% confidence.

Table 7-16 SRAQ on harmonising processes and NTBs association

Characteristic	n	Fisher's exact
Transporters need more than a day to cross the border	222	0.497
Multiple documents needed by offices for clearance	222	0.150
Officers demand bribes before clearing goods	220	0.115
Officers deliberately delay the process	220	0.063
System is manual	221	0.039
Repetition of procedures on either side of the border	221	0.014
Requirements for clearing goods not consistent	220	0.250

Key: n=sample size, Fisher's exact=Probability at 95%

Source: Study data

### Association between own country clearance and NTBs

Table 7-17 shows the drivers' and assistants' responses regarding the relationship that exists between an own-country clearance and NTBs. There was a strong relationship between whether one agreed, disagreed or was neutral on the question of each country doing its own paper work and multiple documents being needed for clearance. The association was statistically significant as the Fisher's exact was 0.001 at 95% confidence.

Table 7-17 SRAQ on own country clearance and NTBs association

Characteristic	n	Fisher's exact
Transporters need more than a day to cross the border	223	0.000
Multiple documents needed by offices for clearance	223	0.001
Officers demand bribes before clearing goods	221	0.121
Officers deliberately delay the process	221	0.046
System is manual	222	0.144
Repetition of procedures on either side of the border	221	0.013
Requirements for clearing goods not consistent	221	0.013

Key: n=sample size, Fisher's exact=Probability at 95%

Source: Study data

### Association between countries' security and non-tariff barriers

Table 7-18 shows the responses of the truck drivers and assistants' regarding whether countries' security would end up in jeopardy if efforts are taken to remove NTBs. There was a strong relationship between whether one agreed, disagreed or was neutral on the question of whether a country's security will be jeopardised and the repetition of procedures on either side of the border for clearance. The association was statistically significant as the Fisher's exact was 0.005 at 95% confidence.

Table 7-18 SRAQ on countries' security and NTBs association

Characteristic	n	Fisher's exact
Transporters need more than a day to cross the border	223	0.000
Multiple documents needed by offices for clearance	223	0.086
Officers demand bribes before clearing goods	222	0.625
Officers deliberately delay the process	221	0.810
System is manual	222	0.190
Repetition of procedures on either side of the border	221	0.005
Requirements for clearing goods not consistent	221	0.531

Key: n=sample size, Fisher's exact=Probability at 95%

Source: Study data

### Relationship between each country's clearance and NTBs

Table 7-19 shows the international drivers' and assistants' responses regarding the relationship between each country's clearance execution and NTBs. There was a strong relationship between whether one agreed, disagreed or was neutral on the question of whether each country should conduct its own clearance procedures and whether offices require multiple documents for clearance. The association was statistically significant as the Fisher's exact was 0.004 at 95% confidence.

Table 7-19 SRAQ opinions favouring individualised country's clearance and NTBs

Characteristic	n	Fishers exact
Transporters need more than a day to cross the border	223	0.001
Multiple documents needed by offices for clearance	223	0.004
Officers demand bribes before clearing goods	222	0.615
Officers deliberately delay the process	221	0.510
System is manual	222	0.317
Repetition of procedures on either side of the border	221	0.020
Requirements for clearing goods not consistent	221	0.030

Key:n=sample size, Fisher's exact =Probability at 95%, \*statistically significant

Source: Study data

### The relationship between harmonised clearances by one country and NTBs

Table 7-20 shows the drivers' and assistants' responses regarding the relationship between having one country doing the clearances and NTBs. This is when the clearance done on one side is honoured by the other side. There was a strong relationship between whether one agreed, disagreed or was neutral on the question of whether clearance done by one country should be accepted by both neighbouring countries and the presence of repetition of procedures on either side of the border for clearance. The association was statistically significant as the Fisher's exact was 0.032 at 95% confidence.

Table 7-20 SRAQ on one clearance for both countries and NTBs association

Characteristic	n	Fisher's exact
Transporters need more than a day to cross the border	223	0.206
Multiple documents needed by offices for clearance	223	0.505
Officers demand bribes before clearing goods	222	0.323
Officers deliberately delay the process	221	0.344
System is manual	222	0.287
Repetition of procedures on either side of the border	221	0.032
Requirements for clearing goods not consistent	221	0.388

Key: n=sample size, Fisher's exact=Probability at 95%

Source: Study data

### Association between sending country clearances and NTBs

Table 7-21 shows the international drivers' and assistants' responses regarding the relationship between clearing done by the sending country and NTBs. There was a strong relationship between whether one agreed, disagreed or was neutral on the country of exit to be the one processing single clearance or receiving one. . The association was statistically significant as the Fisher's exact was 0.040 at 95% confidence

Table 7-21 SRAQ on single sending country clearance and NTBs association

Characteristic	n	Fisher's exact
Transporters need more than a day to cross the border	223	0.871
Multiple documents needed by offices for clearance	223	0.242
Officers demand bribes before clearing goods	222	0.147
Officers deliberately delay the process	221	0.052
System is manual	222	0.040
Repetition of procedures on either side of the border	221	0.593
Requirements for clearing goods not consistent	221	0.388

Key: n=sample size, Fisher's exact= Probability at 95%, \*statistically significant

Source: Study data

### Relationship between the receiving country's clearance and NTBs

Table 7-22 shows the international drivers' and assistants' responses regarding the relationship between the receiving country's clearance and NTBs. There was a strong relationship between whether one agreed, disagreed or was neutral on the question of clearance at entry and the consistency in the clearing goods or clearance at exit and inconsistencies in clearing. The association was statistically significant as the Fisher's exact was 0.037 at 95% confidence.

Table 7-22 SRAQ on a single receiving country clearance and NTBs association

Characteristic	n	Fisher's exact
Transporters need more than a day to cross the border	221	0.123
Multiple documents needed by offices for clearance	223	0.447
Officers demand bribes before clearing goods	222	0.426
Officers deliberately delay the process	221	0.151
System is manual	222	0.272
Repetition of procedures on either side of the border	221	0.002
Requirements for clearing goods not consistent	221	0.037

Key: n=sample size, Fisher's exact=Probability at 95%, \*statistically significant

Source: Study data

### Relationship between the repetition of procedures and NTBs

Table 7-23 shows the international drivers' and assistants' responses regarding the relationship between the repetition of procedures and NTBs. There was a strong relationship between whether one agreed, disagreed or was neutral on the question on the repetition of procedures as enhancing security and transporters needing more than a day to cross the border or not. The association was statistically significant as the Fisher's exact was 0.000 at 95% confidence.

Table 7-23 SRAQ on repetition of procedures, security and NTBs association

Characteristic	n	Fisher's exact
Transporters need more than a day to cross the border	223	0.000
Multiple documents needed by offices for clearance	223	0.123
Officers demand bribes before clearing goods	222	0.783
Officers deliberately delay the process	221	0.845
System is manual	222	0.072
Repetition of procedures on either side of the border	221	0.001
Requirements for clearing goods not consistent	221	0.122

Key: n=sample size, Fisher's exact=Probability at 95%, \*statistically significant

Source: Study data

### Relationship between systems at REP, trade and NTBs.

Table 7-24 shows the SMEs' responses regarding the relationship between REP, trade and NTBs. There was a strong relationship between whether one agreed, disagreed or was neutral on the management systems deployed at the road entry points as playing an important role in encouraging trade and non-tariff barriers or not. The association was statistically significant as the Fisher's exact was 0.05 or less for every non-tariff barrier at 95% confidence.

Table 7-24 SSPAQ on systems at REP, trade and NTBs association

Characteristic	n	Fisher's exact
Quantity of import goods per trip are highly limited	110	0.022
Classification of goods different in each country	110	0.020
Multiple documents needed for different offices for clearance	110	0.003
Same inspection processes repeated on either side of border	110	0.004
Clearance requirements not consistent	110	0.003

N=sample size, Fisher's exact =probability at 95%

Source: Study data

### Relationship between multiple clearance and NTBs

Table 7-25 shows the SMEs' responses regarding the relationship between multiple clearance and NTBs. There was a strong relationship between whether one agreed, disagreed or was neutral on the fact that management systems at road entry points require people to clear at several points when entering a or not. The association was statistically significant as the Fisher's exact was 0.000 at 95% confidence.

Table 7-25 SSPAQ on multiple clearance systems and NTBs relationship

Characteristic	n	Fisher's exact
Quantity of import goods per trip are highly limited	110	0.062
Classification of goods different in each country	110	0.054
Multiple documents needed for different offices for clearance	110	0.000
Same inspection processes repeated on either side of border	110	0.004
Clearance requirements not consistent	110	0.003

N=sample size, Fisher's exact =probability at 95%

Source: Study data

### Association between harmonising processes and non-tariff barriers

Table 7-26 shows the SMEs' responses regarding the association between harmonisation of procedures and NTBs. There was no significant statistical relationship at 95% confidence between whether the SMEs agreed, disagreed or were neutral on harmonising the clearance management systems between bordering countries or not.. This was supported by a p-value of 0.999.

Table 7-26 SSPAQ on process harmonisation and NTBs relationship

Characteristic	n	Fisher's exact
Quantity of import goods per trip are highly limited	109	0.000
Classification of goods different in each country	109	0.003
Multiple documents needed for different offices for clearance	109	0.005
Same inspection processes repeated on either side of border	109	0.999
Clearance requirements not consistent	109	0.000

Key: n=sample size, Fisher's exact =probability at 95%

Source: Study data



### Relationship between individual country clearance, goods limits and NTBs

Table 7-27 shows the SMEs' responses regarding the relationship between the independent clearance of goods by countries sharing borders, goods limits and NTBs. There was no significant statistical relationship at 95% confidence on whether SMEs agreed, disagreed or were neutral to individual countries doing their own clearance processes or not.. This was supported by a p-value of 0.999.

Table 7-27 SSPAQ on individual country clearance limits and NTBs relationship

Characteristic	n	Fisher's exact
Quantity of import goods per trip are highly limited	105	0.999
Classification of goods different in each country	108	0.001
Multiple documents needed for different offices for clearance	108	0.970
Same inspection process repeated on either side of border	108	0.625
Clearance requirements not consistent	108	0.000

Key: n=sample size, Fisher's exact =probability at 95%

Source: Study data

### Relationship between country's security under a harmonised system and NTBs

Table 7-28 shows the SMEs' responses on goods limits, NTBs and security. There was a significant statistical relationship at 95% confidence between whether SMEs agreed, disagreed or were neutral on the aspect of countries' security being jeopardised or were not affected by adopting a harmonised system. This is supported by a p-value of 0.010 at 95% confidence.

Table 7-28 SSPAQ on limited goods, NTBs and single clearance relationship

Characteristic	n	Fisher's exact
Quantity of import goods per trip are highly limited	110	0.000
Classification of goods different in each country	110	0.232
Multiple documents needed for different offices for clearance	110	0.027
Same inspection processes repeated on either side of border	110	0.010
Clearance requirements not consistent	110	0.000

Key:n=sample size, Fisher's exact =probability at 95%

Source: Study data

### Relationship between countries doing their own clearance procedures and NTBs

Table 7-29 shows the SMEs' responses regarding single country clearance procedures and NTBs. There was no significant statistical relationship at 95% confidence between whether SMEs agreed, disagreed or were neutral on the aspect of countries doing their own clearance procedures or the procedures are harmonised and the effect this will have on NTBs. This is supported by a p-value of 0.3111 at 95% confidence.

Table 7-29 SSPAQ on single country clearance, limits and NTBs relationship

Characteristic	n	Fisher's exact
Quantity of import goods per trip are highly limited	110	0.079
Classification of goods different in each country	110	0.217
Multiple documents needed for different offices for clearance	110	0.089
Same inspection processes repeated on either side of border	110	0.311
Clearance requirements not consistent	110	0.000

Key: n= sample size, Fisher's exact = probability at 95%

Source: Study data

### Relationship between the single clearance process and NTBs

Table 7-30 shows the SMEs' responses regarding the relationship between NTBs and a single clearance system. There was no significant statistical relationship at 95% confidence between whether the SMEs agreed, disagreed or were neutral on the aspect of bordering countries adopting a single clearance system and the aspect of different classification systems in different countries. This is supported by a p-value of 0.071 at 95% confidence.

Table 7-30 SSPAQ on single clearance system and NTBs relationship

Characteristic	n	Fisher's exact
Quantity of import goods per trip are highly limited	109	0.000
Classification of goods different in each country	109	0.071
Multiple documents needed for different offices for clearance	110	0.027
Same inspection processes repeated on either side of border	110	0.003
Clearance requirements not consistent	110	0.002

Key: n=sample size, Fisher's exact =probability at 95%

Source: Study data

### Relationship between the adoption of single exit country clearance and NTBs

Table 7-31 shows the SMEs' responses regarding the relationship between NTBs and a scenario whereby countries would choose to adopt one clearance process to be done by the sending country. This means that the sending country would do the clearance and the receiving country would honour it. There was a significant statistical relationship at 95% confidence between whether SMEs agreed, disagreed or were neutral on the aspect of the single clearance system residing in the exiting country and 1 on the aspect of clearance systems being inconsistent. This is supported by a p-value of 0.000 at 95% confidence.

Table 7-31 SSPAQ on single exit country clearance and NTBs relationship

Characteristic	n	Fisher's exact
Quantity of import goods per trip are highly limited	109	0.135
Classification of goods different in each country	109	0.681
Multiple documents needed for different offices for clearance	110	0.560
Same inspection processes repeated on either side of border	110	0.291
Clearance requirements not consistent	110	0.000

Key: n=sample size, Fisher's exact =probability at 95%

Source: Study data

### Relationship between receiving country's clearance and NTBs

Table 7-32 shows the SMEs' responses regarding the relationship between the receiving country doing the clearance and NTBs. There was a significant statistical relationship at 95% confidence between whether the SMEs agreed, disagreed or were neutral on the aspect of the single clearance system residing with the entry country and on the aspect of the quantity of import goods being restricted. This is supported by a p-value of 0.031 at 95% confidence.

Table 7-32 SSPAQ on receiving country clearance and NTBs relationship

Characteristic	n	Fisher's exact
Quantity of import goods per trip are highly limited	109	0.031
Classification of goods different in each country	109	0.365
Multiple documents needed for different offices for clearance	110	0.028
Same inspection processes repeated on either side of border	110	0.113
Clearance requirements not consistent	110	0.025

Key: n=sample size, Fisher's exact =probability at 95%

Source: Study data

### Association between the repetition of procedures, security and NTBs

Table 7-33 shows the SMEs' responses regarding the association between NTBs, security and the repetition of procedures. There was no significant statistical relationship at 95% confidence between whether SMEs agreed, disagreed or were neutral on the aspect of countries repeating procedures to enhance security and on the aspect of the borders requiring multiple documents before clearance. This is supported by a p-value of 0.097 at 95% confidence.

Table 7-33 SSPAQ on repetition of procedures, security and NTBs relationship

Characteristic	n	Fisher's exact
Quantity of import goods per trip are highly limited	107	0.027
Classification of goods different in each country	107	0.000
Multiple documents needed for different offices for clearance	107	0.097
Same inspection processes repeated on either side of border	107	0.006
Clearance requirements not consistent	107	0.000

Key: n=sample size, Fisher's exact =probability at 95%

Source: Study data

## CHAPTER 8 SUMMARY, CONCLUSIONS, AND RECOMMENDATIONS

### 8.1 Introduction

This is the last chapter in this thesis. This chapter presents a summary of the chapters, conclusions drawn from study findings, and projection of both policy implications and recommendations in view of the findings and conclusions of this study. In addition, this chapter highlights an innovative model for southern African regional integration; namely, the “Regimented-Structured Integration” model. The significance of this study to the body of knowledge on RI, REPMS and NTBs is mentioned and future research studies envisaged before this chapter conclusion draws the thesis to an end.

### 8.2 Research objectives and questions recapitulation

This study focused on fulfilling the objectives and answering the questions set out earlier in Chapter 1. These objectives and questions are laid out below in Table 8-1.

Table 8-1      Research objectives and questions

Question	Objective
1. What is the relationship between REPMS in Zimbabwe and the levels and types of NTBs prevailing in cross-border trade?	1. To determine the relationship between REPMS in Zimbabwe and the levels and types of NTBs prevailing in cross-border trade.
2. How do NTBs affect different types of entry points?	2. To explain how NTBs affect different REPMS.
3. To what extent does the neo-functionalist theory explain the pragmatic relationship between (a) REPMS and NTBs and (b) state sovereignty and (c) the level of RI in the SADC region?	3. To examine the extent to which the neo-functionalist theory explains the pragmatic relationship between (a) REPMS and NTBs; (b) state sovereignty; and (c) the level of RI in the SADC region?
4. To what extent does the modernism theory explain the pragmatic relationship between (a) REPMS and NTBs; (b) state sovereignty; and (c) the level of RI in the SADC region?	4. To examine the extent to which the modernism theory explains the pragmatic relationship between (a) REPMS and NTBs; (b) state sovereignty; (c) the level of RI in the SADC region?

Source: Author

The first question was answered in the literature review section as well as in the results from the primary and secondary data. The research showed that there is a statistically significant relationship

between REPMS and the levels and types of NTBs prevailing in the cross-border trade. The second question was also answered in the literature review chapters as well as in the findings from the primary and secondary data. The research established that NTBs' effect on the entry points differ depending on the REPMS in place. The third and fourth questions were extensively discussed in Chapter 5, in which the RI integration approaches were staged. These questions were also answered in the primary and secondary data findings.

### 8.3 Summary of chapters

Chapter 1: STUDY OVERVIEW. This chapter provided a general summary of this SADC, REPMS and RI study. The first issue to be presented was the root of the REPMS and RI problem, which was given as the background to the study. This included the history of the issue at hand, thus exposing the rationale for conducting this study. Also presented in the overview was the character of the study. A brief review of the literature put the study introduction into the context of the existing literature on REPMS. The research objectives and questions were also presented, outlining the task at hand. An introduction of the methodology used for this study was made through the brief research design and worldview sections. The chapter also contained a comprehensive summary of all the chapters, while the end of the chapter listed several documents that are part of this thesis. These documents are attached as appendices at the end of the thesis. This chapter set out the full task that the researcher embarked on in the quest to fulfil all the research objectives and answer research questions.

Chapter 2: CRITICAL REALIST THEORISTS' PHILOSOPHY. The second chapter laid out the CRT underlying this study, in order to show its precepts on ontological and epistemological views. These were explained in-depth before the CRT inclined methodology was revealed. The methodology that the CRT assumes is sufficient to investigate reality is part of a mixed methods study. This chapter laid the foundation for the methodology the study was to follow in answering all the four research questions.

Chapter 3: SOUTHERN AFRICA REGIONAL INTEGRATION. Chapter 3 discussed the literature on RI, with the first section tracing the African political economy in history. This gave insights into the contacts with the outside world that have been in existence since time immemorial. Factors affecting RI were highlighted to show the problems that countries face in trying to deepen their integration, using political, economic, legal, historical and social categories. Peace, security and state sovereignty were discussed at the end of the chapter as factors that also affect RI. This chapter gave extensive insights into the region under investigation in this study, SADC, and helped to answer the first and second research questions. This chapter answered, in part, the third and fourth research

question. These are the questions that sought to answer on the extent to which the modernists and neo-functionalists theories explain the pragmatic relationship between REPMS and NTBs, state sovereignty and the level of RI in the SADC region.

Chapter 4: LESSONS IN LITERATURE. This drew lessons on RI and REPMS literature to answer the first and second research questions again. This included literature from studies on RI and the movement of goods phenomenon from all over the world, as well as from the region under study, SADC. Of special interest were the lessons that came from AIKS, given as the pre-colonial African wisdom. This section explained the way trade happened in the pre-colonial era, having realised that it is important to look into AIKS as evidence to show the existence of previous long distance trade in Africa. Lessons drawn from the Schengen system, which is a very contemporary development that the world can learn from, were presented, as were several methods in use or envisioned for the alleviation of border delays. These include tamper proofing, global positioning system (GPS) tracking, transit corridors, pre-shipment inspections, juxtaposed offices, and collaborative border management, among other things. The latter part of the chapter explained SADC's place in the current REPMS study. This chapter partly answered all the four research questions. It brought out literature as emerging from earlier researcher in the various filed related to this SADC REPMS and RI study.

Chapter 5: APPROACHES TO STAGING REGIONAL INTEGRATION. This fifth chapter is a presentation of two RI and development approaches. The chapter opened with an explanation of an array of RI theories in common usage, before presenting the two approaches that were also under investigation in this study - the 'piecemeal approach' and the 'holistic approach'. These two approaches come from two common RI and development theories: the neo-functionalist and modernisation theories respectively. The latter part of the chapter discussed the use of variables in studying RI and REPMS. It was within this section that the variables investigated in this study were also unveiled and presented in detail. This chapter answered the third and fourth research questions. These questions were on the neo-functionalist and modernists theories. As such, the chapter staged approaches to RI that come out of these theories. This was consisted with the third and fourth aims also that sought to examine the extent to which the two theories individually help to explain the pragmatic relationship between REPMS and NTBs, state sovereignty and the level of RI in the SADC region.

Chapter 6: RESEARCH METHODOLOGY. The research methodology used in this REPMS study was discussed in this chapter. This section showed the path that the researcher took in arriving at the

chosen methodology, with the first section explaining the pragmatic philosophical underpinnings which guided the worldview, as well as the embedded single case study which was the research strategy used herein. This was followed by the case study quality measures, which showed the way that the researcher adhered to construct validity and reliability measures. The sampling method used was extensively explained, as were the three instruments used to collect the primary data. A section on instrumentation detailing everything that went into the construction of these three tools: the Semi-Structured Participant Administered Questionnaire (SSPAQ); the Structured Researcher Administered Questionnaire (SRAQ); and the Semi-Structured Interview Guides (SSI), was presented. These tools were also subjected to quality control and a section detailing that was included. The data collection that resulted in the information answering these study questions was detailed, with snippets drawn from the researcher's diary being inserted to show the path followed during data gathering. The ethical considerations observed in this study were also listed. This study was not without its challenges, thus the limitations that emerged were listed with the positions taken to overcome them. This was followed by a section on the delimitations of the study, before a section of data analysis that detailed the way data from the study, presented in chapter 7, was handled. This chapter is a close follow-up of the chapter 2 presentations of the CRT theory. It brings out the mixed method study rationalised by the adoption of the CRT meta-theory which help in utilising the pragmatic worldview held by this researcher. Through the pragmatic world view value is put more on the attainment of the task that on the superiority of the methods.

Chapter 7: DATA ANALYSIS AND PRESENTATIONS. The seventh chapter was the longest in this thesis. It discussed all the primary and secondary information gathered for this study and answered the research questions. The chapter opened with a restatement of the research objectives and questions, which was followed by a presentation of the primary data and analysis. This chapter answered all the research questions in part by giving the findings coming from the various sources of data used herein. The information that goes into the answering of each specific research question is given in the parts making up this chapter in the body of this thesis.

Chapter 8: SUMMARY, CONCLUSIONS AND RECOMMENDATIONS. The last chapter summarises the study, detailing the contents of each of the seven chapters preceding it. This is followed by a discussion on the policy implications and recommendations emerging from this study. The last part provides conclusions regarding all the aspects of the study, ranging from the methodology to the findings. This chapter tied all the part answers from all the chapters to give full answers to all the four research questions. The achievement of the four objectives is fulfilled in this

chapter as policy implications and recommendations are given in various sections for each of the four questions.

#### 8.4 Study Conclusions

This study sought to understand the REPMS and RI in SADC. Two sets of variables were measured - the dependent (entry point management systems and state sovereignty) and the independent (NTBs types and RI levels). The study established that there is a negative correlation between state sovereignty and RI, i.e. the two are not working for the betterment of each other. This defeats the pan-African ideals that were pronounced at the formation of the OAU, which viewed state sovereignty as favourable to the progression of the African people. As such, there is a need to look at a redefinition of state sovereignty if total RI is to be achieved. The relationship between the REPMS and NTBs emerged as being positively correlated. The NTBs will increase as processes at entry point increase. The more paperwork, agents and procedures there are, the more NTBs there will be. In essence, this means that in order to alleviate the NTB problems, there is need to reduce paperwork, agents and procedures at entry points.

The methodology for this thesis followed a mixed methods design, i.e. both qualitative and quantitative methods were used. As explained in earlier sections, this approach is desirable because the strengths of one method offset the weaknesses of the other. The method was also chosen having established in the literature that earlier researchers had predominantly used secondary data. This researcher employed SRAQs, SSPAQs and interviews to gather the primary quantitative and qualitative data.

The researcher discovered that researcher-administered questionnaires have a very high return rate. As shown in the methodology section, this researcher allocated only five days for each entry point, which resulted in a total of 254 surveys; Plumtree, Beitbridge, Nyamapanda and Chirundu produced 66, 78, 46 and 64 surveys respectively. This is a high return considering the nature of the respondents, as they were in transit and of varied nationalities. The researcher concluded that if there was an option to have the respondents post back the surveys, the number would not have been as high. On the SSPAQs, the use of the subgroup census method at a conference proved very effective. Under other circumstances, in a participant-administered survey the respondents have to return the completed forms through the postal system, however in this study, administering and collecting the surveys at a conference venue proved very effective. Of the 130 surveys distributed, 124 were returned, which is an over 95% return rate.



However, the use of the SRAQs enlightened the researcher on the weaknesses that can be encountered due to language differences. When using this instrument for transit respondents such as truck drivers and assistants, it is important to be wary of all the official languages that people of different nationalities in the region use. In SADC three main official languages are prevalent - English, French and Portuguese. This means that to effectively utilise a researcher-administered tool in such a scenario, there is need to ensure the administrator's proficiency in all the official languages. This will ensure that the respondents' inputs are captured properly.

The challenge of dealing with people who were not stationed in one place was evident; drivers and their assistants were only willing to cooperate when they were stuck in queues. Once the traffic eased or their turn to be attended to came, they would abandon the task. As such 9.8% (n=25) of the surveys were not completed. This means that of the 254 surveys administered as shown in Table 6-2, 229 had usable information for the study as shown in Table 7-4.

The use of more than one site proved useful, however. The researcher sampled the REP which resulted in four different sites for collecting data, while three ministries were used for interviews. The ministries had different but complementary tasks, such that their understanding of the effect of NTBs came from different angles. This made their responses more insightful.

By adopting two different theories, the researcher managed to present two opposite approaches to RI and development. The functionalist and neo-functionalist theories resulted in a 'piecemeal' approach to integration and development, which is gradual and slow. This happens as players adopt a functional or specialisation approach; as the players develop in their specialised areas, the need to integrate will automatically surface. The benefits of such integration in less politically volatile areas will stimulate integration in more volatile areas; this is what is termed the 'spill-over' effect. The opposite theory, as presented by modernisation theorists, was also presented, which resulted in the 'holistic' integration approach. This is a fast integration and development approach, in which all facets of a system must be revolutionised at once.

The study showed that intra-country and inter-country initiatives predominantly follow the gradual approach due to a variety of reasons, including the management of costs. Risk is also evenly spread out among players and tasks, making room for reversals and corrections if necessary. The gradual approach also proved desirable, as it protects state sovereignty and ministerial autonomy. However, when looking at the total integration goal and this approach, the research established that it would be more practical to follow the holistic approach in some areas. This is because having established that state sovereignty and RI have a negative correlation, there is a need to redirect the relationship for

the good of all. For total integration to prevail there is a need to revise state sovereignty. This will mean that all countries must come together and establish what ought to be sacrificed of their sovereignty for the good of all. In the absence of that approach, the total RI of SADC will remain an anathema. Regional groupings' membership overlaps will remain and countries will continue approaching REPMS at the bilateral level, which defeat total integration.

The responses regarding the efficiency of the Chirundu OSBP as compared to the other three TSBPs highlight the efficacy of the OSBP system. All the drivers using the Chirundu border post were of the opinion that it does not take more than a day to cross that border, whilst drivers using Beitbridge (100%) and Nyamapanda (87%) said that it takes more than a day to cross those borders. This proves that in terms of clearing cargo, the OSBP is more effective than TSBPs. In the literature there is evidence of custom measures that countries are putting in place at entry points at the bilateral level. The effectiveness of these 'piecemeal' measures is questionable considering the evidence showing the persistence of delays on the TSBP systems.

For the TSBP case, Plumtree clears traffic in a relatively faster time than its fellow TSBPs; with only 15.3% of the respondents agreeing that it takes more than a day to clear Plumtree, there is an indication of some efficiency under that TSBP system. However, this is not conclusive as there is need to look at the volume of traffic that each entry point is handling. The slow pace at Beitbridge entry point can, to a great extent, be attributed to its handling more traffic than the others. This is because despite evidence that it is highly automated, it remains the slowest in terms of clearing traffic. As such, the benefits of automation at this TSBP are being eroded by the very high level of traffic handled there.

The data analysis methods used herein showed the strength of the mixed methodology. The primary qualitative data from the interviews were analysed using thematic analysis and presented in a matrix format. These summarised the responses in one place and are relatively easy to understand, however the task of analysing the themes was not as easy as the results may show. The primary quantitative data were analysed using a statistical method. These results concurred with the qualitative data regarding the relationship between state sovereignty and RI. The relationship emerged as a negative correlation, which is consistent with the themes that emerged from qualitative data, as most respondents were lamenting the negative role that results from doing things independently in REPMS and RI.

By and large, the study was able to answer all the research questions set out in Chapter 1. The first question on the relationship between REPMS and NTBs was extensively answered, and the study

showed that there are NTBs that are specifically for TSBPs and others for OSBP. However, those NTBs existing on TSBPs due to procedures and human approaches can still occur at OSBPs if there is no proper human dispensation and systems setup. It also emerged that there are more NTBs at TSBPs than OSBPs. This has been traced mainly to the set-up of having to clear separately for emigration and immigration, which inevitably leads to duplication and the multiplicity of agencies. This answered the second question regarding how NTBs affect different types of REP. The third and fourth questions revolved around the theories of RI presented, state sovereignty, REPMS, NTBs and RI. It has emerged that the approaches being followed by SADC leave a lot to be desired, as the gradual approach is fuelling the occurrence of NTBs, although it does preserve state sovereignty. The inverse would occur if countries adopted the holistic approach in most areas and used the gradual approach in limited areas. Having a regional approach to REPMS would be better than the current scenario, in which countries sharing borders negotiate at the bilateral level. This is because for REPMS to work effectively, the problems occurring throughout the whole transit corridor must be addressed. Having a good system at one entry point will not help as delays will still come along the corridor due to poor road networks, roadblocks, and other entry points lacking a harmonised approach.

In conclusion, the study has exposed the link that exists between REPMS, RI and trade facilitation. When looking at state security, there is a need to take a holistic approach that cascades down to the individual person. The traditional approach entails looking at security as fending off threats coming from outside, but this no longer holds when looking at securing all aspects of human survival. At entry points the interdependent nature of countries is brought to the fore; countries need to work together more in this area for the good of others. To ensure the security in the collection of revenue and in the trade transaction costs states need to address the movement of people and cargo through revolutionising REPMS. There is also need to put in place change management mechanisms, as all efforts will be in vain if the implementers are not well prepared to embrace any change that can be proposed. Resistance to change is something that can lead to the perpetual transfer of NTBs specific to TSBPs, such as the repetition of procedures to the OSBP systems as the implementers will not be having the correct mindset.

## 8.5 Policy implications

As mentioned in the development of this thesis, this work aimed to contribute to trade facilitation, REPMS, RI and international relations policy processes. The policy process entails, among other things, policy formulation, which involves the generation of options for dealing with a public

problem (Turnpenny et al., 2015, p. 4). This thesis fits into the category of unofficial inputs in the policy process because, as mentioned, it is purely an academic work that is not sanctioned by any organisation. In the forthcoming sub-sections, the policy issues that emerged in this study will be presented, which many stakeholders might be interested in. These include, but are not limited to, revenue officials, industry players, SMEs, tourism players, RI enthusiasts, and researchers and students in various fields of public governance, international relations and global political economy.

#### 8.5.1 Strategic human power development programmes

The occurrence of some NTBs in areas where they are not supposed to be is linked to the human factor at REP. Several stakeholders in the REPMS are physically present at the REP, while some do not have a physical presence at the entry points but do have a remote influence on, and interest in, all that transpires at a REP. All these people come with individual attitudes, targets, opinions and missions, and it is these varying components of human resources that have been identified as introducing some conflicting applications of policies. Eventually, NTBs have occurred in unlikely areas, even in some harmonised systems. As such, there is a need for strategic manpower development programmes to be created in order to prepare human resources for the technical aspects of new systems, as well as to prepare them mentally to accept changes in the system.

There is also a need to develop a common operational guide for countries and stakeholders sharing borders. This will help to reduce conflicting interpretations and applications of the rules and regulations. Preparing employees to accept changes introduced into the system will also help to reduce resistance. There are several causes for resistance, but they mostly revolve around a lack of proper knowledge about the implications of change; people normally look at the implications of change on their micro environments, i.e. themselves, their families and their organisations. This may prevent them from seeing any benefits, as some come at the macro level first, before cascading back to the micro levels. As such, schemes like revolutionising the might be viewed with pessimism, however an understanding of the implications of trade facilitation and the reduction in transaction costs on the general performance of economies would help people to appreciate such efforts. For this reason, it is critical to properly train all the strategic manpower in order to reduce the resistance to change, which may result in sabotage and low workforce moral, which are inimical to the embrace of developmental initiatives.

### 8.5.2 Utilisation of alternative transport to relieve roads

The pressure on entry points happens mostly due to the competition for space between people and cargo. The influx of cargo onto the roads must be monitored, as cargo such as non-perishable goods can be moved cheaply using the railways. Many raw materials cross borders in the region using the roads, and account for high volumes of the haulage trucks plying the main transit corridors in the region. The continued inattention to the international railway system means that what there is of the railway system is deteriorating, thus reviving and upgrading the system will be very expensive. Besides relieving pressure on the roads and REP, railway transportation is relatively cheap over long distances. This will also help with transaction cost reductions, which is the ultimate aim of alleviating REPMS problems. This can even start as a policy to deliberately force bulk non-perishables off the road; with time such transporters of bulk goods will comfortably accustom to using the railway, as the more goods find their way there, the cheaper the system will become due to demand and supply economies of scale.

### 8.5.3 Regional groupings membership delimitation

The state sovereignty and RI relationship has been established as having a negative correlation, i.e. the two are not working for the betterment of each other. The strengthening of one is seemingly leading to the weakening of the other, which has led not only to the weakening of regional groupings, but their multiplicity and memberships are also overlapping. As if this is not dire enough, even their policies sometimes overlap and sometimes contradict. As such, it becomes difficult to monitor the implementation and effectiveness of any region's initiatives and policies. In their sovereign nature, countries must make concerted efforts to delimit regional groups.

The current unchecked operation of states is mostly based on the ego of being sovereign, but the RI cycle is opposite to this. The failure to effectively attain regional groupings' set aims means that states will not be deriving benefits from their memberships. Since one of the reasons for failing to achieve the set aims identified herein is the divided attention that states give to matters like REPMS due to overlapping commitments from different regional groupings, this needs to be addressed. States must stop joining groupings for egoistic reasons; there should be significant rationale to warrant a membership, otherwise in their quest to exercise their boundless sovereignty, states are limiting their optimal enjoyment of state sovereignty.

#### 8.5.4 Practical implementation of inter-ministerial partnerships

Several inter-ministerial plans on REPMS and RI were identified in the researches that have not been effected, which has stalled progress in alleviating problems surrounding the movement of cargo and people. It is the duty of ministries to make follow ups and assess if the policies and initiatives they put down on paper are working. The attitude of putting the blame on the next ministry when failure has been identified will not help matters. Ministries and all other stakeholders need to periodically come together to evaluate progress; it is appalling that in some ministries there are policies developed in line with REPMS and trade facilitation that have never been implemented. Of course not all policies must be implemented, but there should be a justifiable reason when a policy is not.

Evidence shows that where more than one ministry is involved in a policy or project, the issue of ownership becomes the scapegoat; each ministry points to the next ministry when asked about who is responsible for a failed task, i.e. there is a lack of accountability. As such, it is the central government's duty to define their ministries' roles so that progress is made. With REPMS there are a lot of players in the debate, and the custodians of the infrastructure, which is the Ministry of Transport and Infrastructure Development in Zimbabwe, are not necessarily in control of the REPMS processes; these are managed by the Ministries of Industry and Commerce, Finance and Economic Development, among other key stakeholders. This means that at the policy level, even though it must be inter-ministerial, there is a need to identify the specific ministry in charge of the whole process. It is this ministry that must then take others to task if they do not perform their duties. The current scenario, in which each of the ministries displays some degree of autonomy, is unfavourable for progress, and will have the same consequences as those of state sovereignty discussed above.

#### 8.5.5 Infrastructure development sequence

There is need to understand the supremacy of soft infrastructure over hard infrastructure; soft infrastructure must come first and then inform the development of hard infrastructure. In the current REPMS study, problems arose in that the hard infrastructure developed did not allow for the optimum performance of the systems. This is why there have been calls for a redesign of several parts of the infrastructure, some of the road networks leading to borders, as well as the actual infrastructure at REP. These challenges are a result of 'putting the cart before the horse'.

At the regional level there is no consolidated policy on REPMS; the existing scenario in SADC is that countries are working on REPMS at the bilateral level. This is further evidence of the failure to

prioritise the development of the soft aspects of policies. Legislation is part of soft infrastructure, i.e. the absence of a regional legal framework on REPMS means that countries cannot be questioned as far as REPMS is concerned. Even though countries have displayed some concerns about the downside of the existing REPMS, nothing much can be done at the regional level to address it. This means that the final say remains with countries sharing borders. This will cause problems in that, as highlighted in other sections of the study, having one effective REPMS at one point will not be enough. For optimal results in the movement of goods and people, there must be a smooth flow throughout a transit corridor; it is no good alleviating problems at one entry point only to meet them at the next.

#### 8.5.6 Colonial legacies

Countries in the region are exploited by developed countries, and the effects of colonisation and apartheid are manifest in states' perceptions of peace, security and state sovereignty. The trade patterns show a worrisome pattern in which developing countries trade more with developed countries than with their fellow developing countries. This can be traced back to the colonisation and apartheid legacies, as the countries have inherited cultures, education systems and languages that have become ingrained in their systems. The way borders were drawn also still negatively impacts the trade patterns of most African countries. The brunt is felt most by the landlocked countries, as they have higher transportation costs than coastal countries. On the inverse, the coastal countries also find themselves depending on the landlocked countries for their transit shipments of cargo, i.e. all the countries are suffering from the effects of the way their borders were drawn. The borders, having been drawn in the interest of the colonisers, do not readily encourage the economic development and performance of developing countries.

#### 8.5.7 The AIKS wealth and relevance to contemporary systems

The study, through the literature review, established that Africa has a rich history tracing back to the pre-colonial era; there is evidence that Africa was developing very well in terms of trade patterns before colonisation. Africa, given the chance, had the potential to develop its own systems. Some problems that Africa suffers today existed during the pre-colonial era, however, including problems of monetary exchanges, social vices associated with the movement of people, and a scarcity of resources in some regions. The solutions used in pre-colonial Africa still prove relevant to solving some of today's problems; the AIKS offer solutions that are more relevant to Africa as it understands Africa in its unadulterated form. These are ideas that had the interests of Africa at the fore, unlike

emerging ideas that are skewed in favour of the former colonisers to perpetuate their continued influence on the developing countries.

#### 8.5.8 The preferred regional integration and development approach

Of the two approaches, the ‘piecemeal’ and the ‘holistic’, neither has prevailed as the best approach as both have weaknesses. The ‘piecemeal’ approach is associated with autonomy and state sovereignty; the functional areas enjoy independence from the others. It is this autonomy that comes with problems however, as speed and urgency is ignored. Projects to address REPMS take ages to take-off because the players at the ministry, country and regional levels act independently of each other. However, this approach has been popular in as far as ensuring safeguards is concerned. This is when doing things like harmonisation and systems transitions are done incrementally, such that if errors occur they can be easily reversed as the consequences will affect just some sections of the system. The other approach entails the wholesale change of the system in which all developments and changes are done at once. This approach has its advantages in that it allows for compatibility. When it comes to the ICT interface, this is the best approach; when countries and organisations utilise different ICT systems, interfacing those systems becomes very difficult. To solve the problems at REP, there might be a need to adopt this “holistic” approach and introduce any new systems at one time. However, this system is inevitably very expensive and also has risks.

This study thus concludes that there are areas that need the “piecemeal approach” and areas that need the “holistic” approach; a mix of the two will ensure that timeframes can be set out. Individual countries and ministries should be allocated their duties as functional tasks as recommended under the “piecemeal” approach, but a holistic approach must then be taken to implement these specialised tasks. The functional tasks will come together like pieces of a puzzle for the good of the whole, in a set timeframe.

### 8.6 Recommendations

Having presented the policy implications in the foregoing section, recommendations will now be presented in a tabulated format.



### 8.6.1 Road entry points specific recommendations

These are recommendations that focus on the way REP are functioning on the REP or border points in SADC.

Table 8-2 Road entry points specific recommendations

Road Entry Point Constraint	Road Entry Point Activity
The mixing of outward bound and inward bound cargo	Separate traffic physically. This will ensure that traffic does not mix, which leads to corrupt transit frauds, confusion and delays
Border agencies operate optimum capacity	Implement BEMS. These will help in improving efficiency as there will be clear stipulations on standards and targets
The working environment not conducive	Install environment enhancing infrastructure like air conditioning facilities to ensure that the working environments is fit for human habitation
Agencies located away from each other and sometimes away from the border	There is need to house related agencies under one roof or within reasonable proximity. This will reduce time losses moving from office to office

Source: Author

### 8.6.2 Ministerial operations and REPMS recommendations

Various ministries are involved in REPMS operations, including those involved in revenue collection, animal and plant quarantine, transportation and vehicle inspections, immigration and security, among others. The following recommendations would help improve their operations.

Table 8-3 Ministerial operations and REPMS recommendations

Ministerial Constraint	Ministerial Activity
Incompetent staff not effectively implementing policies	There is a need for continuous staff development to ensure that they remain abreast of technological advancements. The manpower also needs training in their approaches to everyday REPMS and RI policies.
Elitist nature of policies such that SMEs cannot be accommodated	There is need to customise policies to match differing levels of traders' capacities. Having policies that support only big establishments will stifle the coming on board of the SMEs. A staggered policy approach will help SMEs to gradually move up the ladder and eventually become fully-fledged establishments
Ministerial red tape	Make systems user friendly by streamlining organisational protocols and procedures
Duplicity of procedures	Harmonisation and interface such that one can access several ministries' regulations under 'one-shop'.
High number of documents for completion	
Conflicting standards from ministry to ministry	
Multiplicity of players at entry points	

Source: Author

The above recommendations will help ease the process of getting into business. The findings from the SMEs showed that most end up using illegal means to import and export goods due to the complexity of formalising their systems. All the SMEs appreciate that there are dangers associated with illegal operations, but as long as the costs of making their operations formal are so high, they have no viable alternative. In addition, the governments of the affected countries lose out on revenue inflows.

### 8.6.3 Countries; operations and REPMS recommendations

The literature has shown that SADC countries are wary about challenges coming from NTBs, thus all of them have made efforts to alleviate these problems in different capacities. Some efforts have been actioned, however most remain theoretical.

Table 8-4 Countries' operations and REPMS recommendations

Country Constraint	Country Activity
Poor road network such that effort to alleviate delays at entry points are offset by delays in transit	Countries must make a concerted effort to develop the infrastructure on transit corridors. The development of transit freeways in all countries is desirable. Though expensive, a gradual development of such roads will make it possible. Countries must not assume the 'once-off' approach in this task as it will not only prove expensive but also demoralise psychologically.
Security roadblocks delays	Countries must embrace hands-free security scanning devices to ensure that there is no physical stoppage of traffic. The installation of automatic speed monitors will be more effective in place of police manned speed roadblocks. These will automatically bill someone for traffic law violations.

Source: Author

### 8.6.4 Recommendations for regional integration

The SADC region is setting out the main RI plan for its member countries. As such, it is up to SADC to ensure that the member countries' policies are consistent with the target to realise the total integration aim. This means that member countries must empower the organisation effectively so that it can work optimally. This, as discussed in earlier sections, will be determined by the extent to which countries agree to redefine state sovereignty. In the absence of a redefinition of state sovereignty and state security, the problems impeding total integration listed in the literature will continue to trouble the region.

Table 8-5 Recommendations for regional integration

Regional Integration Constraint	Regional Integration Activity
Absence of region-specific legislation on REPMS as currently they are being implemented at bilateral level.	There is need to formulate a regional approach to REPMS. This approach of having it done at bilateral level leaves the region outside the plan as there will be no basis for monitoring and evaluating progress. Countries will also get entangled in bilateral politics that can stall progress if the involved countries have differences.
The gradual approach to RI that need speed	There is need to speed up integration of key facets like the soft infrastructure. Having countries moving at differing paces is unfavourable to development.
Regional groupings overlap	At summit level, regional groupings must adopt a membership delineation approach that restricts overlaps
Delayed realisation of total integration on REPMS	Adopt the OSBP on all REP.

Source: Author

The countries and peoples of the SADC region, as well as developing countries in general, need to take lessons from the AIKS, as this is a rich resource that can help Africa as it taps information from periods when ideas were developed in the interests of the indigenes. AIKS is a reliable source of advice for developing countries that is not biased in favour of the developed countries. In so doing, developing countries can develop custom solutions to their problems, which will help to fend off the colonial legacies that still perpetuate.

### 8.7 New knowledge: The Regimented-Structured integration model

This study, as presented in the foregoing chapters, established that neither of the existing approaches to integration can best be recommended for the SADC region. It has been proven that the ‘piecemeal’ approach has weaknesses in that by allowing a gradual approach, it does not offer any measures to ensure that participating parties meet deadlines. This is untenable, especially when working with countries with such wide and varied backgrounds. It has also been established that the ‘holistic’ approach, as coming from the modernisation theory, falls short in that it comes with a roadmap for countries to follow taking a leaf from the way European countries developed. This, however, will not work optimally in African countries, as these countries are not as homogenous as the European countries were. African countries, due to the interaction they had with colonisation and apartheid, have different cultures and approaches. As such, a new model, the Regimented-Structured integration model, is recommended in order to achieve the objectives set out by SADC and this study.

The model proposes that countries follow an integration path that is done in sections, following a prearranged format. This means that countries need to address REPMS following a format that can be instituted at the summit level through a multilateral policy, rather than the existing scenario whereby the policy is formulated at the bilateral level. This works through strengthening countries' sovereignty through limiting countries' sovereignty. This will happen because once the formulation is done at the summit level; all the members will be empowered because they will be without personalised conditions. The unchecked sovereignty of states is evidently manifest when negotiations are done at bilateral levels.

Once a policy is formulated, states can then implement it in a guided manner following an incremental method. This will allow for the introduction of timeframes as the formula will be prearranged. It is also advantageous in that it allows for the identification of areas in need of reinforcement intervention, because progress can easily be checked against set timeframes and targets.

This model will work for SADC countries as it solves the delays that characterise the bilateral policy formulation; the study established that this has been a major stalling point in the adoption of the OSBP system. When states negotiate at the bilateral level it is difficult to avoid the issues of power politics that come with each being a sovereign state. However, if this is done at the summit level, the states' autonomy is limited. This model would be relevant to other parts of the world where countries are seeking to find a tenable way to recognise the impact of their heterogeneity, whilst at the same time committing to meeting targets and making progress. This has been evidently lacking, especially in the SADC region, because everything else that is needed to revolutionise the existing REPMS is in place but nothing has materialised. This shows that the approaches that the region is following have flaws that can be addressed if the approach recommended herein is implemented. Nevertheless, this is a model that needs to be piloted and further developed.

## 8.8 Significance to the body of knowledge on RI, REPMS and NTBs

The study has added weight to the views that the impediments to regionalism can manifest in small things. This is because, as the study has shown, the choice of a REPMS to use might seem as a peripheral issue but is of great importance to the movement of goods and people. The existing REPMS in use in SADC; the OSBP and TSBP, have been evaluated bringing out the advantages and disadvantages of each. This can help in improving the performance of these systems whenever they

are in use. The study also contributes to the body of knowledge that have dealt with both REPMS in practical use in SADC. This is because most studies existing in this area were carried out before the implementation of the OSBP system in SADC. Now that the OSBP system is in use, this study is adding to the practical understanding having studied the two systems *in situ* in SADC.

Through the use of opposite theories to formulate possible regional integration approaches; the piecemeal and the holistic, the study informs policy makers on the merits and demerits of either of the approaches. This is because countries need such information to know the speed with which they should move at in addressing various aspects involved in RI and REPMS. The piecemeal approach being gradual have advantages of giving room for integrating areas of low politics first before moving to areas of high politics. This study helps countries in the identification of areas that can qualify as low politics when dealing with REPMS. These are areas, as indicated in the findings, such as manpower development programmes. Once that has happens countries can then move to areas of high politics. These are areas like complete harmonisation of regulations as they would have laid a foundation by ensuring that the involved manpower to implement the policies will be having similar understanding and capacities gained from the shared manpower development initiatives.

In the area of people's perceptions the study, in the literature review section, have exposed that the perceptions that people hold towards an initiative have an implication on its success or failure. As such, the study sought to change the existing perceptions of people on state security as they impact negatively on REPMS and RI in SADC. The general perceptions to state security as reflected by states behaviour have been found to be realist perceptions. The study, however, shows that such perceptions are no longer in tandem with the emerging security threats in the international system. The security threats nowadays need a redefinition of state sovereignty and re-evaluation of its value *vis a vis* the contemporary security demands. The study's findings point to the need for a holistic approach that defines state security encompassing all the facets of human survival. Such definitions will change the way people perceive borders as the hallmarks of states sovereignty. That can help shift the understanding to embrace the attitude of working together. Working together will help in bringing complete RI and state security as all facets of the countries will be addressed without dogmatic revering of the traditionally defined emblems of state security.

This REPMS also falls under the trade facilitation studies. This is also an attempt to add to the body of knowledge of changing states' perceptions of RI issues. The study shows that a lot of policies have been put at bilateral or multilateral level to facilitate trade. However, the missing link seems to be on the actual movement of goods. That is why, through this study, the researcher have brought out

the palpable link between the soft and hard infrastructure at REP. This will help those working on REPMS to make their priorities from an informed position. The knowledge herein reveals that most policy makers have been void of that understanding of the link between the two. This is the reason some hard infrastructure has been set up only to fail to alleviate the movement of goods and people problems. It means in terms of trade facilitation there is need to take notes from this study and bring together the hard and soft infrastructure from the onset of REPMS and RI initiatives.

The study has also paid particular attention to the issue of NTBs. This is because TB has had a better share of attention probably because they quickly reflect in monetary terms. People seem to quickly appreciate a barrier to trade when it comes in conventional monetary charges. However, this study adds knowledge to the understanding of the NTBs. The findings both from literature and primary data have exposed that a lot of time is lost due to NTBs. The study has shows that delays are rife at entry points due to REPMS in place and human factors. These have also been shows to translate into increased costs of doing business. As such, the study has exposed the brunt of REPMS on the trade performance of variously located countries due to the NTBs they encounter. The landlocked countries in SADC have been found to suffer the most from the effects of NTBs. The study then goes on to also show that it is not the landlocked countries that suffer the effects of the NTBs as the interdependent nature of states is brought out especially in the literature review section. Therefore, this study adds voice to the calls to expedite the work on removing NTBs associated with REPMS as they increase the cost of doing business and also slow down RI efforts.

The study have also, though literature review, brought out the need to look for solutions to the currents RI and REPMS problems in Africa's history and indigenous systems. By bringing AIKS into the picture the study shows the need for policy makers to take cognisance of the African way of managing movement of goods and people. There is evidence of the use of couriers systems dating back in history. There is needed to look into the principles that guided the operation of such facilities before the introduction of modern courier facilities. There is evidence also pointing to the existence of extensive intra-African long distance trade dating back in history. This point to the existence of regional patterns in Africa long before the coming of the colonial and apartheid systems. This study calls for attention to be given in exploring this AIKS so that policy makers can come up with the best REPMS and RI strategies that conform to the region's inert characteristics whilst addressing the contemporary REPMS and RI problems.

### 8.9 Recommendations for further studies

This study, as shown in the conclusions and recommendations above, has covered a lot in the areas of REPMS, RI and state sovereignty. However, due to a lot of underlying aspects like the study sample, further research is necessary. This study was limited to Zimbabwe and the entry points on its territorial borders, and the ministry officials interviewed were also from Zimbabwean ministries. It would be ideal for future researchers to look at this same topic in the context of all entry point management systems, including rail, airports, and sea, as well as other SADC member countries. These are areas that feed into and are also fed by roads, so a broad study taking all those areas into account would provide a more comprehensive understanding of the movement of people and cargo in the SADC region.

There is also need for a study to establish the underlying benefits of each regional grouping accruing to members. This might answer the question regarding why some states join many groupings while others are in just a few. This information could also help to address the issue of regional groupings overlaps, and may point towards the development of more comprehensive regional grouping initiatives to address the current membership overlaps, policy duplications and conflicts.

A comprehensive look at within case differences is also another area in need of attention. This study established that of the three entry points using TSBPs, differences in terms of the flow of goods and the clearance times existed. Under normal circumstances, entry points using the same REPMS must perform in a similar manner. The existing differences point to the need to look at the bilateral arrangements in place for countries sharing borders; these are measures that countries sharing borders have adopted for a specific entry point that they share. This will help to establish the measures that are yielding better results. The good measures can then be incorporated into the hybrid custom measures, which SADC can present for adoption at the multilateral level.

### 8.10 Chapter Conclusion

By presenting a summary, conclusions, policy implications and recommendations, this chapter has marked the end of this thesis. These have been presented to bring out the meanings that the researcher understands due to the work of this research as well as inputs into the body of knowledge that can be explored by REPMS policy makers. The chapters' summary given at the beginning of this chapter help to bring out the basic issues addressed in each chapter. As such, this chapter can stand alone as a comprehensive summary of the whole thesis.

## Appendix 1: References

**Primary Sources**

Raw Research data: 12 Interviews, 124 SSPAQ and 254 SSRAQ

Researchers' fieldwork diary

**Secondary Sources**1. Books

Abbot, K. W., and Snidal, D. 2004. Pathways to international cooperation, in, Benvenisti, E and Hirsch, M (ed), *The Impact of International Law on International Cooperation. Theoretical Perspectives*, Cambridge: Cambridge University Press, 50-84.

Almond, G. A., and Verba, S. 1989. *The Civic Culture, Political Attitudes and Democracy in Five Nations*, New York: Sage Publications.

Babbie, E. 2002. *The Basics of Social Research*, New York: Wadsworth Group.

Beausang, F. 2012. *Globalisation and the BRICs: Why the BRICs will not rule the world for long*, Winchester: Palgrave MacMillan.

Bhaksar, R. 1975. *A Realist Theory of Science*. Leeds: Leeds Books.

Bhaksar, R. 1975. *A Realist Theory of Science. With a New Introduction*, New York: Routledge.

Bhaksar, R. 1989. *Reclaiming Reality: A Critical Introduction to Contemporary Philosophy*, London: Verso.

Bohene-Osafo, C. 2003. Enhancing Trade and Transport Facilitation in Africa, in: *Developing Countries in United Nations Economic Commission for Europe. Sharing the Gains of Globalization in the New Security Environment*. New York: United Nations, 105-114.

Bozyk, P. 2006. *Globalization and the Transformation of Foreign Economic Policy*, Burlington: Ashgate.

Brace, L. 2004. *Questionnaire Design. How to plan, structure and write survey material for effective market research.*, London: Kogan Page Limited.

Brannon, R. 2009. *Russian Civil-Military Relations*, Burlington: Ashgate.



Brewer, K., and Greigore, T. G. 2009. *Introduction to Survey Sampling*, in: D. Pfefferman, D. and Rao, C. R. (eds). *Handbook of Statistics. Sample Surveys: Design, Method and Applications*, Vol 29a, Amsterdam: Elsevier 3-37.

Brouwer, E. 2008. *Digital Borders and Real Rights Effective Remedies for Third-Country Nationals in the Schengen Information System*, Boston: Martinus Nijhoff Publishers.

Brown, B. B. 2002. *Easy Step by Step Guide to Managing Change*, London: Rowmark.

Brown, C. and Ainley, K. 2005. *Understanding International Relations*, New York: Palgrave MacMillan.

Bryman, A. 2008. *Social Research Methods*, 3<sup>rd</sup> edition, New York, Oxford University Press Inc.

Buzan, B. And Hansen, L. 2007. *International Security*, London: Sage.

Buzan, B., Waevar, O. and deWilde, J. 1998. *Security: A new Framework for Analysis*, Boulder: Lynne Rienner Publishers.

Cadot, O., Maliszewska, M., and Saez, S. 2011. Non Tariff Measures: Impact, Regulation and Trade Facilitation, in: McLinden, G., Fanta, E., Widdowson, D et al.. (eds). *Border Management Modernization*, Washington: The World Bank, 215-230.

Cameron, F. 2005. *US Foreign Policy After the Cold War. Global Hegemon or Reluctant Sheriff*, London: Routledge.

Chirathivat, S. 2008. ASEAN's role and interests in the formation of East Asian Economic Regionalism, in: Welfens, P. J. J., Knipping, F., and Chirathivat, S. (eds), *Integration in Asia and Europe Historical Dynamics, Political Issues and Economic Perspectives*, New York: Springer, 79-104.

Cooper, J. 2010. From Functionalism to Neo Functionalism, in: Mathew, C. (ed), *Theories of International Relations*, New York: MacMillan, 500-560.

Covell, C. 2004. *Hobbes, Realism and The Tradition of International Law*, Melbourne, Palgrave MacMillan.

Creswell, J. W. 2007. *Research Design: Qualitative, Quantitative and Mixed Methods Approaches*, London: Sage.

- Creswell, J. W., and Plano, C. 2007. *Designing and Conducting Mixed Methods Research*, CA: Thousand Oaks.
- Diez, T., Bode, I., and Da Costa, A. F. 2011. *Key Concepts in International Relations*, London: Sage.
- Doyle, T. 2011. The Future of Border Management, in: McLinden, G., Fanta, E., Widdowson, D., *et al.*(eds), *Border Management Modernization*, Washington: The World Bank, pp 11-22.
- Edmondson, D. R. 2005. Likert scales: A history, *Charm* , pp 127-133.
- Fraser, M. W., Richman, J. M., Galinsky, J M., *et al.* 2009. *Intervention Research: Developing Social Programs*, New York: Oxford University Press.
- Galbreath, D. 2008. International Regimes and Organisations, in: Salmon, T. C., and Imber, M. F. (eds), *Issues in International Relations*, London, Routledge, 121-135.
- Gaubatz, K.T. 2007. Democratic States and Commitment in International Relations, in: Simmons, B. A., and Steinberg, R. H. (eds), *International Law and International Relations*, London: Cambridge University press, 43-64.
- Gillham, B. 2000. *Case Study Research Methods*, New York: Continuum.
- Gillham, B. 2005. *Research Interviewing: The Range of Techniques*, Berkshire: Open University Press.
- Gilpin, R. 2001. *Global Political Economy. Understanding the International Economic Order*, Princeton: Princeton University Press.
- Guba, E. G., and Lincoln, Y. S. 1994. Competing Paradigms in Qualitative Research, in: Denzin, N. K., and Lincoln, Y. S. (eds), *Handbook of Qualitative Research*, New York: Sage, pp 105-117.
- Hair Jr., J. F, Wolfinbarger, M. F, Ortinau, D. J, and Bush, R. P. 2008. *Essentials of Marketing Research*, New York: McGraw-Hill/ Irwin.
- Hanson, D. 2010. *Limits to Trade: Non Tariff Barriers to Trade in the European Union, Japan and the United States*, Cheltenham: Edward Elgar Publishing Limited.
- Hantrais, L. 2009. *International Comparative Research: Theory, Methods and Practise*, London: Palgrave.

Hengari, T. A., and Saunders, C .2014. Unequal but Intertwined: Namibia's Bilateral Relationship with South Africa, in: Bosl, A., Pisani, A., and Zaire, D. U. (eds), *Namibia's Foreign Relations. Historic Contexts, Current Dimensions and Perspectives for the 21st Century*, Windhoek: Konrad Adenauer Foundation, 169-180.

Hewitt, A., and Gillson, I. 2003. Income Distribution Impact of Trade Facilitation in Developing Countries, in: UNECFE, *Sharing the Gains of Globalisation in the New Security Environment: The Challenges to Trade Facilitation*, New York: United Nations, 73-104.

Hoffman, J. 2007. *A Glossary of Political Theory*, Edinburgh: Edinburgh University Press.

Holden, M. 2001. Is a Free Trade Agreement the Answer for Southern Africa? Insights from Development Economic Theory, in: Vale, P., Swatuk, L. A., and Oden, B. (eds), *Theory, Change and Southern Africa's Future*, New York: Palgrave, 148-165.

Hox, J. J., and Boeije, H. R. 2005. Data Collection. Primary vs Secondary, in: Kempf-Leonard, K. (ed), *Encyclopedia of Social Measurement*, San Diego CA: Academic Press, 593-598.

Hufbauer, G. C., and Schott, J. J. 2005. NAFTA Revisited. Achievements and Challenges, Washington DC: Institute for International Economics.

Jenkins, D., and McLinden, G. 2011. Managing Organizational Change in Border Management Reform, in: McLinden, G., Fanta, E., Widdowson, D., et al. (eds), *Border Management Modernization*, Washington DC: The World Bank, 197-124.

Jones, W. S .1991. *The Logic of International Relations*, New York: Harper Collins.

Karanja, S. K. 2008. *Transparency and Proportionality in the Schengen Information Systems and Border Control Cooperation*, Boston: Martinus Nijhoff Publishers.

Kieck, E., and Maur, J. C. 2011. Regional Integration and Customs Unions, in: McLinden, G., Fanta, E., Widdowson, D., et al. (eds), *Border Management Modernization*, Washington DC: The World Bank, 231-250.

Kiel, R. L. 1977. Regional Integration and Cooperation in Africa: A History of Disappointments?, *Intereconomics*, pp 257-262.

Lahav, G. 2004. *Immigration and Politics in the New Europe*, New York,: Cambridge University Press.

- Lane, J. 2008. *The Juggernaut of the 21<sup>st</sup> Century*, New York: Ashgate.
- Lee, S. H. 2006. Constructing Effective Questionnaire, in: Pershing, J. (ed), *Handibook of Human Perfomance and Technology: Principles, Practises and Potential*, New York: John Willey & Sons, 760-780.
- Leedy, P. D., and Ormrod, J. E. 2010. *Practical Research: Planning and Design*, New Jersey: Upper Saddle River.
- Legum, C. 1965. *Pan-Africanism: A Short Political Guide*, Revised Edition, London: Frederick A. Praeger Publishers.
- Li, Y., McLinden, G., and Wilson, J. S. 2011. 'Building a Convincing Business Case for Border management reform, in: McLinden, G., Fanta, E., Widdowson, D., *et al.*(eds), *Border Management Mordenization*, Washington DC: The World Bank, 79-94.
- Lignelli, P. R. 2007. *Trade Barriers in Europe*, New York: Nova Science Publishers.
- Likert, R. 1932. A Technique for the Measurement of Attitudes, *Archives of Psychology*, 140 pp 5-55.
- Lohr, S. L. 2009. Sampling and Survey Design, Vol. 29, in: Pfefferman, D., and Rao, C. R. (eds), *Handibook of Statistics. Sample Surveys, Design Method and Applications*, Amsterdam: Elsevier, pp 3-6.
- Lowe, D. 2010. *The Transport Managers and Operator's Handbook*, vol40, London: Kogan.
- Madani, K., Zarezadeh, M., and Morid, S. 2014. *A new Framework for resolving conflicts over transboundary rivers using bankruptcy methods*, London: Copernicus Publications.
- Maoz, Z. 2005. Domestic Politics of Regional Security: Theoretical Perspectives and Middle East Patterns, in: Landau, E. B., Malz, T. T., and Maoz, M. Z. (eds), *Building Regional Security in the Middle East: Domestic, Regional and International Influences*, London: Routledge, 20-50.
- Marquette, H. 2003. *Corruption, Politics and Development. The Role of the World Bank*, New York: Palgrave MacMillan.
- Mattli, W. 1999. *The Logic of Regional Integration: Europe and Beyond*, Cambridge: Cambridge University Press.
- Matusitz, J. 2013. *Terrorism and Communication. A critical Introduction*, Florida: Sage Publication.

- McGowan, F. 2004. Globalisation, Regional Integration and The State, in: Shaw, M. (ed), *Politics and Globalisation. Knowledge, Ethics and Agency*, New York: Routledge, 55-70.
- McMillan, J. H. 1996. *Educational Research Fundamentals for the Consumer*, 2nd Edition, New York: Harper Collins Publishers.
- Michalopoulos, A., and Papaioannou, E. 2011. *The Long-Run Effects of the Scramble for Africa*, Cambridge: National Bureau of Economic Research.
- Mitrany, D. 1975. *The Functional Theory of Politics*, London: Martin Robertson.
- Moser, C. O. N. 1993. *Gender Planning and Development. Theory, Practice and Training*, London: Routledge.
- Musta, M. A. 2011. Border Management Modernization, and the Trade Supply Chain, in: McLinden, G., Fanta, E., Widdowson, D., et al. (eds), *Border Management Modernization*, Washington DC: The World Bank, 23-36.
- Mwanawina, I. 2007. *Zambia's Economic Policies in Line with SADC Targets. Regional Integration in SADC. Deepening Integration in SADC*, Gaborone: Freidrech Ebert Foundation.
- Nau, H. R. 2012. *Perspectives on International Relations. Power Institutions Ideas*, 3rd Edition, Washington DC: CQ Press.
- Nicholson, M. 2004. How Novel is Globalisation?, in Shaw, M. (ed), *Politics and Globalisation. Knowledge, Ethics and Agency*, London: Routledge, 23-34.
- Nueman, W. L. 2006. *Social Research Methods: Qualitative and Quantitative Approaches*, 6th Edition, New York: Pearson Education.
- Panic, M. 2011. *Globalization. A threat to International Cooperation and Peace*, 2<sup>nd</sup> Edition, New York: Palgrave MacMillan.
- Pelaez, C. M., and Pelaez, C. A. 2008. *Globalisation and the State: Trade Agreements, Inequality, the Environment, Financial Globalisation, International Law and Vulnerabilities*, Vol. 2, London: MacMillan.
- Pershing, J. L. 2006. A Commentary on Quantitative and Qualitative Methods. Myths and Realities, in: Pershing, J. (ed), *Handbook of Human Performance and Technology Principles, Practices and Potential*, New York: John Willey and Sons, 745-759.

Pitcher, M., A. 2002. *Transforming Mozambique. The Politics of Privatization: 1975-2000*, New York: Cambridge University Press.

Poku, N. 2001. *Regionalization and Security in Southern Africa*, New York: Palgrave.

Rabe-Hesketh, S., and Everitt, B. 2004. *A Handbook of Statistical Analysis using Stata*, 3rd Edition, Cleveland: CRC Press LLC.

Raffo, V., Sriram, C., L, Spiro., *et al.* 2007. International Law and International Politics. Old Divides New, Developments, in: Biersteker, T. J., Spiro, P. J., Sriram, C. L., *et al.* (eds), *International Law and International Relations: Bridging Theory and Practice*, London: Routledge, 1-23.

Rivera, M. M., and Roela, V. R. 2007. *Practical Guide to Thesis and Dissertation Writing*, New Delhi: Katha Publishing.

Roland, W., Tietje, S., and Tietje, O. 2002. *Embedded Case Study Methods. types of Case Studies*, Thousand Oakes: Sage.

Rosamond, B. 2000. *Theories of European Integration*, Basingstoke: Palgrave MacMillan.

Roskin, M. G., Cord. L., Medeiros, J. A., *et al.* 2006. *Political Science: An Introduction*, New Jersey: Prentice Hall.

Saunders, H. H. 2005. *Politics is About Relationship. A Blueprint for the Citizens' Century*, New York: Palgrave MacMillan.

Sayer, A. 1992. *Method in Social Science: A Realist Approach*, 2<sup>nd</sup> Edition, London: Routledge.

Schell, C. 1992. *The Value of the Case Study as a Research Strategy*, Manchester: Manchester Business School.

Schirato, T., and Webb, J. 2003. *Understanding Globalization*, New York: Sage.

Shaw, M N. 2008. *International Law*, 6th Edition, New York: Cambridge University Press.

Simmons, B. A., and Steinberg, R. H. 2006. *International Law and International Relations*, New York: Cambridge University Press.

Siniscalco, M. T., and Auriat, N. 2005. *Questionnaire Design Module*, Paris: UNESCO International Institute of Educational Planning.

Slaughter, A. 2011. International Relations. Principal Theories, in: Wolfrum, R. (ed), *Max Planck Encyclopedia of Public International Law*, Oxford: Oxford University Press.

Soderbaum, F. 2004. *The Political Economy of Regionalism: The Case of Southern Africa*, London: Palgrave MacMillan.

Steans, J., Pettiford, L., and Diez, T. 2005. *Introduction to International Relations. Perspectives and Themes*, 2nd Edition, New Jersey: Prentice Hall.

Stommel, M., and Wills, C. 2004. *Clinical Research: Concepts and Principles for Advanced Practice Nurses*. Baltimore: Williams & Wilkins.

Thirkell-White, B. 2008. Globalization and Development, in: Salmon, T C., and Imber, M. F. (ed), *Issues in International Relations*, New York: Routledge, 136-152.

Thomson, A. 2004. *An Introduction to African Politics*, 2nd Edition, London: Routledge.

Titeca, K., and Kimanuka, C. 2012. *Walking in the Dark: Informal Cross Border Trade in the Great Lakes Region*, Geneva: International Alert.

Todd, P. 2016. *Principles of the Carriage of Goods by Sea*, New York: Routledge.

Trebilcock, M. J. 1995. *The Regulation of International Trade*, 2<sup>nd</sup> Edition, London: Routledge.

Turnpenny, J R., Jordan, A. J., Benson, D., *et al.* 2015. The Tools of Policy Formulation: An Introduction, in: *The Tools of Policy Formulation: Actors, Capacities, Venues and Effects*, Massachusetts: Edward Elgar Publishing limited, 13-33.

Vale, P. 2001. Dissenting Tale: Southern Africa's Search for Theory, in: Swatuk, A. L and Oden, B. (eds), *Theory, Change and Southern Africa's Future*, New York: Palgrave, 17-33.

Van-Grasstek, C. 2013. *The History and Future of the World Trade organisation*. Geneva: WTO Publishers.

Vanzetti, D., Peters, R., and Knebel, C. 2014. Sand in the Wheels: Non-Tariff Measures and Regional Integration in SADC, *Policy Issues in International Trade Study Series*, New York: UNCTAD.

Waltz, K. N. 2008. *Realism and International Politics*, New York: Routledge.

Watson, A. 2008. Gender and other “Others”, in: Salmon, T. C., and Imber, M. F. (eds), *Issues in International Relations*, London: Routledge, 195-207.

Widdowson, D., and Holloway, S. 2011. Core Border Management Discipline: Risk Based Compliance Management, in: McLinden, G., Fanta, E., Widdowson, D., *et al.*(eds), *Border Management Modernization*, Washington DC: The World Bank, 95-114.

Wyllie, J. 2008. Force and Security, in: Salmon, T. C., and Imber, M. F. (eds), *Issues in International Relations*, London: Routledge, 74-88.

Yin, R. K. 2009. *Case Study Research: Design and Methods*, 4th Edition, London: Sage.

Zaiotti, R. 2011. *Cultures of Border Control. Schengen and the Evolution of European Frontiers*, Chicago: The University of Chicago Press.

Zampetti, A. B. 2006. *Fairness in the World Economy, US Perspectives on International Trade Relations*, Cheltenham: Edward Elgar Publishers.

Zarnowiecki, M. 2011. Borders, Their design and Their Operation, in: McLinden, G., Fanta, E., Widdowson, D., *et al.* (eds), *Border Management Modernization*, Washington DC: The World Bank, 37-78.

Zikmund, W. G., Babin, B. J., Carr, J. C., and Griffin, M. 2010. *Business Research Methods*, 8<sup>th</sup> edition, Australia: South Western Cengage Learning.

*Zimbabwe Constitution*. 2013. Harare: Government Publishers.

## 2. Journals

Alemazung, J. A. 2010. Post Colonial Colonialism: An Analysis of International Factors and Actors Marring African Socio-Economic and Political Development. *The Journal of Pan African Studies*, 3(10), pp 62-84.

Alhojailan, J. A. 2012. Thematic Analysis: A Critical Review of its Process and Evaluation, *West East Journal of Social Science*, 1(1), pp 39-47.

Amoo, S. K., and Skeffers, I. 2006. The Rule of Law in Namibia, in Horn, N., and Bosl, A. (eds), *Human Rights and Rule of Law in Namibia*, Windhoek: Konrad Adenauer Foundation, pp 17-38.

Barnet, M. 1990. High politics is low politics: The domestic and systemic sources of Israel security policy. 1967-1977, *World Politics*, 42(4), pp 530-564.



Basit, T. 2003. Manual or Electronic? The role of coding in qualitative data analysis, *Educational research*, 45(2), pp 143-154.

Basu, G. 2014. Combating illicit trade and transnational smuggling: key challenges for customs and border control agencies, *World Customs Journal*, 8 (2), pp 15-26.

Bedard, M., Molloy, W., Guyat, G, H., *et al.* 1998. Self administered and interviewer administered instruments for dementia research, *Clinical Gerontologist*. 19 (2), pp 25-35.

Bekhet, A. K., Johnson, N. L. and Zausziewski, J. A. 2012. Resilience in Family members of Persons with Autism Spectrum Disorder: A review of Literature, *Issues in Mental Health Nursing*, 33 (10), pp 650-656.

Benbasat, I., Goldstein, D. K. and Mead, M. 1987. The Case Research Strategy in Studies of Information Systems, *MIS Quartely*, 11 (3), pp 369-386.

Bergman, M. M., and Coxon, A. P. M. 2005. The Quality in Qualitative Methods, *Forum: Qualitative Social Research*, 6 (2), art 34.

Bernstein, H. 1971. Modernisation Theory and the Sociological Study of Development, *Journal of Development Studies*, 7 (2), pp 141-160.

Blake, M. E. 2003,. Use of matrices to facilitate qualitative analysis in poetry therapy, *Journal of poetry therapy*, 16 (2), pp 83-89.

Boo, S., and Froelicher, E. S. 2013. Secondary Data Analysis of National Survey Datasets, *Japan Journal of Nursing Science*, 10 (1), pp 130-135.

Bures, O. 2010. Eurojust's Fledging Counterterrorism role, *Journal of Contemporary European Research*, 6 (2), pp 236-256.

Buyonge, C. and Kireeva, I. 2008. Trade facilitation in Africa: Challenges and Possible Solutions, *World Customs Journal*, 2 (1), pp 41-54.

Carter, N., Bryant-Lukosius, D. D., Di Censo, A., *et al.* 2012. The Use of Triangulation in Qualitative Research: An Approach to Understanding Data' *Nurse Researcher*, 20 (2), pp 40-43.

Chenail, R. J. 2012. Conducting Qualitative Data Analysis: Reading Lin- by-Line, but Analysing by Meaningful Qualitative Units' *The Qualitative Report*, 17 (1), pp 266-269.

- Danemark, B. 2002. Interdisciplinary Research and Critical Realism: the example of Disability Research, *Journal of Critical Realism*, 5 (1), pp 56-64.
- Delice, A. 2010. The Sampling Issues in Quantitative Research, *Educational Sciences: Theory and Practice*, 10 (4), pp 2001-2018.
- Drost, E. A. 2011. Validity and Reliability in Social Science Research. *Education Research and Perspectives*, 38 (1), pp 105-123.
- Easton, G. 2010. Critical Realism in Case Study Research,' *Industrial Marketing Management*, 39 (1), pp 118-128.
- Essien, E. A. 2013. A Record of Regional Integration in West Africa, *Regional Integration Observer* 1 (2), pp1-19.
- Farrokhi, F., and Mahmoudi-Hamidabd, A. 2012. 'Rethinking Convenience Sampling: Defining Quality Criteria,' *Theory and Practice in Language Studies* 2 (4), pp 784-792.
- Gehring, T. 1996. Integrating Integration Theory: Neo Functionalism and International Regimes, *Global Society*, 10 (3), pp 225-253.
- Grainger, A. 2011. Developing the Case for Trade Facilitation, *World Customs Journal*, 5 (2), pp 65-76.
- Harvey, D. L. 2002. Agency and Community: A Critical Social Realist Paradigm, *Journal for the Theory of Social Behaviour*, 32 (2) pp 163-194.
- Holzner, M., and Peci, F. 2012. The Impact of Customs Procedures on Business Performance: Evidence from Kosovo, *World Customs Journal*, 6 (1), pp 17-29.
- Hove, M. 2012. The Debates and Impacts of Sanctions: The Zimbabwe Experience, *International Journal of Business and Social Science*, 3 (5), pp 72-84.
- Ingelhart, R., and Baker, W. E. 2000. Modernization, Cultural Change and the Persistence of Traditional Values, *American Sociological Review*, 6 (2), pp. 19-51.
- Jacob, S. A., and Furgerson, S. P. 2012. Writing Interview Protocols and Conducting Interviews: Tips for Students new to the Field of Qualitative Research, *The Qualitative Report*, 17 (6), pp 1-10.
- Jain, S. R. 2012. Coordinated Border Management: The Experience of Asia and the Pacific Region, *World Customs Journal*, 6 (1), pp 63-74.

Kaplan, R. M., Siebar, J., and Ganiats, T. G. 1997. The Quality of Well Being Scale: Comparison of the Interviewer-Administered Version with a Self-administered Questionnaire, *Psychology and Health*, 12 (6), pp 783-791.

Kassee, D. 2014. The WTO Agreement on Trade Facilitation: Status of Play in Southern African Customs, *World Customs Journal*, 8 (1), pp 101-111.

Kee, S. S. S., Tamrin, B. M., and Goh, Y. 2010. Driving Fatigue and Performance Among Occupational Drivers in Simulated Prolonged Driving, *Global Journal of Health Science* 2 (1) , pp 167-177.

Kimberlin, C. L., and Winterstein, A. G. 2008. Validity and Reliability of Measurement Instruments used in Research, *American Society of Health and System Pharmacists*, 65 (1), pp. 2276-2284.

Kircher, K., and Anderson, J. 2013. Truck Drivers' Opinion on Road Safety in Tanzania - A Questionnaire Study, *Traffic Injury Prevention*, 14 (1), pp 103-111.

Kousar, T., and Sohail, T. 2014. Occupational Role Stress and Health Related Quality of Life Among Secondary School Teachers, *Journal of Arts and Social Sciences*, 1 (1), pp 54-69.

Kozak, M. 2008. Finite and Infinite Populations in Biological Statistics: Should we Distinguish Them? *The Journal of American Science*, 4 (1), pp 59-62.

Kunst, M. 2014. The Link between ICT4D and Modernization Theory, *Global Media Journal*, 4 (2), pp. 1-22.

Matunhu, J. 2011. A Critique of Modernization and Dependency Theories in Africa: Critical Assessment, *African Journal of History and Culture*, 3 (5), pp 65-72.

McLellan, E., Macqueen, K. M., and Neidig, J. L. 2003. Beyond the Qualitative Interview. Data Preparation and Transcription, *Field Methods*, 15 (1), pp 63-84.

McLinden, G., and Durrani, A. Z. 2013. Corruption in Customs, *World Customs Journal*, 7 (2), pp 3-9.

Mergenthaler, E., and Stinson, C. H. 1992. Psychotherapy Transcription Standards, *Psychotherapy Research*, 2(2), pp 125-142.

Milner, C., Morrissey, O., and Rudaheranwa, N. 2000. Policy and Non Policy Barriers to Trade and Implicit Taxation of Exports in Uganda, *The Journal of Development Studies*, 37 (2), pp 67-90.

- Moga, T. L. 2009. The Contribution of Neo-Functionalist and Intergovernmentalist Theories to the Evolution of the European Integration Process, *Journal of Alternative Perspectives in the Social Sciences*, 1 (3), pp 796-807.
- Morrow, S. L. 2006. Quality and Trustworthiness in Qualitative Research in Counselling Psychology, *Journal of Counselling Psychology*, 52 (2), pp 250-260.
- Ndonga, D. 2013. Managing the Risk of Corruption in Customs Through The Single Window Systems, *World Customs Journal*, 7 (2), pp 23-37.
- Nunn, N. 2007. Historical Legacies: A model linking Africa's Past to Its Current Underdevelopment, *Journal of International Affairs*, 83 (1), pp157-175.
- Owuor, J. A. 2007. Integrating African Indigenous Knowledge in Kenya's Formal Education System: The Potential for Sustainable Development, *Journal of Contemporary Issues in Education*, 2 (2), pp 21-37.
- Ozen, C. 1998. Neo-Functionalism and The Change in the Dynamics of Turkey-EU relations, *Journal of International Affairs*, 3 (3), pp 34-57.
- Peteris, U. 2013. Reasons for Regional Integration and Why European Union Should Support it, *Regional Integration Observer*, 1 (2), pp 6-8.
- Polner, M. 2011. Coordinated Border Management: From Theory to Practice, *World Customs Journal*, 5 (2), pp 49-64.
- Pugliatti, L. 2011. Cloud Single Window: Legal Implications of a New Mode of Cross Border Single Window, *World Customs Journal*, 5 (2), pp 3-20.
- Risse, T. 2005. Neo-Functionalism, European Identity and The Puzzle of European Integration, *Journal of European Public Policy*, Special Issue, pp 291-305.
- Rowley, J. 2002. Using Case Studies in Research, *Management Research News*, 25 (1), pp 16-27.
- Sousa, F. J. 2010. Metatheories in Research: Positivism, Postmodernism and Critical Realism, *Relationships and Inter-firm Networks* 16, pp. 455-503.
- Thomson, S. B. 2011. Qualitative Research: Validity. *JOAAG* 6 (1), pp 1-9.
- Tipps, D. C. 1973. Modernization Theory and the Comparative Study of Societies: A Critical Perspective, *Comparative Studies in Society and History* 15 (2), pp. 199-226.

Tongco, M. D. C. 200., Purposive Sampling as a Tool for Informant Selection, *A Journal of Plants, People and Applied Research. Ethnobotany Research and Applications* 5 (1), pp 147-158.

Wikgren, M. 2005. Critical Realism as a Philosophy and Social Theory in Information, *Journal of Documentation Science* 61(1), pp 11-22.

Willmott, R. 1997. Structure, Culture and Agency: Rejecting the Current Orthodoxy of Organisation Theory, *Journal for the Theory of Social Behaviour* 27 (1), pp 93-123.

Wolffgang, H., and Kafeero, E. 2014. Legal Thoughts on How to Merge Trade Facilitation and Safety and Security, *World Customs Journal* 8 (1), pp 3-15.

Wucherpfennig, J., and Deutsch, F. 2009. Modernization and Democracy. Theories Revisited, *Living Reviews in Democracy*, 1, pp. 1-9.

Yeung, H. W. 1997. Critical Realism and Realist Research in Human Geography: A Method or a Philosophy in Search of a Method, *Progress in Human Geography*, 21 (1), pp 51-74.

### 3. Reports

Chipeta, C. 2006. *Regional Integrattion in Southern Africa. Deepening Integration in SADC: Can Malawi Meet the Challenges?* Gaborone: Freidrich Ebert Foundation.

Dallmayr, F. 1993. Modernization and Postmodernization: Theoretical Comments on India, *Working Paper* 195, Kellogg Institute for International Studies.

Kalaba, M., Willcox, O., Fundira, T., *et al.* 2006. *South Africa - SADC's Economic Engine, Deepening Integration in SADC*. Vol. 6, Gaborone: Freidrich Ebert Foundation.

Sambo, L., and Ubisse, A. 2006. *Rapid Changes in Mozambique to Meet SADC Targets. Regional Integration in Southern Africa. Deepening Integration in SADC*, Vol. 2, Gaborone: Freidrich Ebert Foundation.

Schade, K., and Matomola, M. 2006. *Namibia on Track to Meet SADC Targets, Regional Integration in Southern Africa. Deepening Integration in SADC*,. Vol. 4, Gaborone: Freidrich Ebert Foundation.

Tabengwa, G. G., and Salkin, J. 2006. *Botswana; A Benchmark for the Region. Regional Integration in Southern Africa, Deepening Integration in SADC*, Vol. 5, Gaborone: Freidrich Ebert Foundation.

United Nations. 2003. *Sharing the Gains of Globalization in the New Security Environment: The Challenges to Trade Facilitation*, Geneva: United Nations Publications.

Warren, D. M. 1991. *The Role of Indigenous Knowledge in Facilitating the Agricultural Extension Process*. Paper presented at International Workshop on Agricultural Knowledge Systems and the Role of Extension, Bad Boll, Germany, May 21-24, 1991.

Zwizwai, B. 2007. *Zimbabwe - Missing SADC Macroeconomic Targets. Regional Integration in Southern Africa. Deepening Integration in SADC*, Vol. 10, Gaborone; Freidrich Ebert Foundation.

#### 4. Websites

Barka, H, B. 2012. *Border Posts, Checkpoints and Intra African Trade Challenges and Solutions*. [Online]. Available at  
: [http://www.afdb.org/fileadmin/uploads/afdb/Documents/Publications/INTRA%20AFRICAN%20TRADE\\_INTRA%20AFRICAN%20TRADE.pdf](http://www.afdb.org/fileadmin/uploads/afdb/Documents/Publications/INTRA%20AFRICAN%20TRADE_INTRA%20AFRICAN%20TRADE.pdf) [Accessed 20 February 2015]

Barreiro, P. L., and Albandoz, J. P. 2001. *Population and Sample: Sampling Techniques*. [Online]. Available at: [http://optimierung.mathematik.uni-kl.de/mamausch/veroeffentlichungen/ver\\_texte/sampling\\_en.pdf](http://optimierung.mathematik.uni-kl.de/mamausch/veroeffentlichungen/ver_texte/sampling_en.pdf) [Accessed 10 March 2015]

Behar, A., Edward, L. 2011. How integrated is SADC? Trends in Intra-regional and extra-regional trade flows and policy. The world bank Development Research group,. [Online]. Available at: <https://openknowledge.worldbank.org/bitstream/handle/10986/3391/WPS5625.txt?sequence=2> [Accessed 1 February 2015]

Chaitezvi, C. 2011. *Presentation on IBM and OSBP to PROINVEST Capacity building training workshop*. [Online]. Available at:  
<http://www.trademarksa.org/sites/default/files/publications/Presentation%20%7C%20Integrated%20Border%20Management%20and%20One-Stop%20Border%20Posts%20%7C%20PROINVEST%20Capacity%20Building%20Workshop.pdf> [Accessed 1 February 2015]

Coughlin, C. C., Wood, G. E. 1989. *An Introduction to Non Tariff Barriers to Trade*. [Online]. Available at: [https://research.stlouisfed.org/publications/review/89/01/Trade\\_Jan\\_Feb1989.pdf](https://research.stlouisfed.org/publications/review/89/01/Trade_Jan_Feb1989.pdf) [Accessed 10 January 2015]

Dosenrode, S. 2010. *Federalism Theory and NeoFunctionalism: Elements from an Analytical Framework*. [Online]. Available at: [http://www.on-federalism.eu/attachments/079\\_download.pdf](http://www.on-federalism.eu/attachments/079_download.pdf). [Accessed 3 August 2015]

Economic Development in Africa Report. 2013, *Intra-African Trade: Unlocking Private Sector Dynamism*. [Online]. Available at :[http://unctad.org/en/PublicationsLibrary/aldafrica2013\\_en.pdf](http://unctad.org/en/PublicationsLibrary/aldafrica2013_en.pdf) [Accessed 2 January 2015].

Edlund, J. 2006. Recruiting and Retaining a Quality Research Team, *Observer*, 19 (6). [Online]. Available at:<http://www.psychologicalscience.org/index.php/publications/observer/2006/june-06/recruiting-and-retaining-a-quality-research-team.html> [Accessed 6 January 2015]

Encyclopedia.com.2015.*Political Culture*. [Online]. Available at:[http://www.encyclopedia.com/topic/Political\\_culture.aspx](http://www.encyclopedia.com/topic/Political_culture.aspx) [Accessed 10 February 2015]

Erlanger, S. 2016. Brexit vote feed Scotland's alienation, *The New York Times*, 26 August, p. 1.[Online]. Available at: <http://www.nytimes.com/2016/08/27/world/europe/brexit-scotland.html> [Accessed 2September 2016]

Explorable.com. 2009. Statistical Corelation,*Explorable.com*. [Online]. Available at:<https://explorable.com/statistical-correlation> [Accessed 6 June 2016]

Finland, Ministry of Foreign Affairs. 2015., *Cross Border Cooperation. Benefiting from Borders*. [Online]. Available at:[http://www.aebr.eu/files/publications/CBC\\_Benefiting\\_from\\_Borders.pdf](http://www.aebr.eu/files/publications/CBC_Benefiting_from_Borders.pdf) [Accessed 10 July 2015]

Government of Zimbabwe. 2015. [Online]. Available at:<http://www.zim.gov.zw/> [Accessed 3 August 2015]

Jonas Savimbi Biography. 2015. [Online]. Available at: <http://www.britannica.com/biography/Jonas-Savimbi> [Accessed 4 February 2015]

Keane, J., Cali, M., and Kennan, J. 2010. Impediments to Intra-regional Trade in Sub Saharan Africa.[Online].*Overseas Development Institute*, Available at:<https://www.odi.org/sites/odi.org.uk/files/odi-assets/publications-opinion-files/7482.pdf> [Accessed 1 June 2015]

Kennett, P. 2010.*Governance and Social Citizenship*. [Online]. Available at:[http://www.welfareasia.org/5thconference/papers/Kennett%20P\\_governance%20and%20social%20citizenship.pdf](http://www.welfareasia.org/5thconference/papers/Kennett%20P_governance%20and%20social%20citizenship.pdf) [Accessed 2 May 2016]

Kleitz, A. 2003.*Costs and Benefits of Trade Facilitation*. [Online]. Available at: [http://www.unece.org/fileadmin/DAM/trade/forums/forum02/presentations/session\\_ii/akleitz.pdf](http://www.unece.org/fileadmin/DAM/trade/forums/forum02/presentations/session_ii/akleitz.pdf) [Accessed 10 February 2015]

Kritzer-van Niekerk, L., and Moreira, E. P. 2002. *Regional Integration in Southern Africa: Overview of Recent Developments*. [Online]. Available at: [http://www-wds.worldbank.org/servlet/WDSContentServer/IW3P/IB/2005/07/26/000160016\\_20050726093334/Rendered/PDF/331070PAPER0AFR0Regional1Integration.pdf](http://www-wds.worldbank.org/servlet/WDSContentServer/IW3P/IB/2005/07/26/000160016_20050726093334/Rendered/PDF/331070PAPER0AFR0Regional1Integration.pdf) [Accessed 10 February 2015]

MacMillan Dictionary. 2014. [Online]. Available at: <http://www.macmillandictionary.com/> [Accessed 10 June 2014]

Makochehanwa, A. 2013. *Assessing the Impact of Trade Facilitation on SADC's Intra-Trade Potential*. [Online]. Available at: [http://www.uneca.org/sites/default/files/uploaded-documents/AEC/2013/dr\\_a\\_makochehanwa\\_assessing\\_tf\\_on\\_trade\\_potential\\_submission.pdf](http://www.uneca.org/sites/default/files/uploaded-documents/AEC/2013/dr_a_makochehanwa_assessing_tf_on_trade_potential_submission.pdf) [Accessed 1 December 2015]

*Maps of the World*. 2015. [Online]. Available at: <http://www.mapsofworld.com/zimbabwe/zimbabwe-location-map.html> [Accessed 3 July 2015]

Mason, M. 2010. Sample Size and Saturation in PhD Studies using Qualitative Interviews, *Qualitative Social Research Journal*, 11 (3), Art 8. [Online]. Available at: <http://nbn-resolving.de/urn:nbn:de:0114-fqs100387> [Accessed 12 March 2014]

*Ministry of Finance and Economic Development*. 2015. [Online]. Available at: [www.zimtreasury.gov.zw](http://www.zimtreasury.gov.zw) [Accessed 4 June 2015].

*Ministry of Industry and Commerce*. 2016. [Online]. Available at: [www.veritaszim.net/node/659](http://www.veritaszim.net/node/659) [Accessed 10 January 2016].

*Ministry of Small to Medium Enterprises & Community Development*. 2016. [Online]. Available at: [www.sme.cd.gov.zw](http://www.sme.cd.gov.zw) [Accesses 10 January 2016]

Mubaiwa, S. 2014. *An evaluation of Trade Facilitation Measures Implemented By the Common Market for East and Southern Africa (COMESA) Since 2005: The Case of the Chirundu One Stop Border Post*, Dissertation. [Online]. Available at: <http://digilib.buse.ac.zw/xmlui/bitstream/handle/11196/354/thesis%20trade%20facilitation.pdf?sequence=1> [Accessed 11 August 2015]

Mukucha, E 2013. *The Regulation and Impact of Non-Tariff Barriers to Trade in SADC Free-Trade Area*. [Online]. Available at <http://upetd.up.ac.za/thesis/available/etd-12022012-152157/unrestricted/dissertation.pdf> [Accessed 5 March 2015]



Nederpelt, P. V., and Dass, P. 2012. 49 Factors that Influence The Quality of Secondary Data Sources, *Statistics Netherlands*. [Online]. Available at: <http://unstats.un.org/unsd/dnss/docs-nqaf/49%20Factors%20that%20influence%20the%20Quality%20of%20Secondary%20Data%20Sources.pdf> [Accessed 20 October 2014]

Panagiotis, A., and Piia, L. 2012. *The Bottleneck Effect of Road Transportation at the Finish-Russian Border Stations. A Prospective 'One Stop' Border Crossing Model*. Thesis. [Online]. Available at: <http://www.diva-portal.org/smash/get/diva2:530302/FULLTEXT01.pdf> [Accessed 10 September 2014].

Riley, C., and Long, H. 2016. Brexit shock vote: what you need to know, *CNN Money*, 24 June, p. 1. [Online]. Available at: <http://money.cnn.com/2016/06/24/news/economy/brexit-uk-european-union-vote/index.html> [Accessed 2 September 2016]

SADC Annual Report. 1997. *1997-1998 Annual Report*. [Online]. Available at: [http://www.sadc.int/files/5813/5333/8013/SADC\\_Annual\\_Report\\_1997-1998.pdf.pdf](http://www.sadc.int/files/5813/5333/8013/SADC_Annual_Report_1997-1998.pdf.pdf) [Accessed 1 June 2016]

Sharer, R. 1999. *Trade: An Engine of Growth for Africa, Finance and Development*, 36 (4). [Online]. Available at: <http://www.imf.org/external/pubs/ft/fandd/1999/12/sharer.htm> [Accessed 10 January 2015]

*Small to Medium Entreprises Association of Zimbabwe*. 2015. [Online] Available at: <http://www.smeaz.org.zw/> [Accessed 1 June 2015]

StataCorp. 2013. Stata: Release 13. Statistical Software [Online]. Available at: <http://www.stata.com/manuals13/u.pdf> [Accessed 20 January 2016].

United Nations Economic Commission for Africa. 2016. *Africa Regional Integration Index*. [Online]. Available at: [http://www.afdb.org/fileadmin/uploads/afdb/Documents/Generic-Documents/ARII-Report2016\\_EN\\_web.pdf](http://www.afdb.org/fileadmin/uploads/afdb/Documents/Generic-Documents/ARII-Report2016_EN_web.pdf) [Accessed 6 September 2016]

University of KwaZulu Natal Research Ethics Regulations. 2014. , *University of KwaZulu Natal*. [Online]. Available at: [http://research.ukzn.ac.za/Libraries/Research\\_Document/General\\_Guidelines\\_for\\_the\\_Ethics\\_Review\\_Processes.sflb.ashx](http://research.ukzn.ac.za/Libraries/Research_Document/General_Guidelines_for_the_Ethics_Review_Processes.sflb.ashx) [17 December 2014]

UN-STATS. 2016. *United Nations Statistics*. [Online]. Available at: <http://unstats.un.org/unsd/trade/default.asp> [Accessed 3 May 2016].

WTO Publication. 2014. [Online]. Available at:

[https://www.wto.org/english/tratop\\_e/preship\\_e/preship\\_e.htm](https://www.wto.org/english/tratop_e/preship_e/preship_e.htm) [Accessed 20 December 2014].

Xiong, B. 2012. Three Essays on Non Tariff Measures and the Gravity Equation Approach to Trade, *Graduate Theses and Dissertations Paper 12529*. [Online]. Available at: <http://lib.dr.iastate.edu/cgi/viewcontent.cgi?article=3536&context=etd> [Accessed 10 December 2015].

*Zimbabwe Revenue Authority (ZIMRA)*. 2016. [Online]. Available at: [www.zimra.co.zw](http://www.zimra.co.zw) [Accessed 2 June 2016].

*Zimbabwe Tourism*. 2015. [Online]. Available

at: <http://www.zimbabwetourism.net/index.php/profile/> [Accessed 1 February 2015].

## Appendix 2: Data collection instruments

### Appendix 2-1: Semi-structured participant administered questionnaire

#### Questionnaire on Road Entry Point Management Systems and Regional Integration

Instructions.

Thank you for taking time to complete this questionnaire. You are requested to complete this questionnaire by making a tick in the appropriate box.

#### FOR STUDY PURPOSES ONLY

Questionnaire code number.....		
1. Completed	2. Partly completed	3. No usable information

#### Section A

Do you sometimes travel to Zambia, Botswana, Mozambique or South Africa to sell your products or buy inputs and goods	Yes	
	No	

If answer to this part is **NO** discontinue responding to the questions.

#### Section B: Biographical Data

Please tick appropriate

1. Gender	Male	
	Female	
2. How old are you?		
3. Level of Education	<Grade seven	
	Grade seven level	
	Form Two level (ZJC)	
	Form Four level (O-Level)	
	Certificate	
	Diploma	
	Higher Diploma	
	First College Degree	
	Masters degree and above	
4. How long have you been in the small to medium enterprises profession?		Years
5. How often do you travel across the country's borders in a year		
6. Which of these neighbouring countries do you travel to in the course of your trading?	Zambia	
	Botswana	
	South Africa	
	Mozambique	
	Non of the above	

7. Into which category does your line of trade fall into?	Retail eg buying and selling wares, clothes, cars, motor spares, stationery etc	
	Manufacturing and production – steelworks, carpentry, upholstery, tailors, weaving etc	
	Service sector - catering, deco, private educational institutions, beauty clinics etc	
	Extraction and farming sector - poultry, piggery, fishing, mining, gardening etc	
	Other	

### Section B: Road Entry Point Management System

	Strongly agree	Agree	Neutral	Disagree	Strongly disagree
1. The systems at road entry points play an important role in encouraging trade.					
2. The systems existing at road entry points require people to be cleared at several points when entering the country					
3. The flow of goods can be improved if countries sharing borders harmonise their processes					
4. The clearance procedures are best when each country does its paperwork on its own					
5. Countries security will be jeopardised if the screening processes are harmonised with those of neighbouring countries					
6. The clearance procedures are best when each country does its road entry point paperwork on its own					
7. The clearance procedures are best when bordering countries agree on a single clearance process to be carried out by one of the countries but honoured by the neighbouring country					
8. If a single clearance process is carried out by one country it should be the country you are exiting					
9. If a single clearance process is carried out it should be the country you are entering					
10. The repetition of clearance procedures by multiple countries enhances security of participating countries					

**Section C: Non tariff barriers**

	Strongly Agree	Agree	Neutral	Disagree	Strongly disagree
11. The quantities of goods that one can bring into the country per trip are highly limited					
12. The ways goods are classified differ from country to country					
13. There are multiple documents to be taken to different offices for clearance					
14. The same inspection processes done on goods when exiting a country are the same processes repeated when we clear to enter the neighbouring country					
15. The requirements for one to clear goods are not consistent from time to time					
16. The officers manning different counters demand bribes before clearing goods					
17. The officers manning different counters deliberately delay the clearance process					
18. Different ministries have officers at the entry point with each ministry officials inspecting things related to their ministry e.g. health inspectors, agriculture inspectors, revenue inspectors, immigration inspectors, vehicle registry inspectors etc.					

**Section D: Regional Integration**

	Strongly agree	Agree	Neutral	Disagree	Strongly disagree
19. Countries in the SADC region have different requirements at their respective entry points.					
20. All countries in the region must adopt the same systems at entry points					
21. Countries sharing borders must start bit by bit to adopt same systems at respective entry points					

22. Do you sometimes use illegal means to bring goods into the country to avoid border related challenges?

Yes.....	No.....
----------	---------

If yes, what type of goods?

.....

How do you bring them into the country?

.....

Why do you choose to bring those goods using illegal channels?

.....

How will that impact on the landing costs of goods if you import them using those channels?

.....

How effective, especially looking at time, is that system of bringing in goods into the country?

.....

What challenges do you face when importing goods using these channels?

#### Conclusion

Thank you for filling in this questionnaire. Your contribution towards this road entry point management systems and regional integration study is invaluable.

## Appendix 2-2: Structured researcher administered questionnaire

**Questionnaire on Road Entry Point Management Systems and Regional Integration****INSTRUCTIONS.**

Thank you for taking time to complete this questionnaire. You are requested to complete this questionnaire by making a tick in the appropriate box.

**FOR STUDY PURPOSES ONLY**

Questionnaire code number.....		
1. Completed	2. Partly completed	3. No usable information

**Section A**

Entry point at time of this survey	Chirundu	
	Plumtree	
	Beitbridge	
	Nyamapanda	

For respondents on Plumtree, Beitbridge and Nyamapanda entry points

Have you ever used the Chirundu road entry point	Yes	
	No	

If answer to this part is **NO** discontinue data collection

**Section B: Biographical Data**

Please tick or fill in appropriately

1. Designation	Truck driver	
	Assistant Driver	
2. Gender	Male	
	Female	
3. How old are you?		Years
4. How long (in years) have you been in the profession of commercial cross border transport driving?		
5. How often do you travel across Zimbabwe's borders in a year?		

**Section C: Road Entry Point Management Systems**

	Strongly agree	Agree	Neutral	Disagree	Strongly disagree
1. The system at this border requires one to be cleared at the exiting border separately before separately clearing into this country					
2. The systems at this border post allow smooth passage of people and goods.					
3. The flow of goods can be					

improved if countries sharing borders harmonise their processes					
4. The clearance procedures are best when each country does its paperwork on its own					
5. Countries security will be jeopardised if the screening processes are harmonised with those of neighbouring countries					
6. The clearance procedures are best when each country does its own paperwork					
7. The clearance procedures are best when bordering countries agree on a single clearance process to be carried out by one of the countries and accepted by the neighbouring country.					
8. If a single clearance process is carried out by one country, it should be the country you are exiting					
9. If a single clearance process is carried out by one country, it should be the country you are entering					
10. The repetition of procedures enhances security					
11. Transporters need more than a day to cross the border					
12. There are multiple documents to be taken to different offices for clearance					
13. The officers manning different counters demand bribes before clearing goods					
14. The officers manning different counters deliberately delay the process					
15. The system at the entry point is manual					
16. The same inspection processes done on goods when exiting a country are the same processes repeated when we clear to enter the neighbouring country at the same border point					
17. The requirements for one to clear goods are not consistent from time to time					



**Section D: Border related challenges and opportunities**

Instruction: If at Chirundu ask questions 18-20, if at Nyamapanda, Plumtree and Beitbridge ask questions 21-23

	Strongly agree	Agree	Neutral	Disagree	Strongly disagree
18. This border system has been made easy by harmonising the procedures					
19. The time spent at this border is less compared to other border posts					
20. Adopting this system for all entry points will alleviate a lot of border related problems					
21. This border system can be made easy by harmonising the procedures					
22. The time spent at this border is more compared to Chirundu OSBP					
23. Adopting the system used at Chirundu will alleviate border related problems					

Conclusion

Thank you for responding to this questionnaire. Your contribution towards this road entry point management systems and regional integration study is invaluable.

## Appendix 2-3: Semi-structured interview guide

### Instructions

This interview is solely for the road entry point management systems and regional integration study purposes.

### Section A: Biographical Details

Participant code number .....

Ministry .....

Department .....

Position .....

Number of years in current position .....

Gender .....

Level of education .....

Age range. Tick appropriate

20 to 30 years	
31 to 40 years	
41 to 50 years	
51 to 60 years	
61 years and above	

### Section B: Establishing ministry's place in the movement of people and goods

1. I would like to hear your thoughts on the relationship between movement of goods and cargo and regional integration.
2. What border related challenges impede the efficient movement of goods and people?
3. What opportunities are available to traders under the current entry point management systems in SADC?
4. In line with the Zimbabwe National Trade Policy (2012-2016), the country pushes for a strategic integration into the global markets taking up the challenge to 'act with speed and unity of purpose to unlock and exploit the export potential and opportunities at disposal in order to make trade perform as the engine for the economy's growth and development'.  
What has your ministry done to aid movement of cargo and people to and fro other countries?
  - a. Has this been implemented and to what extent?
  - b. How have these initiatives benefited the country?
5. Have you forged any inter-ministry partnerships to ensure smooth movement of people and goods into and out of Zimbabwe to the larger SADC region?

- a. If yes, tell me about any partnerships that you have forged, as a ministry, with other ministries to ensure smooth movement of cargo and people.
  - b. If no, why not? What type of inter-ministry partnerships might be helpful?
- 6. What are the positive outcomes of your ministry's initiatives in aiding the smooth movement of cargo and people?
- 7. What challenges do you face as a ministry in trying to implement your proposed initiatives in enhancing movement of people and cargo across borders?

### **Section C: Road Entry Point Management Systems**

- 8. From an official standpoint, how do Two-Stop-Border-Post systems compare with the One-Stop-Border-Post systems?
  - a. What advantages are associated with the Two-Stop-Border-Posts?
  - b. What challenges are associated with the Two-Stop-Border-Posts?
  - c. What opportunities are associated with the One-Stop-Border-Posts?
  - d. What challenges are associated with the One-Stop-Border-Posts?
- 9. What recommendation can you give on the use of Two-Stop-Border Post system?
- 10. What recommendation can you give on the use of One-Stop-Border-Post system?

### **Section D: Regional Integration**

- 11. When approaching regional integration countries can take either the gradual or the 'once-off' approaches. Gradual approach is when countries integrate different facets little by little until all facets are integrated. The 'once-off' approach is the direct opposite in which countries take it upon themselves to speedily integrate all the facets at once.  
 From an official point of view, which would be a viable approach towards regional integration: gradual integration or integrating all the countries' facets at once?
- 12. What is the problem with the other option?
- 13. From an official point of view, what challenges do countries encounter when pursuing the integration approach you recommended in 11 above?
- 14. SADC has indicated a commitment towards integrating all its facets since its inception as indicated in the organisation's aims.
  - a. What achievements has the region scored in line with those aims in relation to movement of cargo and people?
  - b. What challenges is the region facing in achieving these set aims in as far as road entry point integration is concerned.

### **Section E: Final Comments**

- 15. Tell me anything more you would want me to hear pertaining road entry point management systems and regional integration.

Thank you for your participation and cooperation

## Appendix 3: Ethical clearance letter



11 September 2015

Mrs Felistas Ranganai Zimano (214584522)  
School of Management, IT & Governance  
Westville Campus

Dear Mrs Zimano,

**Protocol reference number: HSS/1165/015D**

**Project title: Road Entry Point Management Systems and Regional Integration: The case of Zimbabwe**

**Full Approval – Expedited Application**  
With regards to your application received on 28 August 2015. The documents submitted have been accepted by the Humanities & Social Sciences Research Ethics Committee and **FULL APPROVAL** for the protocol has been granted.

Any alteration/s to the approved research protocol i.e. Questionnaire/Interview Schedule, Informed Consent Form, Title of the Project, Location of the Study, Research Approach and Methods must be reviewed and approved through the amendment/modification prior to its implementation. In case you have further queries, please quote the above reference number.

Please note: Research data should be securely stored in the discipline/department for a period of 5 years.

The ethical clearance certificate is only valid for a period of 3 years from the date of issue. Thereafter Recertification must be applied for on an annual basis.

I take this opportunity of wishing you everything of the best with your study.

Yours faithfully

  
.....  
Professor Urmilla Bob (University Dean of Research)  
On behalf of Dr Shenuka Singh (Chair)

/ms

Cc Supervisor: Dr F Ruffin  
Cc Academic Leader Research: Professor Brian McArthur  
Cc School Administrator: Ms Angela Pearce

Humanities & Social Sciences Research Ethics Committee  
Dr Shenuka Singh (Chair)






Westville Campus, Govan Mbeki Building

Postal Address: Private Bag X54001, Durban 4000

Telephone: +27 (0) 31 260 3587/8350/4557 Facsimile: +27 (0) 31 260 4609 Email: [ximbap@ukzn.ac.za](mailto:ximbap@ukzn.ac.za) / [snvmanm@ukzn.ac.za](mailto:snvmanm@ukzn.ac.za) / [mohunp@ukzn.ac.za](mailto:mohunp@ukzn.ac.za)

Website: [www.ukzn.ac.za](http://www.ukzn.ac.za)

 1910 - 2010  
100 YEARS OF ACADEMIC EXCELLENCE

Founding Campuses:  Edgewood  Howard College  Medical School  Pietermaritzburg  Westville

## Appendix 4: Turnitin originality report

### Turnitin Originality Report

Felistas Zimano 214584522 Final Draft Thesis by Zimano Felistas  
From Final Draft (Doctoral Thesis )

- Processed on 23-Nov-2016 12:26 AM CAT
- ID: 690149158
- Word Count: 97222

### Similarity Index

2%

### Similarity by Source

#### Internet Sources:

2%

#### Publications:

1%

#### Student Papers:

0%